



# **REDD Readiness Preparation Proposal For Uganda**

**SUBMITTED TO THE FOREST CARBON PARTNERSHIP FUND**

**June** 2011

## Disclaimer

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## Acknowledgements

Uganda's REDD –Plus Readiness Proposal (R-PP) has been prepared by REDD National Focal Point and approved by Government of Uganda. The preparation of this REDD-Plus Readiness proposal was funded by FCPF (through WorldBank) and Royal Norwegian Government. The Government of Uganda greatly values this contribution.

The REDD-Plus Readiness Proposals formulation process was overseen by the Ministry of Water and Environment and managed by the R-PP Secretariat hosted by National Forestry Authority. The REDD National Steering Committee oversaw the preparation process while the REDD Working Group coordinated and facilitated stakeholder participation in the formulation of the R-PP. The R-PP formulation process engaged an extensive Stakeholders' consultation process ranging from policy level to forest dependants country wide.

The Government of Uganda would like to acknowledge all individuals and institutions who have contributed to the planning and production of this R-PP. The contribution of R-PP Secretariat (Mr. Xavier Mugumya, Mr. Alex Muhweezi and Ms. Sheila Kiconco) who managed the R-PP process and prepared this document is greatly appreciated.

Finally, Government of Uganda looks forward to implementation of the R-PP in collaboration with all Stakeholders.

Hon. Maria Mutagamba

Minister of Water and Environment

## Acronyms

ACODE	Action Coalition for Development and Environment
CARE	CARE International (Uganda Office)
CBD	Convention on Biological Diversity
CBOs	Community Based Organizations
CCU	Climate Change Unit (of Uganda)
CFM	Collaborative Forest Management
CFR	Central Forest Reserves
GHG	Green House Gases
CRGMS	Conflict Resolution and Grievances Management System
CRM	Collaborative Resources Management
CWA	Community Wildlife Areas
DDP	District Development Plans
DFS	District Forest Services
EA	Environmental Alert
EAC	East African Community
ECOTRUST	Environmental Conservation Trust of Uganda
ESMF	Environmental and Social Management Framework
FCPF	Forest Carbon Partnership Facility
FIEFCO	Forest Income Enhancement and Forest Conservation Project
FSSD	Forestry Sector Support Department
GIS	Global Information System
IGG	Inspector General of Government
IPCC	Inter-government Panel on Climate Change
IPM	Integrated Pest Management
ITFC	Institute of Tropical Forest Conservation
IUCN	International Union for Conservation of Nature
JMR	Joint Management Reserves
LFR	Local Forest Reserves
MAAIF	Ministry of Agriculture, Animal Industry and Fisheries
MEMD	Ministry of Energy and Minerals Development
MOFPED	Ministry of Finance, Planning and Economic Development
MOV	Means of Verification
MRV	Measurement, Reporting and Verification
MUIENR	Makerere University Institute of Environment and Natural Resources
MWE	Ministry of Water and Environment
NAADS	National Agricultural Advisory Development Services
NAFORRI	National Forestry Resources Research Institute
NARO	National Agricultural Resources Organization
NDP	National Development Plan
NEMA	National Environment Management Agency
NFA	National Forestry Authority
NFP	National Forest Plan
NFTP	National Forestry Tree Planting Act
NGOs	Non – Government Organizations
NORAD	Norwegian Agency for International Development

PFE	Permanent Forest Estate
PMA	Plan for Modernization of Agriculture
RACS	REDD Communications Strategy
REDD-COP	REDD Consultations and Outreach Plan
REDD	Reducing Emissions from Deforestation and Forest Degradation
R-PIN	REDD Project Identification Note
R-PP	REDD Readiness Preparation Proposal
RSC	REED-Plus Steering Committee
RWG	REDD-Plus Working Group
SESA	Social and Environmental Impact Assessments
SLM	Sustainable Land Management
SNR	Strict Nature Reserves
SP	Strategic Plan
THF	Tropical High Forests
TORs	Terms of Reference
UBOS	Uganda Bureau of Standards
UNCCD	United National Convention on Climate Change and Desertification
UNFCCC	United National Framework Convention for Climate Change
UWA	Uganda Wildlife Authority
UWASP	Uganda Wildlife Authority Strategic Plan
WCS	Wildlife Conservation Society
WMD	Wetlands Management Department
WRI	World Resources Institute
WRs	Wildlife Reserves

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## GENERAL INFORMATION

### CONTACT INFORMATION

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Water Governance Institute  
 Environmental Conservation Trust of Uganda (ECOTRUST)  
 Tree Talk  
 Action Coalition for Development and Environment (ACODE)  
 National Association of Professional Environmentalists (NAPE)  
 BUCODO  
 Uganda Media Trust

The REDD Readiness Proposal for Uganda was developed in a highly participatory manner involving stakeholders represented through the following structures:

- 1) REDD-Plus Working Group (*Annex 1: Composition of Uganda's REDD - Plus Working Group*)
- 2) REDD -Plus Steering Committee (*Section 1.7: Composition of Uganda's REDD - Plus Steering Committee*).

**SUMMARY OF THE R-PP**

Dates of R-PP preparation	March 2010 - April 2011
Expected duration of R-PP implementation	January 2012-December 2014
Total budget estimate:	<u>US\$ 5,181,000</u>
Anticipated sources of funding:	From FCPF: <u>US\$ 3,375,000</u> From UN-REDD: <u>completed/A</u> National government contribution: <u>US\$ 199,000</u> Other source: <u>US\$ 1,607,000</u>
Expected government signer of R-PP grant request	 ..... <b>Minister of Finance, Planning and Economic Development</b>
Expected key results from the R-PP implementation process:	<p><b>Outcome 1:</b> Institutional arrangements and modalities for implementing Uganda's REDD - Plus Strategy (REDD-Plus Implementation Framework).</p> <p><b>Outcome 2:</b> Policy, legal and operational procedures and guidelines for REDD- Plus implementation.</p> <p><b>Outcome 3:</b> National Capacity for implementing REDD-Plus Strategy for Uganda.</p> <p><b>Outcome 4:</b> A National strategy and actions for addressing deforestation and forest degradation and enhancement of Carbon Stock.</p> <p><b>Outcome 5:</b> A National Forest Reference Emissions Level and / or Forest Reference Level and projections for future forestry resources in Uganda.</p> <p><b>Outcome 6:</b> A Robust and Transparent National Forest Monitoring System to Measure, Report and Verify (MRV) the effect of the REDD-Plus Strategy on CHG emissions and other multiple benefits, and to monitor the drivers of deforestation and forest degradation, as well as other variables relevant to the implementation of REDD-Plus.</p> <p><b>Outcome 7:</b> A system for providing information based on assessment of key social and environmental risks and potential impacts of REDD-Plus Strategy options and implementation framework (ESMF).</p> <p><b>Outcome 8:</b> Information database derived from the results of studies and consultations.</p>

## EXECUTIVE SUMMARY

This is a REDD Readiness Preparation Proposal for Uganda (R-PP) developed to serve as a tool for guiding Uganda's preparations to become ready for REDD-Plus. The development of this proposal was coordinated by the REDD-Plus Working Group and supervised by the REDD-Plus Steering Committee. The day to day undertaking including the preparation of the R-PP document was undertaken by the R-PP Secretariat housed in the National Forestry Authority.

The R-PP formulation process was coordinated by the Ministry of Water and Environment and National Forestry Authority. The latter served as the REDD Focal Point for Uganda. Both institutions collaborated with other government ministries and agencies, Non-Government Organizations (NGOs), Private sector, Academia, Cultural Institutions and Development partners, among others. The R-PP was developed through a participatory process involving stakeholders at all levels of the society and across sectors.

Uganda's forest cover has declined from 35% to 15% of Uganda land surface between 1890 and 2005 with an estimated annual forest cover loss of approximately 88,000ha/year. The major causes of deforestation and forest degradation relate to the increasing agrarian human population and resultant pressures on forest resources and forest lands as well as institutional weaknesses and shortcomings in forestry governance. Among the key drivers of deforestation and forest degradation consist of agricultural expansion in forested land, charcoal production, firewood harvesting, livestock grazing, timber production and, human settlement and urbanization. The resultant effects of these drivers is decline in forest vegetation cover, decline in quality and quantity of forest goods and services and conflicts regarding access, use and control over forest resources.

The trends and drivers of deforestation and forest degradation, coupled with favourable land tenure and policy and legal framework favour the development and implementation of REDD – Plus Strategy in Uganda. This is notwithstanding the need to develop the necessary national capacity for REDD. Specifically, there is need for data, policy and legal reforms, tools and systems for REDD implementation, institutional and human resources capacity to move REDD forward.

The R-PP for Uganda demonstrates Uganda's commitment to the UNFCCC and other international policy regimes towards reducing emissions from deforestation and forest degradation and enhancing carbon stocks in Uganda. The R-PP also demonstrates Uganda's commitment to the Forest Carbon Partnership Fund (FCPF) as a participating Country.

The Goal of Uganda's R-PP is "**Uganda ready for REDD-Plus by 2014**". This goal will be realized through the following objectives:

- 1) **Objective #1:** To develop and elaborate Strategies and actions for addressing the direct drivers of deforestation and forest degradation in Uganda.
- 2) **Objective #2:** To develop practices for sustainable forest management and conservation.
- 3) **Objective #3:** To define and pilot test processes for stakeholder engagement in implementing Uganda's REDD-Plus Strategy.

- 4) **Objective #4:** To facilitate the development of tools and methodologies for measuring, reporting and verifying the effects of REDD-Plus Strategy on CHG emissions and other multiple benefits and, to monitor the drivers of deforestation and forest degradation as well as other variables relevant to the implementation of REDD-Plus Strategy.
- 5) **Objective #5:** To define and develop system for assessing key social and environmental risks and potential impacts of REDD-Plus Strategy options and implementation framework.
- 6) **Objective #6:** To develop system for estimating the historic forest cover change greenhouse gas (GHG) emissions and uptake from deforestation and forest degradation and the other REDD-Plus activities and making projections of emissions in future.
- 7) **Objective #7:** To strengthen national and institutional capacities for implementing Uganda's REDD-Plus Strategy.

The REDD-Plus Readiness Preparation Proposal presents the following priority actions for implementation during 2012-2014:

- a) Defining institutional arrangements for implementing Uganda's REDD- Plus Strategy.
- b) Developing Policy, legal and operational procedures and guidelines for REDD- Plus implementation.
- c) Capacity building for REDD-Plus implementation.
- d) Defining strategies and actions for addressing deforestation and forest degradation and enhancing Carbon Stock.
- e) Developing a national forest reference emissions level and forest reference level including future scenario.
- f) Developing a national forest monitoring system to measure, report and verify Uganda's REDD-Plus Options.
- g) Developing framework for assessing key social and environment risks and potential impacts of REDD-Plus Strategy options and implementation framework.

The following outputs are envisaged:

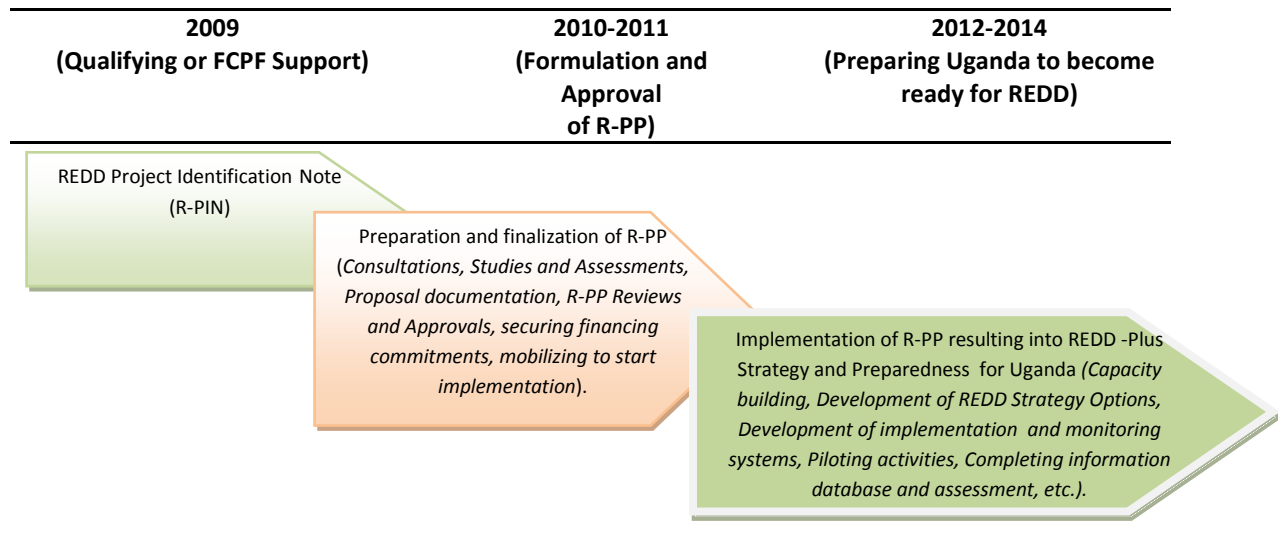
- a) Institutional arrangements and modalities for implementing Uganda's REDD - Plus Strategy.
- b) Policy, Legal and Operational procedures and guidelines for implementing Uganda's REDD- Plus Strategy.
- c) National Capacity and Preparedness for implementing REDD-Plus Strategy.
- d) Strategies and actions for addressing deforestation and forest degradation and, enhancing Carbon Stock.
- e) National forest reference emissions level and future scenario.
- f) National Monitoring system for Measuring, Reporting and Verifying effects of REDD-Plus Strategy options on GHG emissions and other multiple benefits.
- g) Framework for assessing key social and environment effects of REDD-Plus Strategy options.
- h) Information/database on deforestation and forest degradation, forest governance and, new funding mechanisms.
- i) Potential emissions reduction activities and sites.



The description of these outputs will be in form of a National REDD-Plus Strategy for Uganda.

The R-PP implementation aims to ensure that Uganda’s REDD-Plus Strategy will be national product developed through a government led participatory process. The National Policy Committee on Environment will be responsible for high level legitimacy of the National REDD-Plus Strategy for Uganda. This organ will be assisted by a REDD-Plus Steering Committee which will supervise the R-PP implementation and draw on technical support from a National Technical Committee, Taskforces and external Expertise as appropriate. The Ministry of Water and Environment through the National Focal Point (Forestry Sector Support Department) will undertake day-to-day implementation and coordination tasks. Specific tasks will be assigned to suitable institutions within and outside government.

The R-PP will be implemented in three years (2012-2014) as indicated below.



Uganda requires **US\$ 10,617,000** to finance its readiness activities.

## COMPONENT 1: ORGANIZE AND CONSULT

### 1A. NATIONAL READINESS MANAGEMENT ARRANGEMENTS

#### National readiness management arrangements

The cross-cutting nature of the design and workings of the national readiness management arrangements on REDD, in terms of including relevant stakeholders and key government agencies in addition to the forestry department, commitment of other sectors in planning and implementation of REDD+ readiness. Capacity building activities are included in the work plan for each component where significant external technical expertise has been used in the R-PP development process.

The REDD Readiness Preparation Proposal is developed to serve as a planning tool for guiding Uganda's preparations to become ready for REDD-Plus. It provides a framework for guiding long term investments to address Uganda's footprint on climate change through emissions from deforestation and forest degradation. It sets a roadmap, budget, and schedule to achieve REDD Readiness in Uganda. It also serves to mobilize financial resources from the FCPF and other sources and, stakeholders in implementing REDD-Plus Readiness activities for Uganda.

In addition, the R-PP serves to:

- a) Fulfil Uganda commitment to the UNFCCC and other international policy regimes targeting to demonstrate Uganda's commitment to addressing causes and effects of Climate Change through undertaking of activities that contribute to mitigation actions in the forest sector.
- b) Fulfil Uganda commitment to the FCPF as a participating Country.

#### 1.1 The R-PP Formulation process

This is the REDD Readiness Preparation Proposal for Uganda prepared from 2009-2010 by the REDD-Plus National Focal Point in collaboration with the REDD-Plus Working Group with participation of wide spectrum of stakeholders (*Annex 1: Composition of the REDD-Plus Working Group*). The REDD-Plus Working Group was formed in March 2010 to coordinate R-PP process.

The process of formulating the R-PP was overseen by national level Steering Committee that was formed in June 2010. The business conducted by both the Working Group and Steering Committee is reported in Section 1.7). The formulation process emphasized consultations and engagement with the stakeholders including Government (Executive (Ministries and Government Agencies ) and Legislative/Parliament), NGOs/CSO, Private sector, Academia, Cultural Groups, Special groups, Forest dependent people, Communities, among others.

The REDD-Plus Steering Committee will continue to service the formulation of the R-PP until the R-PP is ready for implementation, presumably, up to end of 2011. This function is retained so that the negotiations for funding and implementation of the R-PP between Uganda and FCPF (and possibly other

partners) continue to benefit from Stakeholders ownership and participation through the Steering Committee. The function of the Steering Committee will also include management of institutional disagreements and conflicts especially with regards to institutional roles and entitlements during R-PP implementation.

The National REDD-Plus Focal Point headed a National R-PP Secretariat comprised of National Forest Authority (NFA) Staff and Consultants. The R-PP formulation process was supported by Consultants hired to undertake selected studies.

The formulation process involved the following major steps.

### **1.1.1 Preparation and presentation of REDD Project Identification Note (R-PIN)**

Uganda submitted REDD-Preparation Identification Note (R-PIN) to WorldBank/Forests Carbon Partnership Fund (FCPF) in June 2008 (*Appendix 1: Uganda R-PIN*) which served as a formal request for Uganda's participation in the FCPF program. It provided an initial overview of land use patterns and causes of deforestation, stakeholder consultation process, and potential institutional arrangements in addressing REDD-Plus.

### **1.1.2 Mobilizing financial support**

The preparation of REDD Readiness Preparation Proposal (R-PP) was facilitated by financial grant from Forest Carbon Partnership Fund (FCPF) through the World Bank amounting to US \$ 200,000. Additional financial support amounting to US\$ 183,500 was provided by Norwegian Government specifically to facilitate country-wide stakeholder consultations and participation. Several local, national and international organizations provided in-kind support in form of information, time and resources to the R-PP formulation. Uganda Government greatly appreciates this support.

### **1.1.3 REDD – Plus Readiness Proposal preparation**

The proposal preparation process involved the following:

#### **a) Consultations with Stakeholders**

Countrywide consultations with stakeholders were conducted from April 2010 – February 2011. (Section 1.14)

#### **b) Studies**

Studies were carried out by Consultants contracted by the National Focal Point and provide information on the following:

- i) Land use, forest policies and governance issues (*Component 2(a); Appendix 2*).
- ii) Options for the REDD - Plus Strategies (*Component 2(b); Appendix 2*).
- iii) REDD -Plus implementation Framework (*Component 2(c); Appendix 2*).
- iv) Likely Social and Environmental Impacts (SESA) (*Component 2(d); Appendix 3*).
- v) Options for developing Reference Level (*Component 3; Appendix 4*).

- vi) Systems to Measure, Verify and Report (MRV) the effect of REDD-Plus Options on sustainable forest management in Uganda (*Component 4; Appendix 4*).
- vii) Implications of evictions on REDD-Plus implementation in Uganda (*Appendix 9*).

### c) Administration and Documentation

The National Forestry Authority established a 3 - person R-PP Secretariat between May-April 2011 under the leadership of the National REDD-Plus Focal Point.

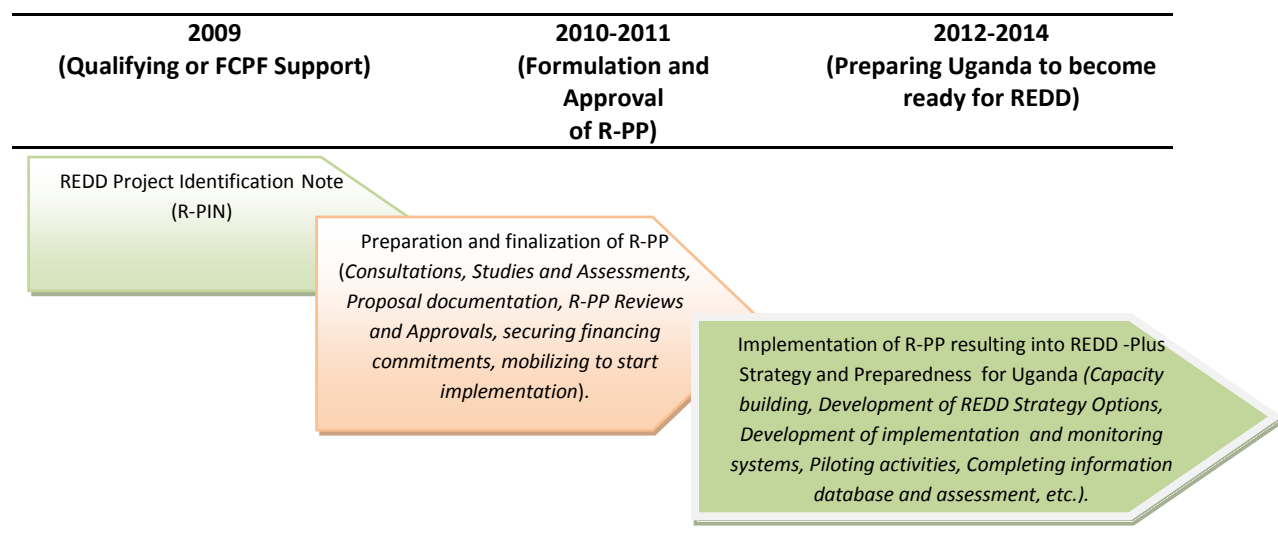
### d) Approval

The Uganda REDD-Plus Readiness Preparation Proposal has been duly approved by Minister of Water and Environment and Minister of Finance, Planning and Economic Development in accordance with government procedures.

## 1.2 The process for achieving Uganda Readiness for REDD-Plus

This is the REDD-Plus Readiness Preparation Proposal for Uganda to be implemented over a three year period (Figure 1). The R-PP Proposal is a description of the Goal, Objectives, Strategies and actions (component 2(b) aimed at preparing Uganda to become ready for REDD-Plus by 2014.

Figure 1: REDD-Plus Readiness Preparation process for Uganda



## 1.3 Summary activities during the R-PP implementation

The REDD-Plus Readiness Preparation Proposal presents the following priority actions for implementation during 2012-2014:

- Defining institutional arrangements for implementing Uganda's REDD- Plus Strategy (Component 2(c).
- Developing Policy, legal and operational procedures and guidelines for REDD- Plus implementation (Component 2 (c).
- Capacity building for REDD-Plus implementation (Annex 1a: TORs for Designing Capacity Building Programme).

- d) Defining strategies and actions for addressing deforestation and forest degradation and enhancing Carbon Stock (Component 2(b)).
- e) Developing a national forest reference level including future scenario (Component 3).
- f) Developing a national forest monitoring system to measure, report and verify Uganda's REDD-Plus Options (Component 4)
- g) Developing framework for assessing key social and environment risks and potential impacts of REDD-Plus Strategy options and implementation framework (Component 2(d)).

#### **1.4 Outputs from R-PP implementation**

The following outputs are envisaged:

- a) Institutional arrangements and modalities for implementing Uganda's REDD - Plus Strategy.
- b) Policy, Legal and Operational procedures and guidelines for implementing Uganda's REDD- Plus Strategy.
- c) National Capacity and Preparedness for implementing REDD-Plus Strategy.
- d) Strategies and actions for addressing deforestation and forest degradation and, enhancing Carbon Stock.
- e) National forest reference emissions level and future scenario.
- f) National Monitoring system for Measuring, Reporting and Verifying effects of REDD-Plus Strategy options on GHG emissions and other multiple benefits.
- g) Framework for assessing key social and environment effects of REDD-Plus Strategy options.
- h) Information/database on deforestation and forest degradation, forest governance and, new funding mechanisms.
- i) Potential emissions reduction activities and sites.

#### **1.5 Institutional mandates and participation in R-PP formulation (2010-2011)**

The R-PP formulation process was coordinated by the Ministry of Water and Environment and National Forestry Authority. The latter served as the REDD Focal Point for Uganda. Both institutions collaborated with other government ministries and agencies, Non-Government Organization (NGOs), Private sector, Academia, Cultural Institutions and Development partners, among others. The following sections provide details on the mandates and collaboration.

##### **a) Ministry of Water and Environment**

The Ministry of Water and Environment established and chaired REDD-Plus Working Group and the REDD-Plus Steering Committee between March 2010 and April 2011. The Ministry approved the REDD-Plus Readiness Preparation Proposal. Through its Directorate of Environment Affairs (and the departments responsible for forestry, environment, wetlands and meteorology) and the Climate Change Unit, the ministry provided policy guidance, technical information as well as technical support and input into the REDD-Plus Readiness Preparation Proposal formulation.

##### **b) National Forest Authority**

The National Forestry Authority was mandated by Ministry of Water and Environment to lead the formulation process. The National Forestry Authority accomplished the following tasks:

- i) Represented Uganda in national and global REDD-Plus processes (mobilizing and managing financial resources, consultations, meetings, reporting and communication, etc.).
- ii) Established and managed the R-PP Secretariat staff and operations.
- iii) Managed grants extended by FCPF (through WorldBank) and Norway Government.
- iv) Through the R-PP Secretariat:
  - Commissioned and supervised studies on Component 2 (a), (b), (c), (d), 3 &4 and Evictions in Protected Areas.
  - Commissioned and supervised the Stakeholder Consultations.
  - Coordinated the over-all R-PP formulation process including liaison with Stakeholders and Donor partners.
  - Serviced the REDD-Plus Working Group and REDD-Plus Steering Committee.
  - Provided background information on Forestry resources in Uganda.
  - Supervised the preparation of REDD-Plus Readiness Preparation Proposal.
  - Processed the approval of the REDD-Plus Readiness Preparation Proposal.

#### **c) Collaborating Government Ministries and Agencies**

Government ministries and agencies responsible for energy, agriculture, livestock, physical planning, land use planning, land administration, environmental management, wildlife, trade, development planning, economic management and local governments were actively engaged in the formulation of the R-PP through provision of information and advice.

#### **d) Districts/Local Governments**

Districts represent local Government authorities. Under decentralized system of Government in Uganda, Districts have mandate of managing Local Forest Reserves and providing Extension services to private forests, Community Forests and, forestry resources development within their areas of jurisdiction. Furthermore, Districts have mandate to manage land, environment, wetlands and wildlife outside protected areas. Districts have mandate over community development, agriculture development and ensuring over-all development planning. During the R-PP formulation, district political and technical leadership were consulted through regional workshops and during Expanded Consultations programme (Section 1.14). Districts were represented in the REDD-Plus Working Group and Steering Committee deliberations.

#### **e) Participation by non-government institutions**

The R-PP formulation process benefitted from a variety of non-government institutions consisting of NGOs, Private Sector, Academia and Cultural Institutions through provision of information, advice and service during public consultations (Section 1.14).

### **1.6 Institutional mandates and participation in R-PP implementation (2012-2014)**

The R-PP shall be implemented by Government of Uganda with active participation of stakeholders (Component 1(c)). Stakeholders will participate in the following activities:

- a) Piloting sustainable forest management initiatives such as Collaborative Forest Management (CFM), Collaborative Resources Management (CRM) and Ecotourism.
- b) Establishing carbon stocks.
- c) Promotion of sustainable forest resources utilization technologies.
- d) Supervision, coordination and monitoring R-PP implementation.
- e) Assessment of causes and drivers of deforestation and forest degradation.
- f) Defining Uganda's REDD-Plus Strategy Options.
- g) Defining REDD-Plus Strategy implementation arrangements and modalities.
- h) Development of ESMF, MRV system, Forest reference level, Communications Strategy, Consultations and Participation Strategy, Grievances and Conflict Management Strategy, etc.
- i) Capacity building activities.

The following sections provide detail on institutional arrangements for R-PP implementation and coordination. The institutional arrangements described take into account the fact that the REDD-Plus Strategy will be national product that should be developed through a government led process. It is further considered to engage a process that ensures accountability for resources supporting the R-PP implementation whilst engaging the various lead agencies and stakeholders in the process. Lastly, the arrangements aim at ensuring government and national wide ownership of the REDD-Plus Strategy and commitments therein.

The following institutions will be responsible for ensuring that the R-PP is satisfactorily implemented.

#### **a) The National Policy Committee on Environment**

The over-all Policy coordination and harmonization with regards to REDD-Plus shall be responsibility of the National Policy Committee on Environment under the Office of the Prime Minister (Figure 2). The National Policy Committee on Environment is a legal organ established in 1995 under the Environment Act of Uganda (Cap 153). The Policy Committee provides a forum for coordinating and harmonizing policy issues pertaining to REDD-Plus due to its legality as well as its composition and mandate. Its membership consists of Prime Minister (Chair), ministers responsible for: i) Natural resources and Environment; ii) Agriculture, Animal Industry and Fisheries; iii) Finance, Planning and Economic Development; iv) Education and Sports; v) Health; vi) Land, Housing and Urban Development; vii) Local governments; viii) Gender and Community development; ix) Tourism, Wildlife and Antiquities; and, x) Trade and Industry<sup>1</sup>. According to the Environment Act, the functions of the National Policy Committee on Environment are to: i) provide policy guidelines and to formulate and coordinate environmental policies for the Environment Authority (NEMA); ii) liaise with the Cabinet on issues affecting the environment; iii) identify obstacles to the implementation of environment policies and programmes and ensure implementation of these policies and programmes; iv) perform any other functions that may be assigned to it by government.

The National Policy Committee on Environment shall perform the following functions during 2012-2014:

- i. Harmonize Government policies pertaining to REDD-Plus with sectoral ministries.
- ii. Liaise with the Cabinet on issues affecting the smooth implementation of REDD-Plus Strategy.

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<sup>1</sup> The Composition of the National Policy Committee on Environment does not include the ministry responsible for Energy. It is therefore proposed to include the Ministry responsible for renewable energy in deliberations on REDD-Plus Strategy formulation and implementation.



- iii. Harmonize the implementation of REDD-Plus with broader Climate Change initiatives in Uganda.

#### **b) Ministry of Water and Environment**

The ministry responsible for forestry resources management in Uganda (presently, Ministry of Water and Environment) shall be **Lead ministry** for coordinating implementation of the R-PP. This decision takes into account the fact that REDD - Plus concerns itself, largely, with forestry resources conservation and management and hence the mandate of the ministry. Specifically, the Ministry of Water and Environment will perform the following functions and responsibilities:

- i. Supervision, co-ordinate and report on the progress of preparing REDD-Plus Strategy for Uganda.
- ii. Ensure that R-PP budget is reflected in the lead and sectoral ministry's plans, budgets and accounts.
- iii. Facilitate the integration REDD-Plus Strategies and actions into plans and budgets of implementing agencies.
- iv. Provide a stable and enabling work environment for the implementation of the R-PP.
- v. Convene REDD-Plus Steering Committee (RSC) and the National Technical Committee.

The Ministry of Water and Environment has designated the Forestry Sector Support Department (FSSD) to serve as **National REDD-Plus Focal Point** to undertake the day-to-day tasks of implementation effective 2012 because of its mandate over forestry policy management in Uganda. The National REDD-Plus Focal Point shall be responsible for facilitating implementation linkages between the Ministry of Water and Environment and other implementing institutions and REDD-Plus Steering Committee and the National Technical Committee.

The specific tasks for the Focal Point are:

#### **➤ Implement mandate of the Lead Ministry** with respect to:

- Reporting and Communication about REDD-Plus and R-PP implementation progress.
- Coordination of R-PP implementation within the Lead ministry and with other ministries, government agencies, NGOs, Private Sector, etc.
- Budgeting and financial management and reporting.
- Facilitating relevant forums.

#### **➤ Represent Lead Ministry** in R-PP implementation activities including:

- Providing information and advice to the REDD – Plus Steering Committee (RSC).
- Convening and facilitating the work of the National Technical Committee.
- Serving as Secretary to the RSC meetings and national Technical Committee.
- Participating in R-PP related Forums and meetings within and outside the Country.

#### **➤ Implement day-to-day activities** including:

- Coordinating implementation of FSSD REDD-Plus activities.
- Coordinating implementation of R-PP activities by other institutions.
- Monitoring, assessing and reporting on progress of implementation.

## 7 Managing R-PP implementation budget.

It is envisaged that the FSSD capacity will be strengthened prior to and during R-PP implementation as appropriate. This capacity strengthening effort will be preceded by a capacity needs assessment aiming at identifying critical capacity needs in order for the FSSD to effectively deliver the mandates. It further envisaged that FSSD will assign tasks and responsibilities to other Lead agencies (e.g., NFA, NEMA, Districts) and implementing institutions (e.g., NGOs, Private Sector) where appropriate.

### c) National Technical Committee

The REDD-Plus Steering Committee shall establish and supervise a National Technical Committee comprising of individual experts drawn from key areas of specialization within and outside government. The National Technical Committee shall take over the technical role provided by the REDD-Plus working group during 2009-2011.

Representatives to the National Technical Committee shall be selected by the REDD-Plus Steering Committee taking into account the following expertise among others: forestry management, forestry/biomass mapping and surveying, Forestry policy and legal, Carbon finance, REDD/Carbon projects implementation, Natural resources economics, Socio-economics, among others.

The following shall be the functions of the National Technical Committee:

- i. Oversee the technical aspects of preparation of the REDD-Plus Strategy for Uganda.
- ii. Ensure quality and standards and compliance to REDD-Plus principles.
- iii. Provide specialist inputs into the design of REDD-Plus Strategies, tools and methodologies.

### d) Implementing institutions

REDD-Plus Preparation Proposal implementation shall involve other institutions in addition to the ministry responsible for forestry. Institutions that will be assigned tasks by the REDD-Plus Steering Committee are referred to **“Implementing Institutions”**. These institutions will be from within and outside government taking into account their i) legal mandates over applicable aspects of R-PP implementation; ii) capacities and capability to deliver the tasks. The Lead Ministry shall commit and assign these institutions. Activities assigned to the Implementing Institutions shall be eligible for budget allocation from the R-PP implementation budget.

Whereas the selection of the “Implementing Institutions” will be made at latter date when the REDD-Plus Strategy for Uganda has been finalized, it is envisaged that the following institutions will be among them due to their mandates Table 1 below.

Table 1: Provisional list of potential Implementing Institutions during R-PP Implementation

Institution	Mandate
Uganda Wildlife Authority	Management of forested Wildlife Protected areas (National Parks and Wildlife Reserves).
National Forest Authority	Management of Central Forest Reserve, Biomass mapping and Inventory.
Wetlands Management Department	Management of Wetlands (and Wetland forests).

Local Government Administration (Districts in pilot areas)	Management of land scape and resources outside centrally managed protected areas.
Uganda Bureau of Statistics	National Data and information management.

The Implementing Institutions shall perform the following functions:

- i. Implement and report on progress of implementation on assigned tasks.
- ii. Participate in the REDD-Plus Steering Committee.
- iii. Host and facilitate functioning of Taskforces.

#### **e) Task Forces**

R-PP implementation shall be supported by theme-based Taskforces, appointment on a case by case basis by the Lead Ministry on recommendation of the National Steering Committee. The following themes shall be considered to be supported by a designated Taskforce: i) Policy, Legal and Institutions; ii) Methodological issues (Tools and Procedures for Measuring, Reporting and Verifying REDD-Plus actions; iii) Social and Environmental Safeguards; iv) REDD-Plus Demonstration activities, and; v) Participation and Consultation.

Membership to the taskforce shall consider individual expertise and availability to support the theme. As much as possible, institutions with information/data and capacities in a specific theme shall be invited to assign a staff member to serve on a relevant Taskforce. Each theme shall be housed within one of the Implementing institutions.

Reporting to the “Host” institution, the broad functions of the Taskforces are to:

- i. Design and provide oversight to the strategies corresponding to the themes.
- ii. Provide specialist input into the preparation of REDD-Plus Strategy.
- iii. Facilitate technical level coordination and sharing of information with own institutions.

### **1.7 R-PP implementation Supervision, Coordination and Monitoring (2012-2014)**

The preparation of the R-PP has been spearheaded by the Ministry of Water and Environment with involvement of lead agencies, Districts and, NGO, Private Sector, Academia and Cultural Institutions representing respective Stakeholders. In order to ensure ownership beyond the Ministry of Water and Environment, Stakeholders shall continue to participate and influence the finalization of Uganda REDD-Plus Strategy and national preparedness for REDD-Plus. In this regards, R-PP implementation shall involve multiple institutions whilst ensuring compliance to national policies and REDD-Plus procedures and standards.

To achieve the above scenario, R-PP implementation requires an effective institutional coordination, supervision and monitoring mechanism. The following section describes coordination and supervision mechanisms while the monitoring aspects are presented in Component 6. Figure 2 below presents an organogramme showing the coordination and supervision arrangements.

#### **a) Responsibility of the Lead Ministry**

The Ministry of Water and Environment shall assume executive function for coordinating and supervising R-PP implementation. The R-PP implementation shall apply a multi-stakeholders sectoral approach similar to the Water and Environment/ Natural Resources Sector (WENR) Investment Plan implementation and coordination approach. In this approach, all implementing institutions shall implement activity plans derived from the over-all R-PP implementation plan. These activity plans will also serve as the basis for budget allocation. Implementing institutions shall report, communicate and obtain/provide feedback mechanisms shall follow those applied under the WENR.

**b) Responsibility of REDD-Plus Steering Committee**

A national REDD – Plus Steering Committee shall serve as an advisor to the Lead Ministry. It shall be established by the Ministry of Water and Environment and comprised of Central Government ministries and agencies, Local Governments, NGOs, Academia, and Private Sector agencies (Table 2). Implementing Institutions shall serve as advisors to the REDD-Plus Steering Committee.

**Table 2: Composition of REDD –Plus Steering Committee (up to December 2011)**

Institution	Name
Ministry Responsible for Forests (Chair)	David Obong
Office of the Prime Minister (OPM)	Sylvia Biraahwa Nakabugu
Ministry of Energy and Minerals Development	Sam Barasa
Ministry of Tourism, Trade and Industry	George Owoyesigire
Ministry of Gender, Labour and Social Development	Shem Mwesigwa
Ministry of Finance, Planning and Economic Development	Joyce Ruhweza
Ministry of Agriculture, Animal Industry and Fisheries	Alex Bambona
Ministry of Land, Housing and Urban Development	Vincent Byendamira
National Environment Management Authority	Francis Ogwal
National Forest Authority (Secretariat to the RSC)	Hudson Andrua
Uganda Wildlife Authority	Richard Kapere
Climate Change Unit (MWE)	Paul Isabirye
Parliamentary Forum on Climate Change	David Ebong
District Local Government representative (Mukono)	Dennis Ombasa
Ministry of Local Government	Margaret Lwanga
Department of Forestry Sector Support Department	Rachael Musoke
Royal Norwegian Embassy	1 <sup>st</sup> Secretary, Development Cooperation
World Bank	Country Director
NGO/CSO	
i.    IUCN	Barbra Nakangu
ii.   Environmental Alert	Charles Waraga
Private Sector (Uganda Tree Growers Association)	Robert Nabanyumya
Representative of Cultural Institution	Yahaya Sekagya
Indigenous people/Forest Dependent People	Margaret Lomonyang

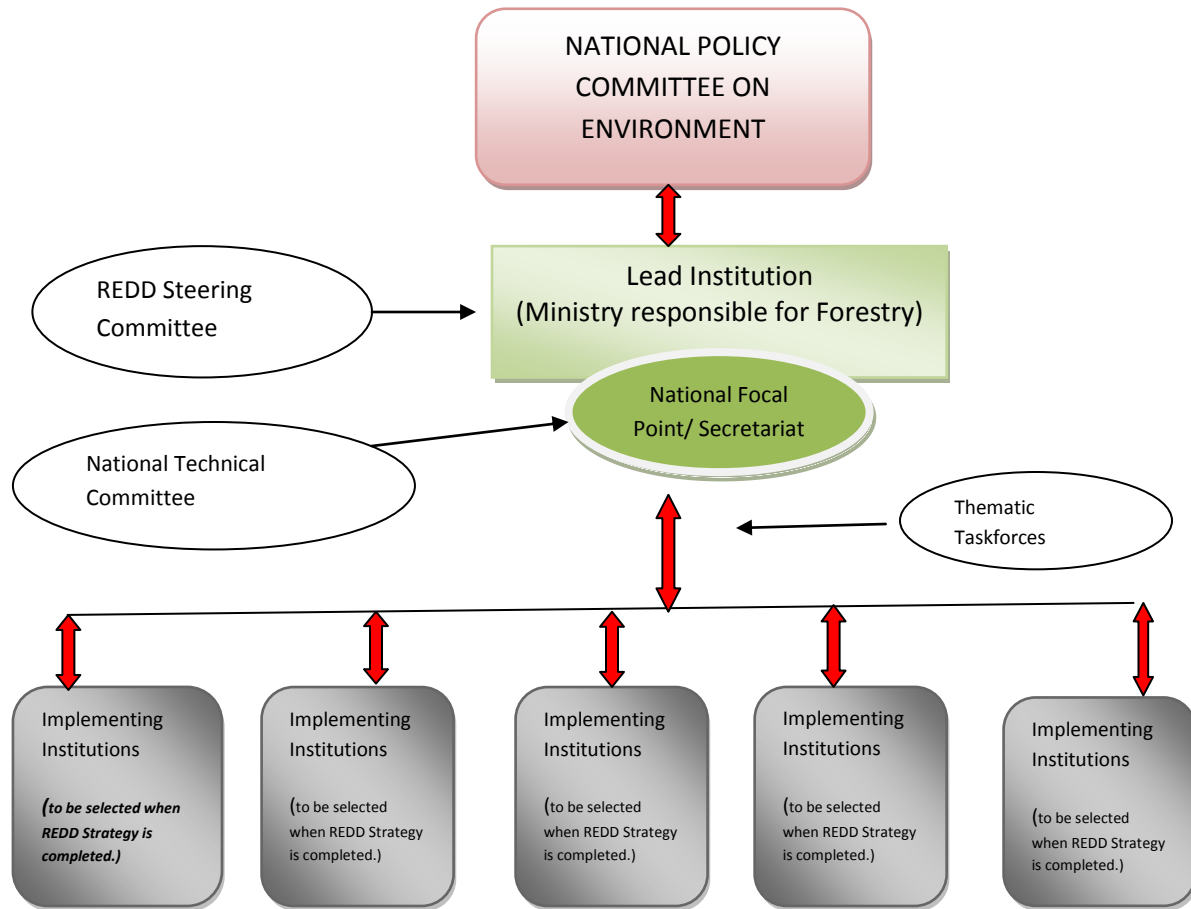
*Note: The Steering Committee during 2012-2014 may adopt or modify this composition due to anticipated institutional reforms in 2011.*

Reporting to the Permanent Secretary in Ministry of Water and Environment, the REDD-Plus Steering Committee shall perform the following functions:



- a) Provide strategic direction and policy guidance to the R-PP implementation.
- b) Provide linkages and feedback to Ministries, Lead agencies, Implementing Institutions, Districts and Non-government actors (NGOs, Private Sector, Cultural institutions, Indigenous people, etc.) regarding development of REDD-Plus Strategy Options.
- c) Approve work plans/activity plans and budgets.
- d) Recommend establishment of National Technical Committee and Thematic Task Forces.
- e) Handle institutional grievances and conflicts arising out of their participation in R-PP implementation.
- f) Recommend establishment of mechanisms for resolving institutional conflicts or disagreements during the 2012-2014 implementation period.
- g) Recommended the National REDD-Plus Strategy to government for approval.

The REDD-Plus Steering Committee shall continue to be convened by the Permanent Secretary of the Ministry of Water and Environment and facilitated by the REDD-Plus Focal Point (FSSD) as its Secretariat. It will transact its business via formal meetings and information sharing. Although the Steering Committee is comprised of non-paid members, its direct expenditures and costs shall be met by the R-PP implementation budget. The Steering Committee shall adopt its own Rules of Procedure.

Figure 2: Implementation Coordination and Supervision Structure



Note:

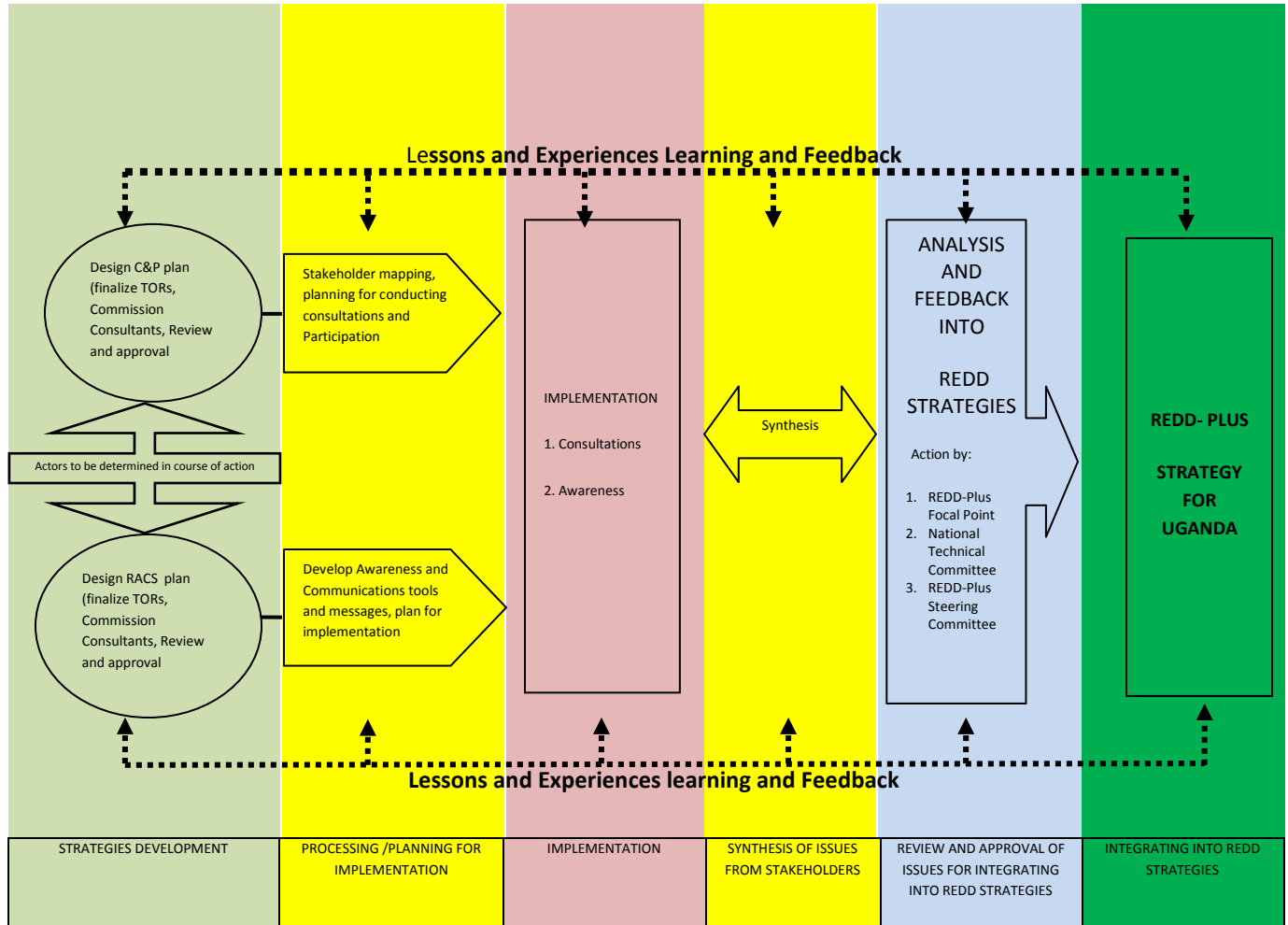
 = Reporting and accountability responsibility  
 = Advisory and Participation

*Implementing Institutions will be specified later when the REDD-Plus Strategies have been confirmed. This is intended to ensure that REDD-Plus Strategies are assigned to most appropriate institutions. The REDD-Plus Steering Committee shall recommend Implementing institutions and tasks and budget to be assigned. The MWE shall commit and assign work to the Implementing Institutions.*

## 1.8 Consultations and Feedback into REDD-Plus Strategies

Using the Monitoring and Evaluation framework (Component 6), responses and views generated from consultations shall be analyzed by the REDD-Plus National Focal Point and presented to the National Technical Committee and REDD- Plus Steering Committee for consideration before incorporating them into the REDD-Plus Strategies. More so, experiences and lesson generated from the Consultations processes will be regularly synthesised and applied to inform the subsequent consultations process (Figure 3).

Figure 3 below presents the Consultations and feedback loop.



Key:

	Strategy Development ...oversee by Steering Committee with Participation of Stakeholders
	Action by REDD –Plus National Focal Point/Secretariat
	Implementation of Strategies (conducting Consultations and applying the awareness tools and messages) by designated Implementing institutions
	Actions by the Steering Committee, National Technical Committee, Taskforces and REDD-Plus National Focal Point/Secretariat
	Actions by the REDD-Plus National Focal Point/Secretariat

The above feedback process and Loop will be refined during the preparation of the REDD-Plus Consultations and Participation Plan and REDD-Plus Awareness and Communications Strategy.



## 1.9 Policy, institutional and legal provisions and requirements for R-PP implementation in Uganda

A conducive policy, legal and institutional framework that is consistent with the emerging international REDD-Plus principles is essential for successful implementation of REDD - Plus Readiness Preparation Proposal in Uganda. This section presents an analysis of provisions and requirements based on current policy, institutional and legal regimes in Uganda. Section 2.8 recommends further policy and legal analysis when the REDD-Plus Strategies have been confirmed so as to ensure conformity of these strategies.

### 1.9.1 Policy and legal frameworks supporting R-PP implementation

The Uganda's policies and legislation are adequate for R-PP implementation. Specifically, they provide the following foundations of successful R-PP:

- i. Commitment to sustainable forest management and maintenance of Permanent Forest Estate.
- ii. Stakeholder participation (private sector, academia, and communities, forest dependent people).

The following policy and legal frameworks support the R-PP implementation (Table 3)

Table 3: Analysis of Policy and legal framework for R-PP implementation

Framework	Provisions Relevance to R-PP
<b>Legal</b>	
The Constitution of Republic of Uganda (amended 2005)	✔ Provides for management of Uganda's natural resources, forestry and land resources inclusive.
Forestry and Planting Act (8/2003)	✔ Legal framework for management of forest resources ✔ Incentives including sharing of benefits from conservation of Forestry Protected Areas ✔ Stakeholder participation
Wildlife Act cap 200	✔ Legal framework for management of forested Wildlife Protected Areas ✔ Incentives including sharing of benefits from conservation of Wildlife Protected Areas ✔ Stakeholder participation
Local Government Act	✔ Stakeholder participation ✔ Decentralised (devolved) management of Local forest reserves
National Environment Act cap 153	✔ Incentives including sharing of benefits from biodiversity conservation ✔ Development and promotion of environmental policy guidelines and standards ✔ Stakeholder participation
Land Act cap 227	✔ Stakeholder participation ✔ Legal Framework for management of land and land resources
<b>Policy</b>	
Forest Policy (2001)	✔ Stakeholder participation ✔ Maintenance of Permanent Forest Estate ✔ Policy guidelines for Sustainable Forest Management
National Environment Policy (1995)	✔ Stakeholder participation

	<ul style="list-style-type: none"> <li>➤ Policy guidelines for Environmental Management</li> </ul>
Wildlife Policy (1999)	<ul style="list-style-type: none"> <li>➤ Stakeholder participation</li> <li>➤ Conservation of forests in Wildlife Protected Areas</li> <li>➤ Policy guidelines for Management of Wildlife and Wildlife Protected Areas</li> </ul>
District Ordinances and Byelaws	<ul style="list-style-type: none"> <li>➤ Environmental management</li> <li>➤ Guidelines for management of Local Forest Reserves</li> <li>➤ Stakeholder participation</li> <li>➤ Incentives for stakeholder participation and engagement</li> </ul>
National, Districts and Sector Development Plans	
National Development Plan (2009)	<ul style="list-style-type: none"> <li>➤ Sustainable development through preservation of natural resources such as forests</li> </ul>
National Forest Plan (2002)	<ul style="list-style-type: none"> <li>➤ Sustainable forest management</li> <li>➤ Maintenance of Permanent Forest Estate</li> </ul>
District Development Plans	<ul style="list-style-type: none"> <li>➤ Environmental Action Plans</li> <li>➤ District Forest Plans</li> </ul>
Regulations	
Collaborative Forest Management Guidelines.	<ul style="list-style-type: none"> <li>➤ Community participation in forest management.</li> <li>➤ Benefit sharing between NFA and the communities.</li> <li>➤ Development of community regulations.</li> </ul>
Environmental Impact Assessment Guidelines	<ul style="list-style-type: none"> <li>➤ Regulating environmental aspects of developments and development planning in relation to environmental management standards and requirements.</li> </ul>

## 1.9.2 Institutional framework for R-PP implementation

Institutional arrangements for implementation of R-PP are described in Section 1.14. However, the following institutions (Table 4) that have mandate over respective activities of REDD-Plus shall be prominently engaged in the preparation of REDD-Plus Strategy for Uganda.

Table 4: Institutional mandates supporting development of Uganda REDD Strategies

Institution	Mandate applicable to R-PP implementation
Ministry of Water and Environment (MWE)	<ul style="list-style-type: none"> <li>➤ Implementation of National Forestry Policy and National Forest Plan</li> <li>➤ R-PP implementation coordination and supervision</li> </ul>
Forestry Sector Support Department (FSSD)	<ul style="list-style-type: none"> <li>➤ Advice and support to define policies, standards and regulations for the forestry sector.</li> <li>➤ REDD- Plus National Focal Point (effective 2012)</li> </ul>
National Forest Authority (NFA)	<ul style="list-style-type: none"> <li>➤ Technical support in pilot activities in relation to Central Forest Reserves</li> <li>➤ Provision of Expertise and data in forestry resources and biomass</li> </ul>
Uganda Wildlife Authority (UWA)	<ul style="list-style-type: none"> <li>➤ Technical support in pilot activities in relation to forested Wildlife Conservation Areas</li> <li>➤ Provision of Expertise and data on past and ongoing Carbon projects within National Parks</li> </ul>

National Environment Management Authority (NEMA)	<ul style="list-style-type: none"> <li>➤ Technical support in pilot activities</li> <li>➤ Provision of Expertise and data on environmental trends, biodiversity, etc.</li> </ul>
Ministry of Energy and Minerals Development (MEMD)	<ul style="list-style-type: none"> <li>➤ Implementation of National Energy Policy</li> <li>➤ Technical support in pilot activities in relation to renewable energy</li> <li>➤ Provision of Expertise and data in renewable energy development, use and trends</li> </ul>
Ministry of Tourism, Trade and Industry	<ul style="list-style-type: none"> <li>➤ Implementation of National Trade Policy</li> <li>➤ Regulating and licensing Trade in Forest produce e.g., timber, Charcoal</li> </ul>
Ministry of Gender, Labour and Social Development	<ul style="list-style-type: none"> <li>➤ Implementation of Policies on Gender, Culture, Community Development, Disabled and Elderly People, etc.</li> <li>➤ Provision of data on culture and indigenous people, etc</li> </ul>
Ministry of Finance, Planning and Economic Development	<ul style="list-style-type: none"> <li>➤ Development and coordination of implementation of National Development Plans</li> <li>➤ Implementation of National Population Policy</li> </ul>
Ministry of Agriculture, Animal Industry and Fisheries	<ul style="list-style-type: none"> <li>➤ Implementation of National Policies on Agriculture, Food security, Livestock and Rangeland management</li> <li>➤ National Focal Point for UN-CCD</li> </ul>
Ministry of Land, Housing and Urban Development	<ul style="list-style-type: none"> <li>➤ Implementation of National Land Use Policy</li> <li>➤ Implementation of Land tenure and land administration (including surveying and registration of titles)</li> </ul>
Local Government (Districts)	<ul style="list-style-type: none"> <li>➤ Technical support in pilot activities on privately owned land and Local Forest Reserves</li> <li>➤ Provision of Expertise and data on Community initiatives</li> <li>➤ Mobilizing communities and Stakeholders</li> </ul>
National Agricultural Research Organization (NARO) (National Forestry Resources Research Institute (NaFORRI))	<ul style="list-style-type: none"> <li>➤ Technical support in pilot research activities</li> <li>➤ Provision of Expertise and data on forestry, land, soils, etc.</li> </ul>
Universities	<ul style="list-style-type: none"> <li>➤ Technical support in pilot research activities</li> <li>➤ Provision of Expertise and data (Social, economic, environmental)</li> </ul>
Community	<ul style="list-style-type: none"> <li>➤ Participation in Sustainable Forest Management</li> <li>➤ Indigenous knowledge Information</li> <li>➤ Implementation of Pilot activities</li> </ul>
NGOs/CSO	<ul style="list-style-type: none"> <li>➤ Mobilizing Stakeholders to participate</li> <li>➤ Monitoring quality and adherence to REDD principles</li> <li>➤ Technical support in pilot areas</li> </ul>
Private Land Owners	<ul style="list-style-type: none"> <li>➤ Participation in Sustainable Forest Management</li> <li>➤ Implementation of Pilot activities</li> </ul>
Private Forest Owners	<ul style="list-style-type: none"> <li>➤ Participation in Sustainable Forest Management</li> <li>➤ Implementation of Pilot activities</li> </ul>

For effective implementation of the R-PP, the above institutional landscape will be enhanced through:

- a) Mobilizing Private sector institutions to participate in R-PP Implementation.
- b) Initiating Community and individual farmer's capacity to pilot projects.

- c) Developing and applying binding procedures, systems and tools for stakeholder participation in Strategy development.

## **1.10 Policy and legal frameworks likely to hinder R-PP implementation**

The likely weakness or constraint that has potential to negatively affect R-PP implementation are the policy and legal gaps relating to licensing of Carbon trade and defining Carbon rights. Additional policy and legal constraints pertaining to R-PP implementation are described in Component 2(a).

## **1.11 Relationship between REDD –Plus and Uganda’s Forestry and Development Policies**

### **1.11.1 Relationship between REDD-Plus and Forestry Policy for Uganda**

#### **a) Relationship with the Forestry Policy**

The R-PP derives its legitimacy from the National Forestry Policy (2002) and National Forest Plan (2003) (under revision). The R-PP contributes the National Forestry Policy goal of *An integrated forest sector that achieves sustainable increases in the economic, social and environmental benefits from forests and trees by all the people of Uganda, especially the poor and vulnerable* and objectives as stated in the National Forestry Policy (2002). Specific relationship is described in Annex 2.

#### **b) Relationship with National Forest Plan beneficiaries and targets**

The REDD-Plus Strategy supplements the National Forest Plan through the strategies that address deforestation and forest degradation, monitoring of emission reduction, marketing REDD Carbon credits, distributing benefits equitably among stakeholders including the poor and vulnerable, sustainable forest management, biodiversity conservation, community participation and, engaging partners to implement these activities. Details are described in Annex 2.

### **1.11.2 Relationships with National Development Plan (NDP)**

Uganda’s 2010-2019 National Development Plan (NDP) aims to increase forest cover from 3,604,176ha to 4,933,746ha by 2015. It commits to enhance capacity for: i) enforcing forestry law; ii) private tree planting, and, iii) farm forestry. The R-PP activities which will involve tree planting and development of tools and methodologies for monitoring impact of REDD-Plus on forestry resources in Uganda contribute to the aims of NDP on forestry and capacity building for forestry resources development and management. Details are described in Annex 2.

### **1.11.3 Relationship with forestry conservation and management programmes**

The R-PP implementation will add value to ongoing forestry programmes in the following areas: management of forested protected areas, baseline information and inventory, forest restoration, enhancing incomes from forestry resources management and promotion of stakeholders’ participation in forestry resources development and management. Details are described in Component 2(a).

#### **1.11.4 Relationship between R-PP implementation and Climate Change initiatives and programmes**

The R-PP recognizes and seeks to collaborate with a variety of Climate Change initiatives and programmes of government, NGOs, CSOs, Private Sector and general public so as to ensure that appropriate strategies for reducing emissions from deforestation and forest degradation are developed and effectively implemented. The R-PP also seeks to interact with and utilize areas of synergy and complementarities with ongoing and future programmes. Details are described in Component 2 (a).

#### **1.12 Addressing Key social and environmental risks and potential impacts**

The R-PP recognizes the need to identify key social and environmental risks and work towards avoiding, minimizing or eliminating negative impacts or mitigating negative consequences if these are inevitable, while elaborating on means of creating benefits for the people and the environment. The process of identifying risks and potential negative impacts and mitigation measures will be addressed under Component 2(d). This will be undertaken alongside designing measures for ensuring compliance to the World Bank Safeguard Policies.

#### **1.13 Qualifying Uganda's REDD-Plus Readiness Proposal**

According to the general principles of R-PP, the following are the elements that qualify Uganda's R-PP.

- a) Uganda R-PP has been duly approved as a Roadmap for Uganda towards preparing Uganda to be ready for REDD-Plus. It also proposes to build capacity and put in place the necessary policy and institutional systems and procedures for REDD-Plus implementation.
- b) The R-PP provides actions for carrying out a comprehensive national baseline over which to estimate any actions on REDD-Plus (Component 2(a))
- c) The R-PP includes Terms of Reference for developing:
  - i. A robust and transparent national forest monitoring system for the monitoring and reporting of REDD-Plus activities.
  - ii. Reference Scenario for forestry resources in Uganda.
  - iii. A comprehensive Strategic Environment and Social Assessment of likely impacts and benefits of REDD-Plus.
  - iv. Conducting studies such as forestry resources baseline, analyzing domestic leakages, Opportunity costs, etc. (Component 2(b)).
- d) R-PP has been developed through a participatory process involving lead agencies and stakeholders (forest dependent people, community's forestry resource users, special groups<sup>2</sup> such as dealers in forest produce as elaborated in (Section 1B) and Appendix 5 (a) and 5(b).
- e) R-PP is based on adequate baseline information including the following:
  - i. Drivers of deforestation and forest degradation and strategies for addressing them proposed (Component 2(a)).
  - ii. Land and Carbon tenure (Component 2(a)).
  - iii. Forest governance (Component 2(a)).

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<sup>2</sup> Special Groups is a Category describing commercial forest resources users (charcoal dealers –producers, transporters, traders; firewood dealers, Poles dealers, Sand and Clay dealers, etc.).

- iv. Stakeholder mapping (Component 2(a)).
- f) R-PP implementation, coordination and supervision are consistent with national policies and procedures for such undertakings.

**Table 5: Summary of Activity and Schedules for National Readiness Management Arrangements Activities and Budgets (US\$)**

Main Activity	Sub-Activity	Estimated Cost (US\$ "000")				
		Lead	2012	2013	2014	Total
Engage the National Policy Committee on Environment	Convene meetings, prepare information and briefings	OPM	0	-	-	-
National Focal Point — establish and operationalize the National Focal Point	Office costs...office space, personnel, travel, communications, office supplies, capacity strengthening	FSSD	10	11	12	33
National Focal Point personnel Costs...	Hiring technical personnel and associated costs	FSSD	36	38	40	114
National Technical Committee Costs...	Formation of the NTC , meeting and operations costs	FSSD	6	6	6	18
Taskforces Costs...	Formation of Taskforces, meeting and operations costs	FSSD	8	8	8	24
R-PP Implementation Coordination and supervisions	REDD Steering Committee... ... formation of RSC, meeting and operations costs	MoWE	2	2	2	6
<b>Total</b>			<b>\$62</b>	<b>65</b>	<b>68</b>	<b>195</b>
Domestic Government		US\$	US\$ 10	US\$ 10	US\$ 10	US\$ 30
FCPF		US\$	US\$ 52	US\$ 55	US\$58	US\$ 165
UN-REDD Programme (if applicable)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 1 (name)		US\$	US\$	US\$	US\$	US\$

## 1 B. INFORMATION SHARING AND EARLY DIALOGUE WITH KEY STAKEHOLDERS

### Information Sharing and Early Dialogue with Key Stakeholder Groups

The R-PP presents evidence of the government having undertaken an exercise to identify key stakeholders for REDD-plus, and commenced a credible national-scale information sharing and awareness raising campaign for key relevant stakeholders. The campaign's major objective is to establish an early dialogue on the REDD-plus concept and R-PP development process that sets the stage for the later consultation process during the implementation of the R-PP work plan. This effort needs to reach out, to the extent feasible at this stage, to networks and representatives of forest-dependent indigenous peoples and other forest dwellers and forest dependent communities, both at national and local level. The R-PP contains evidence that a reasonably broad range of key stakeholders has been identified, voices of vulnerable groups are beginning to be heard, and that a reasonable amount of time and effort has been invested to raise general awareness of the basic concepts and process of REDD-plus including the SESA.

Uganda's R-PP formulation process emphasized multi-stakeholder consultation and participation aiming at sensitizing various stakeholders on REDD-Plus and its concepts, soliciting their views and promoting understanding of REDD-Plus, capturing their presumed expectations and anticipated roles and responsibilities in the REDD-Plus process. The process was guided by an Outreach and Participation Plan developed at the onset of the consultations process (Annex 3). Consultations were extensively carried out at national and regional levels, with special groups and forest dependent people (Section 1.14).

For all consultations workshops and meetings, the approach used included:

- i. Raising awareness about the REDD-Plus and R-PP process before and during consultations through use of promotional materials (brochures, banners, fact sheets) and, radio and TV Programmes.
- ii. Sharing information about Forestry management and its relationship with Climate Change in Uganda and REDD-Plus programmes and R-PP was done through workshops, community public hearing, interviews, the radio talk shows, focus group discussions were formed according to social economic status of participants each group made and participants were free to share information through testimonies.
- iii. Soliciting for views on drivers of deforestation and forest degradation, effects of deforestation and forest degradation, ongoing actions to address the drivers or effects.
- iv. Developing strategies and actions for tackling deforestation and forest degradation.
- v. Stakeholder (identifying those actively promoting deforestation and forest degradation and affected by deforestation and forest degradation).
- vi. Defining interests, expectations and roles during R-PP process and R-PP implementation.

Additionally, a consultations and outreach plan for guiding continued consultations during R-PP implementation has been proposed (Component 1(c)).



## **1.14 Information sharing and Early Dialogue with Stakeholder during R-PP formulation (2009-2011)**

Information sharing and early dialogues about REDD-Plus and R-PP process was conducted under four major categories: a) R-PP Steering Committee; b) REDD Working Group; c) Nation-wide Multistakeholder forums; d) Focused groups representing “forest-dependent” people; e) Donors and Development partners in Uganda; and, f) Government Policy and decision makers . This process was coordinated by MWE and overseen by REDD-Plus Working Group through a Consultations’ Methodology developed by RWG at the onset of R-PP (Annex 3 and Annex 4). Additionally, the SESA study provided additional inputs in form of proposals to develop a comprehensive Environment and Social Management Framework (Component 2 (d)). Stakeholder consultations were facilitated by the R-PP Secretariat as well as volunteer organizations (IUCN and CARE) and Contracted NGOs. FCPF through the World Bank and the Norwegian Government financed the process while CARE and IUCN provided in kind support. The results of the Consultations have been utilized to feed into this R-PP.

Information sharing and early dialogue was supported by an R-PP Awareness Strategy (Appendix 6). A series of awareness and outreach actions spearheaded by the National Focal Point and the R-PP Secretariat using variety of tools and approaches including REDD-Plus Brochure (Appendix 7), REDD -Plus Banner (Appendix 8), participation in policy meetings and related workshops and events within and outside Uganda, sensitization during Stakeholder Consultations, documentary on REDD-Plus and R-PP in Uganda and, electronic communication using E-mail.

### **1.14.1 Information sharing and early dialogue**

#### **1.14.1.1 Consultations and early dialogue with REDD-Plus Steering Committee**

The Steering Committee that was formed in June 2010 provided policy level support in the following areas.

- i) Strategic direction and policy guidance to the R-PP formulation process.
- ii) Platform for linkages to sectoral ministries and government agencies.
- iii) Endorsed and recommended the R-PP proposal for approval by Government of Uganda.

#### **1.14.1.2 Consultations and early dialogue with REDD Working Group**

The REDD-Plus Working Group that was created in March 2010 served as platform for Stakeholder participation. The RWG functioned through meetings convened by the Chair. The RWG formed four sub-working groups namely; i) Policy, Legal and Institutions; ii) Methodological issues (Tools and Procedures for measuring, reporting and verifying REDD-Plus action iii) Social and Environmental Safeguards; and, IV) Participation and Consultation. The sub-working groups worked with Consultants to provide technical inputs into the assigned tasks.

The RWG functioned through meetings and e-mail interactions to provide guidance in major policy, methodological and technical aspects of the formulation of R-PP. A total 7 meeting sessions of RWG and 5 RWG Subgroup meetings were convened to formulate the R-PP. A Tele-conference involving representatives of REDD Working Group and R-PP Secretariat was convened on 10<sup>th</sup> February 2011 with FCPF to discuss initial response by FCPF on Uganda informal submission. REDD Working Group was

convened on 28<sup>th</sup> February 2011 to consider and endorse revised R-PP incorporating FCPF and TAP Reviews comments (Table 6).

Table 6: Schedule of RWG meetings and outputs

Date	Level of Participation	Purpose	Key Outputs
<b>REDD Working Group Sessions</b>			
25 <sup>th</sup> – 26 <sup>th</sup> March, 2010	60	<ul style="list-style-type: none"> <li>➤ Bring relevant stakeholders up to speed</li> <li>➤ To provide an update about the process in Uganda</li> <li>➤ Provide background information about the WB FCPF and R-PP requirements</li> <li>➤ Reach agreement on a process, timeline and budget for the way forward - Including required commitments and contributions of WG</li> </ul>	<ul style="list-style-type: none"> <li>➤ Times lines and activities were set to kick start preparation of the R-PP</li> </ul>
17 <sup>th</sup> June 2010	10	<ul style="list-style-type: none"> <li>➤ Second REDD working finalize the Consultations Process</li> <li>➤ Defining methodologies</li> <li>➤ Defining Terms of Reference for Studies</li> <li>➤ Define Compositions</li> <li>➤ Define working modalities</li> <li>➤ Setting up Sub-groups Redefining Compositions Setting R-PP Structures</li> </ul>	<ul style="list-style-type: none"> <li>➤ Consultations process Guidelines</li> <li>➤ Working Groups (Consultations, Methodology, MRV)</li> </ul>
24 <sup>th</sup> June 2010	15	<ul style="list-style-type: none"> <li>➤ Resumed session of the REDD – Plus Working Group of the second working group meeting</li> </ul>	<ul style="list-style-type: none"> <li>➤ R-PP Structure</li> <li>➤ RWG Compositions</li> <li>➤ Modalities for engagement</li> </ul>
22 <sup>nd</sup> September 2010	24	<ul style="list-style-type: none"> <li>➤ REDD- Plus Working Group Meeting</li> <li>➤ To review and discuss component 2(a), 2 b) and 2(c)</li> <li>➤ To review and discuss of reference scenario and MVR (component 3 and 4)</li> <li>➤ To review and discuss SESA report</li> </ul>	<ul style="list-style-type: none"> <li>➤ Comments about the reports were received and consultants integrated the comments in the final reports</li> </ul>
29 <sup>th</sup> November 2010	46	<ul style="list-style-type: none"> <li>➤ Reviewing the draft R-PP (content, compliance to R-PP format and institutional arrangements)</li> </ul>	<ul style="list-style-type: none"> <li>➤ R-PP reviewed by the REDD working</li> </ul>
9 <sup>th</sup> February 2011	7	<ul style="list-style-type: none"> <li>➤ Discuss FCPF Comments on Uganda’s Informal Submission</li> </ul>	<ul style="list-style-type: none"> <li>➤ Clarifications and agreed interpretation of Comments</li> </ul>
28 <sup>th</sup> February 2011	46	<ul style="list-style-type: none"> <li>➤ Consider and endorse revised Uganda R-PP</li> </ul>	<ul style="list-style-type: none"> <li>➤ Endorsed revisions of the R-PP incorporating comments from TAP and Reviewers.</li> </ul>
<b>REDD Sub-RWG Sessions</b>			
15 <sup>th</sup> April 2010	24	<ul style="list-style-type: none"> <li>➤ Meeting of the leaders of the REDD working sub groups to forge a way forward for the formulation of the R-PP</li> </ul>	<ul style="list-style-type: none"> <li>➤ Way forward was forged</li> <li>➤ The secretariat established to run the R-PP process</li> </ul>
1 <sup>st</sup> July 2010	10	<ul style="list-style-type: none"> <li>➤ To review the strategies for component 2a,b and</li> </ul>	<ul style="list-style-type: none"> <li>➤ Comments about the</li> </ul>

		c	component were received
13 <sup>th</sup> July 2010	14	↗ To review component 3 and 4 for developing measuring reporting and verification	↗ Comments about the component were received
29 <sup>th</sup> September 2010	7	↗ To review the TORs for Media component of the expanded Consultations	↗ Final Terms of Reference drafted and issued to the consultant
9 <sup>th</sup> November 2010	28	↗ Awareness creation and information sharing	↗ Clear understanding of REDD-Plus ↗ Raising interests of participants on REDD-Plus
<b>R-PP Steering Committee</b>			
9 <sup>th</sup> December 2010	21	↗ Commissioning of the R-PP Steering committee ↗ Information sharing and generation	↗ The R-PP Steering Committee was commissioned ↗ Guidance was given on the R-PP formulation
10 <sup>th</sup> January 2011	12	↗ Reviewing and endorsing the draft R-PP	↗ Draft R-PP endorsed for “informal” Submission.
<b>National Stakeholders meeting to Validate the R-PP</b>			
17 <sup>th</sup> December 2010	125	↗ Disseminate draft R-PP and awareness creation and information sharing about the R-PP for Uganda ↗ Validate the draft R-PP	↗ Understanding of R-PP process and the REDD-Plus ↗ Validated the R-PP

Outputs from the RWG, subgroups and RSC were synthesized and incorporated in the design of R-PP, especially, under component 1(a). Additionally, the RWG and Sub-groups provided inputs into the Studies which form basis for component 2(a), (b), (c), (d) and 3 and 4.

However, the composition of the RWG and its functions faced “organizational” challenges such as its size, incentives to perform among others. On this basis, the structure and function of RWG during the R-PP formulation has been modified into new structures for serving the R-PP implementation. The new structures are the National Technical Committee and Tasks Forces as indicated in Component 1(b).

### **1.14.1.3 Nationwide Multi-stakeholder information sharing and dialogue**

The Stakeholder Consultations and participation during the R-PP formulation were guided by the Outreach Strategy mentioned above. Consultations were conducted by the R-PP Secretariat. CARE and IUCN facilitated consultations with the forest dependent people – Batwa and Benet, respectively.

Under the Expanded Consultations process conducted by Environmental Alert (Appendix 5(d)), IUCN (Appendix 5(c)) and Trust Media on behalf of R-PP Secretariat, stakeholders identified issues and concerns and recommended action to be included in the R-PP.

The following sections provide the details about the Consultations process and information generated

### a) Extent of Coverage

The Country wide consultations covered the following regions of Uganda (Table 7).

Table 7: Coverage of Stakeholder Consultations per region

Region and Area of Focus	Lead
a) National	R-PP Secretariat
b) Regional (Eastern, Northern , Western, Central)	
c) Special Groups (Charcoal, firewood, pole, dealers, etc)	
d) Forest Dependent People (Nakapiripirit, Moroto, Kotido and Abim districts of Kalamoja)	
Forest Dependent People (Batwa/Pygmies), South West and West	CARE
Forest Dependent People (Benet) Mt Elgon area	IUCN
Community level Stakeholders (South-western, Central, Eastern, Northern, North-west,	Environmental Alert <sup>3</sup>
National (Policy, Development Partners)	IUCN
Media and Publicity	Media Trust

### b) Stakeholder coverage

In each region, consultations involved the following categories of stakeholders: farmers, politicians, and technical staff of local governments, NGOs, CBOs, Protected Areas agencies, youth representatives, women representatives, special groups (consisting of timber dealer, charcoal producers), forest dependent communities, representatives of forest resource user groups or associations, private sector, academia and, Community Opinion dealers. In addition, forest dependent communities of Benet, Batwa or Pygmies were consulted separately. At national level, Consultations involved Central government ministries and agencies, National and International NGOs and Development Agencies, Private Sector, Utility agencies, Academia, Research organizations.

All in all, approximately, 2,500 people representing 7 different categories of stakeholders were directly consulted as shown in Table 8 below:

Table 8: Summary of consultations per category of stakeholders

Category	Number of participants*
Policy /Ministries	16
Development Partners	6

<sup>3</sup> Environmental Alert sub-contracted the following institutions to facilitate Consultations: Care and Water Governance Institute – South-Western Uganda; Eco-Trust – Western Uganda; Tree Talk– Northern Uganda; ACODE – Eastern Uganda; Tobari/IPACC – Karamoja/KADP/ECO; NAPE/REDD-Net/BUCODO – Central Uganda

NGOs/CSO	66
Private Sector	7
Forest Dependent People/Communities/Special Groups	2,071**
Academia	5
Research Institutions	3

Note:

\* The figure is average for several consultation meetings and workshops.

\*\* (male = 1,369; female = 623)

#### **1.14.1.4 Information sharing and early dialogue with “Groups” representing Forest Dependent People**

##### **a) Consultations with Benet (Mt Elgon National Park)**

Consultations by IUCN with the Benet people concluded with the following outputs in relation to Uganda’s REDD Strategy and preparedness. Detailed information on this process is presented in Appendix 5(a).

- i. Resolve outstanding issues of resettlement of land less Benet occupying Mt Elgon National Park.
- ii. Provide for access and use of Forest resources within Mt Elgon National Park.
- iii. Promote collaboration and harmonious co-existence between Benet and Mt Elgon National Park.
- iv. Design and implement tangible programmes that deliver benefits from REDD-Plus Strategy.
- v. Empower Benet to actively engage in REDD-Plus implementation, including fostering community based structures for mobilizing their actions.
- vi. Promote alternatives that would address the main causes for deforestation, such as establishing own woodlots or adoption of energy saving stoves would be encouraged by each household.

##### **b) Consultations with Batwa/Pygmies of south Western (Kabale, Kisoro and Kanungu Districts) and Western Uganda (Bundibugyo)**

Consultations by CARE with the Batwa people concluded with the following outputs in relation to Uganda’s REDD Strategy and preparedness. Detailed information on this process is presented in Appendix 5(b).

##### **i. Develop arrangements to channel benefits directly to Batwa**

Batwa were aware of a mechanism through which REDD-Plus benefits could be delivered from the national level (reference was made to tourism revenue sharing). However, they proposed a system

which would enable REDD-Plus benefits to directly flow to the community level. Batwa think that the benefits from national level had been going through a very bureaucratic process and do not effectively respond to their unique needs. They proposed that setting up a special fund targeted at the Batwa themselves would increase the benefits directly within their communities.

**ii. Strengthen Collaborative resource access and Forest management arrangements**

The main resource access mechanism is collaborative arrangements either under CFM or co-management with NFA and UWA respectively. They proposed that REDD-Plus revenues be invested in strengthening CFM user groups through skills development for production of high quality craft products, bee keeping, and confidence building initiatives for the adult Batwa so as to benefit more from REDD-Plus.

**iii. Design REDD-Plus scheme to strengthen governance**

Batwa suggested the need to support reforms in the governance sector to create an enabling institutional framework to protect their rights, secure land tenure and land rights. Since CFM was identified as one of the best entry points to REDD-Plus; Batwa proposed that there was a need for them to become directly represented on CFM user groups' governance structures and other community leadership structures.

**iv. Promote synergies between different government departments**

Batwa were of the view that REDD-Plus through NFA would engage with the other sectors of service delivery to promote synergy between different government departments and ensure they too have improved access to service delivery (lack of medical care, agricultural advisory services and education).

**v. Ensure that Batwa's carbon rights are established in national and local Governments' regulations**

Batwa expressed concern over clarity on rights over the proceeds from the carbon credits taking into account their status as indigenous forest dwellers. They argued government to clearly define rights issues surrounding the carbon credits and to sensitize stakeholders about this issue.

Issues and recommendations from these consultations have been incorporated in Component 2(a) Access and tenure to land and forest resources, Equitable benefit sharing) and, Component 1(c) (Conflict resolution/management).

**1.14.1.5 Consultations and early dialogue with Policy level actors and Development Partners**

Consultations involving Sectoral ministries and Lead agencies of Government and representative of development partners (donors) identified the following issues of concern: i) REDD-Plus should focus on forests outside gazetted areas; ii) there is need to address effects of human settlement and urbanization; iii) strengthening conservation and management tools and systems; iv) ensuring sustainable forest management and; v) ensuring equity in cost and benefit sharing (Appendix 5(c)).

Consultations recommended that R-PP implementation should continue to raise awareness and sensitize people about REDD-Plus, build capacity to implement REDD –Plus and drive REDD process in Uganda and, ensure multi-sectoral approaches and partnerships.

Recommendations from these consultations have been incorporated in Section 1.14.2 (Awareness and sensitization), Section 1.14.2 (multi-sectoral approach and partnerships) and Component 2a (Equitable benefit sharing).

### **1.14.2 Outputs from Information sharing and early dialogue**

Detailed information on the outputs from the above process is contained in Appendix 5 (a) – 5(d). However, the following section presents a synthesis of responses in reference to REDD-Plus as well as Deforestation and forest Degradation in Uganda (Table 9).

Table 9: Outcomes of Stakeholder Consultations

Driver	Underlying Causes	Impact	Response/Strategies to address these
Political Interference	<ul style="list-style-type: none"> <li>↗ Power greed cheap popularity</li> </ul>	<ul style="list-style-type: none"> <li>↗ People settling on forest reserves</li> <li>↗ Wetlands encroachment</li> </ul>	<ul style="list-style-type: none"> <li>↗ Law enforcement by responsible authorities</li> <li>↗ Sensitization</li> </ul>
Poverty	<ul style="list-style-type: none"> <li>↗ Limited sources of income</li> <li>↗ In adequate employment opportunities</li> <li>↗ High population densities</li> </ul>	<ul style="list-style-type: none"> <li>↗ Un sustainable use of resources</li> </ul>	<ul style="list-style-type: none"> <li>↗ Community Forest Management</li> <li>↗ Forests based enterprises</li> </ul>
Immigration Laws	<ul style="list-style-type: none"> <li>↗ Insufficient laws</li> <li>↗ Political instability</li> </ul>	<ul style="list-style-type: none"> <li>↗ Encroachment of agriculture</li> <li>↗ Settlement conflicts</li> <li>↗ Overgrazing soil erosion</li> </ul>	<ul style="list-style-type: none"> <li>↗ Reported to higher authority</li> <li>↗ eviction</li> </ul>
High population growth rate	<ul style="list-style-type: none"> <li>↗ High fertility rate</li> <li>↗ Low education</li> <li>↗ Minimal intervention by government</li> <li>↗ Reproductive health and environment factors</li> </ul>	<ul style="list-style-type: none"> <li>↗ High demand for agricultural products and land for settlement</li> <li>↗ High demand for forests resource</li> </ul>	<ul style="list-style-type: none"> <li>↗ Some reproductive health services in place</li> </ul>
Land tenure/Tree tenure	<ul style="list-style-type: none"> <li>↗ Change of land use</li> <li>↗ Poor Land use policy</li> </ul>	<ul style="list-style-type: none"> <li>↗ Forest cover destruction</li> <li>↗ Resistance land policy/Law</li> </ul>	<ul style="list-style-type: none"> <li>↗ National Land policy in formulation</li> <li>↗ Amendment of Land Act</li> </ul>

The information generated from stakeholder’s consultations was incorporated in the studies under (Component 2(a), 2(b) and 2(d)) and in Component 3 of the R-PP. This information also informed the development of REDD-Plus strategy options presented in Component 2b. However, as indicated in Component 1c, further consultations will provide additional input into the analysis above.

The experiences and outputs of the consultations reveal that the public as whole is eager about REDD-Plus. However, there is little understanding of the REDD-Plus principles, standards, requirements and benefits. This gap is inevitable considering that REDD-Plus is new and that the Strategies and actions are not yet developed and publicized. It was also noted that the process requires adequate financial and time resources in order to ensure adequate coverage of issues and stakeholders. It further revealed that the R-PP formulation requires a process – oriented approach characterized of learning and reflecting. This approach enables improvements in understanding of the REDD-Plus process. It also enables modulation of expectation of REDD-Plus.

However, as REDD-Plus and other initiatives for tackling Climate change continue to evolve both at international and national levels, there is need for continued communication and sensitization about the REDD-Plus and its “niche” within the over-all Climate Change debates and actions.



Against the above background, there is also general feeling that stakeholder consultations should continue throughout the R-PP implementation, hence the proposals in Component 1(c).

## 1C. CONSULTATION AND PARTICIPATION PROCESS

### Consultation and Participation Process

Ownership, transparency, and dissemination of the R-PP by the government and relevant stakeholders, and inclusiveness of effective and informed consultation and participation by relevant stakeholders, will be assessed by whether proposals and/or documentation on the following are included in the R-PP (i) the consultation and participation process for R-PP development thus far (ii) the extent of ownership within government and national stakeholder community; (iii) the Consultation and Participation Plan for the R-PP implementation phase (iv) concerns expressed and recommendations of relevant stakeholders, and a process for their consideration, and/or expressions of their support for the R-PP; (v) and mechanisms for addressing grievances regarding consultation and participation in the REDD-plus process, and for conflict resolution and redress of grievances.

### 1.15 Stakeholder Consultation and Participation during R-PP Implementation (2012-2104)

#### 1.5.1 Consultations held so far in the development of the R-PP

As indicated in Component 1b, Uganda's R-PP formulation process emphasized multi-stakeholder consultation and participation aiming at sensitizing various stakeholders on REDD-Plus and its concepts, soliciting their views and promoting understanding of REDD-Plus, capturing their presumed expectations and anticipated roles and responsibilities in the REDD-Plus process. The process was guided by an Outreach and Participation Plan developed at the onset of the consultations process (Annex 3). Consultations were extensively carried out at national and regional levels, with special groups and forest dependent people (Section 1.14) as part of the information sharing and early dialogues about REDD-Plus and R-PP process which were conducted under four major categories: a) R-PP Steering Committee; b) REDD Working Group; c) Nation-wide Multi-stakeholder forums; d) Focused groups representing "forest-dependent" people; e) Donors and Development partners in Uganda; and, f) Government Policy and decision makers .

Uganda's process of implementing the REDD Readiness Preparation Proposal (R-PP) will undergo a nationwide multi-stakeholder consultation and participation process. The process will be coordinated by the MWE and overseen by REDD-Plus Steering Committee.

Uganda did not exhaust discussion on the Consultations and Participation process during the preparation of the R-PP. Thus, when Uganda's R-PP was approved during the 9<sup>th</sup> meeting of the Participants Committee (PC) of the Forest Carbon Partnership Committee (FCPF) in June 2011, Uganda was requested, among other things, "to submit a revised R-PP (Revised R-PP) to the FMT, reflecting the key issues in the summary report prepared by the FMT included in the annex of this resolution". The "key issues" highlighted in the summary report prepared by the FMT, was to, "Develop a Consultation and Participation Plan, including a plan for consultation on and participation in Uganda's Strategic Environmental and Social Assessment process, to be validated by key stakeholders at a national level."<sup>4</sup>

<sup>4</sup> Forest Carbon Partnership Facility (FCPF) Ninth Participants Committee Meeting; June 20-22, 2011; Oslo, Norway; Resolution PC/9/2011/3; Uganda's Readiness Preparation Proposal.

The summary report prepared by the FMT, explained that “In the case that the developed “Consultation and Participation Plan” has not been validated by key stakeholders at a national level before entering into the Readiness Preparation Grant Agreement, such a validation would be conducted as the first key activity thereafter and prior to further disbursement under the Readiness Preparation Grant Agreement.”

Presented below is the summary of the Participation and Consultation Plan (**Complete report of the Participation and Consultation Plan is attached/submitted as an Annex 1c**). This plan proposes the creation of a C&P Taskforce as one of the themes to support the REDD-plus Secretariat in coordinating the implementation of the plan. This will include identifying stakeholders and partners to undertake various roles in the consultation process, consolidation and integration of the outcomes into the National REDD-plus strategy. This taskforce will be constituted by the Technical committee and will be representative of NGOs, special groups such as women, gender- focused institutions, and the youth, private sector, government agencies both at the local and national levels.

### **1.15.2 The Consultation and Participation Plan for the R-PP implementation (REDD-plus C&P).**

Uganda R-PP implementation envisages continuous consultations and outreach with stakeholders. The overall objective of the Consultation and Participation plan, therefore, is to provide a framework that ensures ownership, transparency, and dissemination of the R-PP by the government and relevant stakeholders, and inclusiveness of effective and informed consultation and participation by relevant stakeholders in the process of preparing a National REDD-plus Strategy. The outcome of this undertaking is the ownership of the R-PP, increased understanding of REDD-Plus and the commitment to participate in the implementation of R-PP. In addition, there is provision for consultations under components 2 (d), 3 and 4.

The Consultations and Participation Plan will aim at contributing towards achieving the following objectives.

- a. **Objective#1: REDD –Plus Strategies and implementation framework informed by stakeholder’s views and contributions:** Ensuring that REDD-plus activities and implementation frameworks are informed by stakeholder’s views and contributions by providing avenues through which the voices and experiences of key stakeholders are captured and incorporated in decision making at all levels
- b. **Objective #2: REDD – Plus implementation progress known and monitored by stakeholders:** Guiding actions to enhance awareness about REDD-plus implementation and its monitoring by stakeholders by setting up platforms through which beneficiaries can access information and also participate in the design and implementation of REDD-plus activities;
- c. **Objective #3: REDD – Plus benefits accessible by stakeholders across sectors and at all levels:** Building mechanisms to enhance equitable outcomes and access to REDD-plus benefits by all stakeholders and sectors at all levels

- d. **Objective#4: REDD –Plus Strategy contributes towards national development priorities:**  
 Repositioning REDD-plus contribution towards national development priorities by directing development of regulatory frameworks that are socially inclusive, transparent and support improvements in forest governance

**The Consultation and Participation process arrangements:** This plan proposes the creation of a C&P Taskforce as one of the themes to support the REDD-plus Secretariat in coordinating the implementation of the plan within the institutional structure provided in the R-PP to coordinate the development of the REDD-plus Strategy which already provides the framework within which the C & P will be implemented. Specifically, the Consultation and Participation Taskforce will support the technical coordination of the implementation of the C&P plan; as well as the SESA, ensuring that consultation on and participation in Uganda’s Strategic Environmental and Social Assessment process, issues of gender and marginalized groups, are considered and integrated in the plan. Monitoring will be an integral part of the implementation involving all stakeholders from the various levels.

**The Consultation and Participation Framework:** Consultation on and participation in Uganda’s REDD-plus Strategy development shall cover the whole country. The C&P Taskforce will work one national and 15 sub-regional consultative fora; as means of consulting the stakeholders. It will also use the same forums as a means to encourage stakeholder participation.

To achieve this, the country has been divided into 4 regions (Central, Eastern, Northern and Western). Each region has further been sub-divided into sub-regions based on a combination of administrative and linguistic nearness for ease of communication. Thus the sub-regions were arranged as follows: Eastern region was divided into 6 sub-regions (Bugisu, Sebei, Busoga, Teso, Karamoja and Bukedi); the Northern region was divided into 3 sub-regions (Acholi, Lango and West Nile); the Western Region was divided into 4 sub-regions (Ankole, Bunyoro, Toro, Rwenzori, and Kigezi); and the Central region was divided into one sub-region of Buganda.

Thus, REDD-plus Strategy development issues identified at the sub-regional level will be communicated to, and discussed in each of the 15 sub-regional consultative forums. The conclusions and recommendations of the issues identified and discussed in the 15 sub-regional consultative forums will be considered by the national consultative forum iteratively until a reasonable national consensus has been reached to allow them to be part of the options in the national REDD-plus Strategy.

**Stakeholder analysis and mapping:**

Several individuals, groups, institutions and practitioners have got varying interests and influence on forests and REDD-plus. The stakeholder categories, their constituent sub stakeholders and interest/influence on REDD-plus is detailed in the full report but summarized below.

Table 10: Stakeholder categories

Category	Stakeholders	Role/influence on REDD-plus
Government institutions	Relevant ministries and their departments , Agencies and Parastatals of Government, Local Governments	Harmonization and supporting integration and implementation relevant policies
Local communities	Indigenous Peoples, women, vulnerable/	The need to understand the costs,

	marginalized groups, Forest dependent communities, pastoralists, farmer groups	benefits and their roles since they interact closely with resources, addressing drivers
<b>Civil Society</b>	Local NGOs, CBOs, international agencies, Faith Based organizations and cultural institutions.	Mobilization and Advocacy for sustainable REDD-plus practices, piloting best practices
<b>Private sector</b>	loggers, energy producers, industries, timber growers, timber dealers, financial institutions	Their actions may cause deforestation, or support implementation of REDD-plus.
<b>The academia</b>	Universities, research institutions, training colleges, schools	Generating and dissemination new knowledge,
<b>The media</b>	Print, electronic, telecoms, social media	Advocacy to promote REDD-plus and dissemination of emerging issues at all levels
<b>Development partners</b>	Donor agencies, Embassies, Diplomatic missions	Supporting REDD-plus activities and processes

**Key Issues for Consultations:** As highlighted in the R-PP, some components and key issues shall require further consultation from the stakeholders. Table 11 below presents key areas for consultation during the formulation of the REDD-plus Strategy.

Table 11: Issues for Consultation and Participation

Theme	Key issues for Information and consultation
<b>Deforestation and degradation</b>	<ul style="list-style-type: none"> <li>✓ Confirming and validating the main causes of deforestation and degradation that could impact on the implementation of REDD-plus</li> <li>✓ What strategies need to be put in place to reduce the rate of deforestation and degradation?</li> <li>✓ What are the benefits and limitations of the strategies</li> <li>✓ What areas and approaches should be applied to avoid deforestation?</li> </ul>
<b>REDD-plus Governance</b>	<ul style="list-style-type: none"> <li>✓ Discussing how REDD-plus fits within the existing forest governance frameworks vis-a-vis creating new ones</li> </ul>
<b>Monitoring systems</b>	<ul style="list-style-type: none"> <li>✓ Understanding roles and responsibilities in RL/RELS, MRVs, Forest Monitoring Systems and participating in the design.</li> </ul>
<b>Sustainable forest management</b>	<ul style="list-style-type: none"> <li>✓ Discuss areas and modalities for implementing SFM in relation to REDD-plus</li> </ul>
<b>Conservation of forest Carbon Stocks</b>	<ul style="list-style-type: none"> <li>✓ Discuss areas and modalities of implementation</li> </ul>
<b>Enhancement of forest Carbon Stocks</b>	<ul style="list-style-type: none"> <li>✓ Discuss areas and modalities of implementation</li> </ul>
<b>Benefit sharing</b>	<ul style="list-style-type: none"> <li>✓ What benefit sharing systems exist at the moment</li> <li>✓ How could REDD-plus interact with existing benefit sharing agreements</li> </ul>

	✓ What systems of benefit sharing could be appropriate and provide maximum benefits
<b>Land Use Rights / Land tenure</b>	✓ What would be potential implications of REDD-plus payments within the existing context ✓ Would a mechanism on REDD-plus work within the current Ugandan context ✓ What revisions could be required and what impacts would they have
<b>Social and Environmental Safeguards</b>	✓ What are the Socio-economic impacts of REDD-plus ✓ How can the risks and negative impacts be mitigated? ✓ How can the social and environmental impacts be monitored?
<b>Other drivers of deforestation</b>	✓ As will be determined

**Strategic and tactical Considerations for Consultation and Participation:** In general, implementation of the consultation and Participation Plan requires judicious but practical approaches. These include, but are not limited to consideration of: i) the nature of information (subject matter) to be collected and discussed ii) timing whereby the community calendar should be recognized and applied; iii) the type of audience being targeted; iv) the most appropriate language(s) for the area/group of persons and; v) the most appropriate media options available for the area both for disseminating information and receiving views from the stakeholders. Other aspects that demand for judicious but practical approaches are: i) selection of respondents for consultation on, or for invitation to participate; ii) Free Prior and Informed Consent (FPIC); iii) Communication (detail of this is contained in the detailed communication plan); iv) taking time to do in-depth assessments; v) Feedback; vi) Monitoring and Evaluation; vii) Conflicts and grievances (detail of this is contained in the detailed Conflicts and Grievance Plan)

**Sequencing and Phasing the implementation of the Consultation and Participant Plan:** Consultation and Participation during the development of the National REDD-plus Plus strategy will be sequenced in three clear phases<sup>5</sup>. Phase one will involve the setting up the Consultation and Participation structure(s) and enhancing awareness of various stakeholders on REDD-Plus. Phase two will involve facilitating consultations to discuss the key issues emerging from the expert assessments. Phase three will involve facilitating stakeholder input in the design and consolidation of the National REDD-plus Strategy.

**1. Setting up the Consultation and Participation structure and enhancing awareness of various stakeholders on REDD-Plus:**

In order to enhance effective participation of stakeholders at all levels, the C&P structures will be formalized, representatives identified, roles and responsibilities clarified and publicized through appropriate channels for the relevant stakeholders to be clear on who, where and how to engage on REDD-plus issues including how have conflicts and grievance regarding the process addressed. The setting up the Consultation and Participation structure and enhancing awareness of various stakeholders on REDD-plus will be undertaken through the steps outlined below:

- a. Constitution and training of the Consultation and Participation Taskforce, defining their terms of reference with clear roles and responsibilities and how they link with the other structures;
- b. The Secretariat, with support from Consultation and Participation Taskforce, will organize consultative meetings at each level (as indicated in the structure) to validate the

<sup>5</sup> No relation to phases of REDD-plus as is implied in the Cancun decisions

- Consultation and Participation Plan arrangements, and identify representatives of the consultative forums, paying attention to gender based and marginalized groups;
- c. The Secretariat, in collaboration with the Consultation and Participation Taskforce will conduct trainings of the identified representatives of the regional and national platforms.

**2. Facilitating consultations to discuss the key issues emerging from detailed expert assessments on drivers, tenure, REDD-plus institutional structure, MRVs, benefit sharing and SESA:** As provided for in the R-PP, more detailed information will be collected by the expert thematic groups on the following: drivers of deforestation and degradation, land and tree tenure, sustainable forest management, Social and Environmental Assessments, benefit sharing, MRVs and governance structure. To ensure that the various stakeholder issues are taken into account, the tools and approaches will be reviewed by the Consultation and Participation Taskforce and the various consultation and participation forums. In addition, the findings from the expert assessments will be presented to stakeholders for discussion and validation. This will be undertaken through:

- a. Undertaking a Participatory process of developing the terms of reference, tools and approaches for the various expert assessments to be coordinated by the Secretariat, reviewed by the Consultation and Participation Taskforce and the National Technical Committee. This process will consider bringing in gender experts to ensure that the tools and approaches address potential gender based risks and reduce gender based disparities in access to and benefits from REDD-plus interventions<sup>6</sup>;
- b. The REDD-plus Secretariat, working in partnership with the Consultation and Participation Taskforce will convene national and regional meetings to coordinate the participation of the regional representatives in the expert assessments within the specific districts. Expert thematic groups will use the regional platforms as entry points for consultations on proposed themes. Decisions reached will be further discussed using various communication channels, appropriate languages and forms such as radio talk shows to allow participation of a wider audience;
- c. Convene the various regional and national platforms to discuss and validate the outcomes of the expert assessments;

**3. Facilitating stakeholder input in the design and consolidation of the National REDD-plus Strategy:**

Once assessments on the key elements of REDD-plus for the country are undertaken, discussed and approved, the REDD-plus Secretariat will coordinate the consolidation of the information into a draft National REDD-plus Strategy. This draft will then be discussed and validated by the various stakeholders using the various platforms. The final REDD-plus strategy will then be adopted by National REDD-plus Steering Committee and recommended for submission for funding. Since various stakeholders will contribute to achievement of different objectives, they will be targeted differently as indicated below:

- a. Regional level meetings will be convened to discuss the national REDD-plus Strategy and ensure that it integrates the agreed positions from the consultations and assessments;
- b. Convene meetings targeting sector specific government agencies and ministries to discuss the national draft strategy and ensure that it is aligned to their priorities and their roles and responsibilities clearly elaborated for better coordination and implementation;

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<sup>6</sup>Kindly refer to World Bank Gender and Development Operational Policy, Environment and Social screening tool. The Uganda REDD-plus and Gender Roadmap is submitted as a separate supplementary document.

- c. Convene private sector consultations to discuss the draft strategy with the aim of ensuring that the National REDD-plus Strategy is clear on opportunities for investment and that their activities don't undermine the REDD-plus objectives;
- d. Convene Civil Society consultations to discuss the national draft strategy with the aim of ensuring that provisions for Social and Environmental safeguards are addressed, monitored and feedback provided across the various levels;
- e. National level discussions involving high level policy makers, government officials, private sector and development partners will aim at ensuring that the Strategy contributes towards the national and international development priorities;
- f. The REDD-plus Secretariat, in collaboration with the Consultation and Participation Taskforce and National REDD-plus Technical committee will coordinate the consolidation of the final strategy and submit to the Steering Committee for adoption and recommendation for submission;
- g. Dissemination and Communication of the draft and final National REDD-plus Strategies will be supported by the Communication plan

Uganda shall seek to engage services of national experts to facilitate judicious implementation of the Consultation and Participation Plan. Uganda's Consultation and Participation Plan will seek to address the diversity of stakeholders and their uniqueness in terms of relevance to REDD - Plus issues and languages.



<b>Table 12: Summary of Activity Plan and Schedule for Developing REDD-plus Consultation and Participation Plan and Budget</b>						
Main Activity	Sub-Activity	Estimated Cost (US\$ "000")				
		Lead	2012	2013	2014	Total
<b>Setting up the Consultation and Participation structure and enhancing awareness of various stake holders on REDD-plus</b>						
Identify, recruit and retain a National Consultation and Participation Facilitator	FSSD/REDD-plus Secretariat		75	90	90	255
1. Constituting and training of the Consultation and Participation Taskforce,	REDD-plus Steering Committee		50			50
2. Organizing consultative meetings at all levels to validate the C&P structures.	Secretariat together with C&P task force		315			315
3. Conducting trainings of the identified representatives of the regional and national platforms.	Secretariat together with C&P task force		285			285
Engaging in communication initiatives (main costs budgeted under awareness and communication) to complement the trainings materials and results	Secretariat together with C&P task force			30		30
<b>Facilitating consultations to discuss the key issues emerging from the expert assessments</b>						
4. Undertaking a participatory process of developing the, tools and approaches for expert assessments;	Secretariat, C&P task force, Experts in developing TORs and tools,			75		75
5. Facilitate the Participatory consultations of expert assessments	Secretariat with Task forces			250		250
6. Convene the various regional and national platforms to discuss and validate the outcomes of the expert assessments	Secretariat with Task forces			250		250
7. Using communication initiatives to support the entire assessment process for continuous contribution, feedback and monitoring by stakeholders.	Secretariat in collaboration with various media houses		20	20	10	50
<b>Facilitating stakeholder input into the design, consolidation and validation of the National REDD-plus Strategy</b>						

8. Convening regional level meetings to discuss the draft national REDD-plus strategy and ensure that it integrates the agreed positions from the consultations and expert assessments.	Secretariat and task forces			200	200
9. Facilitating discussions targeting specific government agencies and ministries to discuss the draft national REDD-plus strategy	Secretariat and task forces			50	50
10. Convening consultative workshops for the private sector to discuss the draft strategy.	Secretariat and C&P task forces			50	50
11. Conducting civil society consultations to discuss the national draft REDD-PLUS strategy	Secretariat and task forces			50	50
12. Convene a high level policy makers meeting to discuss the draft report	Secretariat and task forces			45	45
13. Consolidating the final REDD-PLUS strategy	Secretariat, technical committee and task forces			25	25
14. Disseminating and communicating final strategy to relevant stakeholders and partners at all levels. To be supported by the Communication plan	Secretariat and media houses			40	40
15. Monitoring effectiveness of Stakeholder engagement	Secretariat together with C&P task force	4	8	12	24
<b>Total</b>		<b>444</b>	<b>773</b>	<b>572</b>	<b>2,044</b>
Domestic Government	US\$				
FCPF	US\$	444	773	572	1749

### 1.15.3 The R-PP implementation Awareness and Communication Strategy (RACS)

Building on the Awareness and Communications Strategy developed during R-PP formulation (Appendix 6) and the REDD Consultations and Participation Plan (Section 1.15.1); what follows is the R-PP implementation Awareness and Communications Strategy (RACS). The R-PP process emphasizes country ownership through active involvement of all stakeholders. This involvement would be realized when the public/stakeholders are informed of the REDD-Plus, the R-PP process and when they are mobilized to support the process. Being a Government led process, it is essential that Political and Executive leadership is informed of the requirements and process for preparing Uganda's Readiness and is regularly updated on the progress. Equally important is the fact that Uganda needs to effectively communicate to stakeholders within and outside the Country on the progress towards readiness for REDD-Plus.

#### a) Objectives of the Awareness and Communication Strategy

The global objectives for this awareness and communication strategy are:

**Objective #1:** To raise public and stakeholder awareness of REDD-plus and R-PP Process.

**Objective #2:** To mobilize stakeholder's involvement in the REDD-plus Strategy development and implementation.

**Objective #3:** To communicate to the stakeholders on Uganda's preparations for "becoming" Ready for REDD-PLUS-Plus.

#### b) The awareness and communication steps

- i. **Identifying the target audience:** This will all relevant stakeholders that the REDD-plus Strategy formulation process intends to influence so that they can be consulted and so that they can effectively participate. They will be derived from the stakeholder mapping undertaken under the Consultation and Participation Plan development;
- ii. **Additional targeted stakeholders:** will be obtained through a dedicated assessment of the formal and non-formal environment and natural resources (ENR) sector to detail the set of issues requiring comprehensive and elaborate communication initiatives; Assessment of Land-use, Forest Policy and Governance (Component 2A of R-PP); and Social and Environmental Impact Assessment studies (Component 2 D of the R-PP) and other unique categories of stakeholders requiring special attention;
- iii. **Creating messages:** as each stakeholder has specific communication needs, messages targeting specific stakeholder audience groups will be packaged and delivered;
- iv. **Communication channels** - Being in position to choose the right channel to deliver the message appropriately to the target audience;
- v. **Monitoring and Evaluation** - For every communication initiative undertaken, there is need to ascertain as to whether there is impact created or not. In the event that the impact was not realized, a review of the entire process is recommended.

### **c) Specific measures and actions for the awareness and communication for REDD-plus**

In order for the Awareness and Communication Strategy to deliver its intended objective, and to facilitate consultation on and participation in the REDD-plus Strategy formulation process the following measures and actions will be applied; taking into consideration, (i) Internal communication; (ii) Advocacy and outreach to opinion leaders; (iii) Public information campaign; (iv) Capacity building for media; (v) Capacity strengthening of institutions; and (vi) Monitoring and Evaluation of communication initiatives:

**Action #1:** Internal communication program to raise stakeholder awareness and knowledge on REDD-PLUS, address uncertainties and mobilize involvement in the REDD-plus Strategy development and implementation among staff of the ministries and institutions concerned with REDD-plus;

**Action #2:** Advocacy and outreach for technical and opinion leaders - establishing public participation mechanisms that will provide a platform to inform and engage opinion leaders as advocates for REDD-plus

**Action #3:** Public information campaign that includes multi-media and multi-channel communication program to increase consultation, participation and disseminate knowledge, and build support for REDD-plus in Uganda

**Action #4:** Capacity building for media practitioners to promote accurate and analytical coverage of REDD-plus issues

**Action #5:** Capacity strengthening of institutions with a role and responsibility on implementation of REDD-plus Awareness and Communication Strategy

**Action # 6:** Monitoring and evaluation of communication initiatives and activities

### **d) Sequencing and phasing the implementation of the Awareness and Communication Strategy:**

Since this strategy aims to support the Consultation and Participation Plan, its implementation will take the same phased approach during the development of the National REDD-plus Strategy but these phases will be about the awareness and communication. Uganda will engage the services of national experts to facilitate judicious implementation of the of the Awareness and Communication Strategy

**Table 13: Summary Activity Plan and Schedule for Implementation of the Awareness and Communication Strategy (RACS) and Budget**

Table 13: Summary Activity Plan and Schedule for Implementation of the Awareness and Communication Strategy (RACS) and Budget						
Main Activity	Sub-Activity	Estimated Cost (US\$ "000")				
		Lead	2012	2013	2014	Total
1. Identify and recruit and retain a National Facilitator for Implementation the Awareness and Communication Strategy	FSSD/REDD-plus Secretariat		32.5	45	45	122.5
2. Internal communication Program	National Facilitator		60	15	15	90
3. Advocacy and outreach program	National Facilitator		210	205	205	620
4. Public information program (targeting relevant local, indigenous and forest dependent communities)	National Facilitator		350	320	300	970
5. Capacity building for media	National Facilitator		100	100	85	285
6. Capacity strengthening	National Facilitator		130	100	100	330
7. Monitoring effectiveness of awareness and communication strategy	Secretariat together with C&P task force		15	10	15	40
<b>Total</b>			<b>897.5</b>	<b>795</b>	<b>765</b>	<b>2457.5</b>
Domestic Government		US\$				
FCPF		US\$				

#### 1.15.4 The Consultations and Feedback into REDD-Plus Strategies

As described in section 1.15.1 , responses and views generated from consultations during R-PP implementation shall be analyzed by the REDD-Plus National Focal Point and presented to the National Technical Committee and REDD- Plus Steering Committee for consideration before incorporating them into the REDD-Plus Options Strategies. More so, experiences and lessons generated from the Consultations processes will be regularly synthesized and applied to inform the subsequent consultations process.

#### 1.15.5 Conflict Resolution and Grievances Management System (CRGMS) during R-PP implementation

##### a) Background

There are existing grievances in natural resources management in Uganda at different levels that have implications for R-PP implementation and REDD-Plus in general. To date, there are several natural resources management based conflicts resolution and grievance management systems in practice in Uganda. In addition, the R-PP provides the following avenues for resolving some of the likely conflicts or managing likely grievances. Collectively, these measures are deemed inadequate and therefore, a comprehensive Conflicts and Grievances Management Strategy for Uganda was developed specifically to address the following issue of concern:

- i. Ensuring that all factors that may hinder successful implementation of REDD-Plus in Uganda are pointed out and remedies identified;
- ii. Measures for detecting and predicting, preventing emergence or minimizing escalation of conflicts and grievances;
- iii. Capacity and systems for conflicts resolution and grievances management, including strengthening the application of existing conflict resolutions and grievances management systems;
- iv. Safeguarding REDD-Plus investments;
- v. Establishing a multi-stakeholder neutral or independent conflict resolution mechanism

The Conflicts and Grievances Management Strategy is an integral component of the Consultation and Participation Plan and is closely linked to the SESA (Component 2(d)). Under the Over-all guidance and coordination by the REDD Steering Committee, Uganda's Conflicts and Grievances Management Strategy was developed (Annex 1c as part of the Consultation and Participation Plan).

**Table 14:** Objectives, Measures and Actions for addressing the REDD-plus Conflict Resolution and Grievances Management System (CRGMS)

Objective	Measures and Actions
<b>Objective 1:</b> To identify existing and potential conflict and grievances that may hinder successful implantation of R-PP and REDD-plus	<ol style="list-style-type: none"><li>(i) Carry out a baseline survey and periodic assessments to detect and identify conflicts and grievances.</li><li>(ii) Operationalize the national and sub-national forestry stakeholder's forum.</li></ol>

activities.	
<b>Objective 2:</b> To identify mechanisms that can detect, prevent and minimize the escalation of conflicts and grievances.	<ul style="list-style-type: none"> <li>(i) Develop and implement a robust communication strategy to support conflicts resolution and grievance management;</li> <li>(ii) Carry out a clear mapping of stakeholders and comprehensive plan of consultation;</li> <li>(iii) Develop and disseminate the complaints procedure;</li> <li>(iv) Designate an institutional home for the conflicts and grievances mechanism;</li> <li>(v) Designate a person that will receive and process complaints</li> </ul>
<b>Objective 3:</b> Strengthen policy, legal and institutional framework managing grievances and Conflicts that inhibit successful REDD-plus implementation	<ul style="list-style-type: none"> <li>(i) Carry out comprehensive legal and policy analysis to establish the gaps and inconsistencies.</li> <li>(ii) Develop and strengthen policy and legal instruments.</li> <li>(iii) Establish an expert consultation team as part of the thematic task force.</li> <li>(iv) Encourage and support civil society initiatives that support REDD-plus activities.</li> <li>(v) Carry out training to strengthen the existing conflict and grievance mechanisms to manage REDD-plus related conflicts</li> </ul>

### **b) Institutional arrangement for Implementation of the Conflicts and Grievances Strategy**

The REDD-plus steering committee and Secretariat will be responsible for ensuring that the strategy is implemented. The table below provides for different institutions and their roles and responsibilities. Other Institutional Roles and Responsibilities in the Implementation of the REDD-plus Conflict Resolution and Grievances Management System (CRGMS) are detailed in the C&P Plan.

**Table 15: Summary Activity Plan and Schedule for Implementation of the REDD-plus Conflict Resolution and Grievances Management System (CRGMS) and Budget**

<b>Table 15: Summary Activity Plan and Schedule for Implementation of the REDD-plus Conflict Resolution and Grievances Management System (CRGMS) and Budget</b>						
Main Activity	Sub-Activity	Estimated Cost (US\$ "000")				
		Lead	2012	2013	2014	Total
1. Identify and recruit and retain a National Facilitator for Implementation the Conflict Resolution and Grievances Management System Strategy	FSSD/REDD-plus Secretariat		28	34	34	96
2. Identify existing and potential conflict and grievances that may hinder successful implementation of R-PP and REDD-plus activities	FSSD/REDD-plus Secretariat		74	65	65	204
3. Identify and utilize mechanisms that can detect, prevent and minimize the escalation of conflicts and grievances	FSSD/REDD-plus Secretariat		740			740
4. Strengthen policy and institutional framework for managing grievances and Conflicts that may inhibit REDD-plus implementation	FSSD/REDD-plus Secretariat		150	100	100	350
5. Monitoring effectiveness of Conflict Resolution and Grievances Management System	FSSD/REDD-plus Secretariat		15	10	15	40
<b>Total</b>			<b>1,007</b>	<b>209</b>	<b>214</b>	<b>1,430</b>
Domestic Government	US\$					
FCPF	US\$					



## COMPONENT 2: PREPARE THE REDD STRATEGY

### 2A. ASSESSMENT OF LAND USE, FOREST POLICY AND GOVERNANCE

#### Assessment of Land Use, Forest Policy, and Governance:

A completed assessment is presented that: identifies major land use trends; assesses direct and indirect deforestation and degradation drivers in the most relevant sectors in the context of REDD; recognizes major land tenure and natural resource rights and relevant governance issues; documents past successes and failures in implementing policies or measures for addressing drivers of deforestation and forest degradation; identifies significant gaps, challenges, and opportunities to address REDD; and sets the stage for development of the country's REDD strategy to directly address key land use change drivers.

#### 2.1 The Situation analysis

This section covers major land use trends; it appraises direct and indirect deforestation and degradation drivers in the context of REDD-Plus. It identifies land tenure and natural resource rights and relevant governance issues; summarizes past efforts at formulation and implementation of policies or measures for addressing some of the drivers of deforestation and forest degradation; pointing at potentials for improvement, and opportunities to address REDD-Plus; and sets the platform for formulation of the country's initial possible REDD-Plus Strategy options available to address key Deforestation and forest Degradation drivers. The REDD-Plus Strategies described in this proposal are largely based on the information provided in this section.

Information presented in this section is derived from preliminary consultations (section 1.14), assessment study (Appendix 2) and discussion by REDD-Plus Working Group (Section 1.14). Additional Studies to complete the assessment of Land Use, Forest Policy, and Governance will be undertaken during the R-PP Implementation (Component 2(d)). Further consultations with stakeholders on the validity of the assessment and strategic options derived will be carried out as part of the Consultations and Participation plan (Section 1.15.1).

##### 2.1.1 Land Use in Uganda

In 1964, Langdale-Brown *et al.* published a land cover and Land Use description of Uganda. They classified Uganda's vegetation communities into 22 main categories, recognizing 94 specific associations. Government of Uganda in 2003 (Forest Department) and 2006 (NFA) published its first and second Biomass Technical Reports respectively. Part of the work involved mapping land cover and its associated land uses. To be able to categorise the different land uses in the country, an assumption that land cover is an attribute of Land Use, was used. This permitted making the linkage between observable characteristics of the landscape (cover) with purposes for which they are used (land use). In the current draft Biomass Technical Report (2010), the 13 land cover/land use

classification system is harmonised with FAO's Land Cover Classification System (LCCS) which is being used by FAO AFRICOVER. Thus the 13 land cover/land use categories in the country are summarized in Table 13 below. Land cover in Uganda has been divided into twelve major cover classes by the National Biomass Unit.

Table 16: Land Cover change in Uganda 1990 and 2005

No.	Land cover type	Area 1990 (ha)	Area 2005 (ha)	Change %
1	Broad leaved	18,682	14,786	-21
2	Conifer	16,384	18,741	-14
3	Tropical High Forest (well stocked)	651,110	600,957	-8
4	Tropical High Forest (low stocked)	273,062	191,694	-30
5	Woodland	3,974,508	2,777,998	-30
6	Bush	1,422,193	2,968,675	109
7	Grassland	5,115,426	4,063,582	-21
8	Wetland	484,030	753,041	56*
9	Small scale farmland	8,400,789	8,847,592	5
10	Large scale farmland	68,447	106,630	56
11	Built up area	36,572	97,270	166
12	Impediments	3741	7,804	109
	Open Water	3,689,603	3,706,489	0
		24,155,246	24,155,347	-

Source: NFA 2009

*\*The observed increase in wetland area is yet to be confirmed by Wetland Management Department, which is using a slightly different classification method*

Natural forest vegetation has declined between 1990 and 2005. In contrast, the area under subsistence agriculture and bush cover increased. Management of woodlands has been generally neglected (Nsita 2010). Although standing biomass (living/above-ground biomass) stocking in woodlands is almost five times lower than that in THF well stocked and over 3 times lower than that in THF low stocked, the widespread loss of woodlands between 1990 and 2005 was equivalent to over five times the biomass loss from THF well stocked. This is equivalent to a loss of about 200,000 ha of THF well stocked compared to the 50,158ha recorded or about one third of the remaining THF well stocked area in 2005.

According to the National Biomass Study, land use changes have influenced changes in biomass cover (Table 14)

Table 17: Biomass changes due to land–use change in Uganda

Vegetation type	Area 2005 (ha)	Difference in area 1990-2005 (ha)	Biomass in standing stock, 2005 (000, tons)	Biomass density in 2005 (tons/ha)	Difference in standing biomass 1990-2005 (000 tons)*
THF well stocked	600,952	-50,153	136,491	227.13	-11,390
THF low stocked	191,694	-81,367	27,596	143.96	-11,710
Woodland	2,777,997	1,196,510	126,014	45.36	-54,280
Grassland	4,063,581	1,051,844	46,852	11.53	-12,130
Bush	2,968,675	1,546,482	14,008	4.72	7,300
Wetlands	753,041	269,011	236	0.31	80
Area of the Country	24,155,347				

Adapted from: NFA 2009

Tons = metric tons

\* Assumes no change in stocking density over time

Bush lands, grasslands and wetlands, are not considered to be part of the forest cover, although they contain different forms of trees and shrubs in their landscapes. While expansive loss of grassland also resulted in significant loss of biomass, the expanding bush lands (1990-2005) resulted in very little gain in standing biomass.

Wetlands also increased especially in Teso district because of heavy rains and blockage of drainage into Lake Kyoga (NEMA 2009b). Wetland vegetation is dominated by papyrus, which contains very low living biomass (0.31 tons/ha), but follows a C4 photosynthetic pathway, predicted to sequester about 16 t C/ha/y (Jones and Humphries 2002). Its peat-like sediment contains about 2.5 t C/ha (Mitsch and Bernal, 2008). Wetland vegetation has a neutral to positive overall carbon sequestration effect, balancing its carbon sequestration capacity against its release of methane (op cit). REDD-Plus incentives should be explored for protection of wetlands against destruction, which exposes accumulated rhizomes to aerobic conditions resulting in a potential net release of 10 t C/ha/y (Jones and Humphries 2002).

## 2.1.2 Relationship between land use, land tenure, forest resources tenure and deforestation and forest degradation

### 2.1.2.1 Land Tenure in Uganda

Land tenure in Uganda is regulated under the following legal framework: Constitution of Uganda 1995 (amended 2005), the 1998 Land Act, the Registration of Titles Act and the Customary Land law. Article 237 of the 1995 constitution (amended 2005) provides for the following four forms of land tenure in Uganda: a) Customary; (b) Freehold; (c) *Mailo*; and (d) Leasehold. The 1998 Land Act vests ownership of land in the citizens of Uganda. The Act empowers people to use the land they own but in accordance with other existing laws. This implies that land use ought to recognize the forest policy; Forest Act and other environmental laws that seek to promote good environmental management.

**Freehold tenure** involves the holding of registered land in perpetuity that enables the holder to exercise full powers of ownership of that land, including using and developing it, and obtaining any

produce from it. It also allows the title-holder to enter into any transaction in connection with the land, including selling, leasing, mortgaging or pledging, and subdividing.<sup>7</sup> Most private forests owned by individuals and companies fall on freehold lands.

**Mailo tenure** involves the holding of registered land in perpetuity. It differs from freehold in that it permits the separation of ownership of land from the ownership of developments on land made by a lawful or *bona fide* occupant (lived on land for 12 years or more). It enables the holder, subject to the customary and statutory rights of those persons lawful or *bona fide* in occupation of the land, to exercise all the powers of ownership of land as that under a freehold title.<sup>8</sup>

**Leasehold tenure** is a form of tenure created either by contract or by operation of law; under which one person, namely the landlord or lessor, grants another person, namely the tenant or lessee, exclusive possession of land usually for a period defined, in return for a rent. On expiry of the lease, land tenure reverts to the lessor/landlord. When land under natural vegetation is leased, it is generally for purposes of development (agriculture or construction), which will create returns over the leasehold cycle (maximum 49 years).

**Customary tenure** is a form of land tenure applicable to a specific area of land and a specific class of persons, and is governed by rules generally accepted as binding by the latter. It is applicable to any persons acquiring land in that area in accordance with those rules. Customary tenure is the most common form of land tenure in the rural parts of northern eastern and western Uganda. Land is owned at a tribal level held in trust for the people<sup>9</sup> by a paramount chief in Masindi, Arua Hoima, Bulisa and entire northern region. In Eastern Uganda Customary land is owned at family lineage level. Individuals only have user rights, but not rights of disposal without the permission of the chief/or leader. There is no clear system of registration of members who can lay claim to the land. Individual tenure security seems to be dependent on active agriculture or settlement. Land is generally not officially surveyed or registered. Boundaries (marked by natural features such as trees, rivers, valleys etc.) often demarcate only the utilized (agriculture and settlement) part of the land and are mutually known among neighbours.

The various categories of land tenure have the following implications to deforestation and forest degradation (Table 15)

Table 18: Assessment of Land tenure in relation to Deforestation and Forest Degradation

Category	Implications for Deforestation and Forest Degradation
Freehold	Has a significant role in deforestation and forest degradation trends since most privately owned forests and agricultural activities and other developments fall on freehold lands. Enforcement of environmental policies and laws to regulate use of these lands is cumbersome and ineffective in most cases.
Mailo	Has a significant role in deforestation and forest degradation trends especially in the Central region/Lake Victoria and western region where this form of land tenure is dominant. Enforcement of environmental policies and laws to regulate use of these lands is cumbersome and ineffective in most cases.

<sup>7</sup> ibid.

<sup>8</sup> ibid.

<sup>9</sup> ibid.

	Incentives for forestry resources development and management are weak poor due relationships between Land owners and tenants in as far as security of tenure is concerned.
Leasehold	This category of land tenure ownership in Uganda accounts for a very insignificant proportion of land outside urban areas. Little incentive for leaseholders to invest in forest conservation.
Customary	This is major form of land tenure ownership in Uganda. Most agricultural activities take place on this land. Use of forests and woodlands is virtually open-access, and there is no incentive for an individual's to invest in sustainable practices. Profits from woodlands are low and there are strong benefits from conversion to private tenure and agriculture. It stands as most influential form of land use in terms of deforestation and forest degradation.

### 2.1.2.2 Forest resource rights and implications for REDD-Plus

According to Article 43 of the 1998 Land Act, a person who owns or occupies land is required to manage and utilize it in accordance with the existing laws such as those regulating forestry, minerals, environment, water, wetlands and wildlife among others. Therefore, a landowner is the tree owner except in situations where additional arrangements such as leases and licenses have been made. The 2003 National Forestry and Tree Planting Act, classifies forests according to tenure as (a) Central Forest Reserves under National Forest Authority (NFA), b) Forested National Parks under Uganda Wildlife Authority (UWA); c) Local Forest Reserves under local governments; d) Community Forests under community ownership once declared by the minister; e) Private Forests under private individuals, cultural and traditional institutions; f) Joint Managed Forests usually forming part of a wildlife conservation area under both the UWA and NFA. According to current legal provisions the following arrangements for forest management have direct implications on REDD-Plus (Table 16).

Table 19: Implications of Forest Tenure and management arrangements on REDD.

<i>Tenure</i>	<i>Institution</i>	<i>Management arrangement</i>	<i>Main Characteristics</i>	<i>Implications</i>
Central Forest Reserves	National Forestry Authority (NFA)	Strict Nature Reserves (SNRs) and Sites of Special Scientific Interest	<ul style="list-style-type: none"> <li>↗ Large forest blocks</li> <li>↗ Normally located inside forest reserves.</li> <li>↗ Tree felling is prohibited.</li> </ul>	<ul style="list-style-type: none"> <li>↗ Creates and sustains carbon Stock/sink in form of PFE</li> <li>↗ Minimized chances of carbon leakage</li> </ul>
	NFA with other stakeholders	Buffer zones	<ul style="list-style-type: none"> <li>↗ Large forest blocks</li> <li>↗ At least 500-1000 m belts around SNRs</li> <li>↗ Low-impact use</li> </ul>	<ul style="list-style-type: none"> <li>↗ Serve as carbon sink</li> <li>↗ Potential carbon leakage due to tree utilization</li> </ul>
	NFA with private sector/communities	Aforestation/ reforestation of CFR production areas	<ul style="list-style-type: none"> <li>↗ Mostly large forest blocks for supply of timber &amp; firewood</li> <li>↗ Some is ear-marked for aforestation/ reforestation</li> </ul>	<ul style="list-style-type: none"> <li>↗ Provides opportunity for: <ul style="list-style-type: none"> <li>➤ Forest restoration</li> <li>➤ Establishment of forests</li> <li>➤ People/Stakeholder partnerships</li> <li>➤ Biodiversity conservation</li> </ul> </li> </ul>

			<ul style="list-style-type: none"> <li>➤ Large patches are licensed to the private sector;</li> <li>➤ Small patches (&lt; 500 ha) are licensed to individuals or local communities.</li> <li>➤ Licensees have tenure rights for trees they have planted.</li> </ul>	
	NFA with communities	Collaborative Forest Management in CFR Production Areas	<ul style="list-style-type: none"> <li>➤ Small patches in degraded central forest reserve sections adjacent to local communities.</li> <li>➤ Local communities have user rights negotiated via a Collaborative Forest Management Agreement.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Provides opportunities for: <ul style="list-style-type: none"> <li>➤ Sustainable forest management</li> <li>➤ Community rights to Carbon not assured</li> </ul> </li> </ul>
Local Forest Reserves	District or sub-county local governments	Local Forest Reserves	<ul style="list-style-type: none"> <li>➤ 4,997 ha<sup>10</sup></li> <li>➤ Small &lt; 500 ha highly degraded forests</li> </ul>	<ul style="list-style-type: none"> <li>➤ Provides opportunity for: <ul style="list-style-type: none"> <li>➤ Forest restoration</li> <li>➤ Establishment of forests</li> <li>➤ People/Stakeholder partnerships</li> <li>➤ Biodiversity conservation</li> </ul> </li> </ul>
Wildlife Conservation areas	Uganda Wildlife Authority	Wildlife Protected Areas - National Parks (NP) and Wildlife Reserves (WRs)	<ul style="list-style-type: none"> <li>➤ Adjacent local communities may have user rights negotiated via a MoU for Collaborative Resource Management (CRM) in zones not exceeding 20% of the PA.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Provides opportunity for: <ul style="list-style-type: none"> <li>➤ Forest restoration</li> <li>➤ Establishment of forests</li> <li>➤ People/Stakeholder partnerships</li> <li>➤ Biodiversity conservation</li> </ul> </li> </ul>
	Local community committees under local governments with technical assistance from UWA	Community Wildlife Areas (CWAs)	Can be large forest blocks e.g., Amudat (202,500 ha)	<ul style="list-style-type: none"> <li>➤ Provides opportunities for: <ul style="list-style-type: none"> <li>➤ Sustainable forest management</li> <li>➤ Community rights to Carbon not assured</li> </ul> </li> </ul>
Joint management	UWA and NFA	Joint Management Forest Reserves	Large forest blocks e.g., Bwindi National Park (119,200 ha).	<ul style="list-style-type: none"> <li>➤ Exhibits Institutional Collaboration</li> </ul>
Private Forests	Individuals or institutions outside	Variable	Mostly small fragmented forest patches. None has been registered	<ul style="list-style-type: none"> <li>➤ Vulnerable to deforestation and forest degradation</li> <li>➤ Opportunity for afforestation</li> </ul>

<sup>10</sup> Second Schedule of the National Tree Planting and Forest Act 2003

	government		yet.	➤ Opportunity for participating in REDD-Plus/carbon market
Community Forests	Potentially CBO, NGO, co-operative society, communal land association (CLA), company, farmers' group, or traditional/cultural institution	Forests on formerly public or government land that are completely under community control	None has been declared by the minister yet.	<ul style="list-style-type: none"> <li>➤ Vulnerable to deforestation and forest degradation</li> <li>➤ Opportunity for afforestation</li> <li>➤ Opportunity for participating in REDD-Plus/carbon market</li> </ul>

### 2.1.2.3 Forests and carbon tenure in Protected Areas

According to the Forest and Tree Planting Act (2004), Central Forest Reserves are managed on behalf of the Ugandan citizens by NFA as semi-autonomous central government statutory body. Local Forest Reserves (4,995 ha) are also managed on behalf of the Ugandan citizens by the Local Governments. Likewise, Forests under management as National parks are held in trust by UWA. This management arrangement introduces the aspect of Trust ship whereby government and these prescribed institutions act as Trustees on behalf of Ugandans. This implies that Carbon stocks within these estates are held in trust by government on behalf of the peoples of Uganda.

Concessions awarded by Government under Section 14 and 41 of the 2004 National Forestry and Tree Planting Act, entitle concession-holders to rights over forest resources within the forest reserves as specified in their licenses or permits. Forest concessions have been awarded to: harvest mature trees in both natural and plantation forests, plant trees develop portions of the forest reserve for forestry functions such as saw-milling and wood processing industries, manage eco-tourism sites, undertake Collaborative Forest Management and extract non-timber forest products for commercial purposes (Kiyingi 2006). This implies that the lessee has right to the trees.

Local communities under formal Collaborative Management arrangements or other bidding arrangements also have access and user rights in forest reserves. The 2001 National Forestry Policy, the 2004 National Forestry and Tree Planting Act, and the 2002 Guidelines for Collaborative Forest Management (CFM) provide for development of ten-year co-management agreements between a Responsible Body (a government entity like NFA or other forest owner) and an organized community group. Under CFM with NFA, the policy and the law are clear that the land and tree tenure of the central forest reserves rests with NFA. In such cases, carbon tenure belongs to the responsible body. NFA also gives the opportunity for CFM communities to acquire a license for 10% of the plantable area within forest reserves. Under the license arrangement, communities own the trees and therefore (presumably) the carbon rights during the licensing period (25 years).

Under the UWA Community Resource Management agreements e.g., between Kamwenge community groups and Queen Elizabeth National Park communities have only access and user rights to the specified forest reserve sections and have no claim on land or tree tenure.

#### **2.1.2.4 Forests and carbon tenure in privately owned forests**

Private Forests (PFs) are all forests outside government-protected areas and not including Community forests. Private forests in Uganda exist on land under freehold, leasehold, *mailo* and customary tenure systems. In all these cases a certificate of title constitutes a *prima-facie* evidence of ownership.<sup>11</sup> Where land is titled, the land tenure is relatively clear except in cases where squatters or *bona fide* occupants are settled on land or in case of land fraud raising conflicts over such land.<sup>12</sup>

Section 21, 22 and 25 of the 2004 National Forestry and Tree Planting (NFTP) Act provide for a forest owner (individual or community group) to register with the district land board their forest on land owned in accordance with the Land Act, or under a license granted by the Act. This provision also includes forests on customary (untitled land). Provided that a forest is registered, the Act states that all produce in that forest belongs to the forest owner and may be used in any manner the owner may determine provided it falls within the management plan and regulations provided under the NFTP Act. Currently however, no Private Forest has been registered in Uganda (Ebeling and Namirembe 2010).

Communal forests are a type of private forests existing on land under customary tenure that is not claimed by an individual, commonly on formerly public land that existed by law before the 1995 Constitution (amended 2005). Forests on these 'unclaimed lands' are experiencing the highest threats of deforestation especially in northern and western Uganda.

Communal forests can also be owned by Communal Land Associations (CLAs), constituting local community members that have registered a claim to the land and to manage it as "common property". Under this category of ownership, registered community groups can legally claim all land, tree and carbon tenure rights. However, although community groups such as Ongo and Alimugonza have completed the process of CLA application, none been endorsed by the minister. Until Private Forests and Community Forests are formalised, clear ownership of rights over trees and carbon is not legally defensible.

Local communities can designate a forest area as a Community Wildlife Area (CWA) under local governments. Land and tree tenure under CWAs belongs to the members of the community group.

#### **2.1.3 Implications of deforestation and forest degradation on forest dependent people**

The definition and categorization of "forest dependent people" in Uganda and their concerns regarding REDD-Plus is provided in section 1.14. They comprise of the Batwa/Pygmies in the Kabale, Kisoro and Kanungu districts and Benet in the Mt Elgon area in the east.

Measures for safeguarding the livelihoods of these people are briefly introduced under section 2.7 This R-PP does not exhaust the identification of the likely impacts, neither does it prescribe in detail, the measures envisaged under this section. Instead, the Environmental and Social Management Framework will be used as a tool to investigate such issues and describe measures for addressing them. The ESMF shall also address the World Bank Safeguards as well as national policies and legislation that relate to these people. The above notwithstanding, it is highly probable that the following measures to be developed under the ESMF will address the following, among others:

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<sup>11</sup> Under the Registration of Titles Act, a certificate of title is a *prima-facie* evidence of ownership.

<sup>12</sup> The 1998 Land Act creates overlapping rights over land by recognizing *bona fide* occupants. Forests on such land are subject of conflicts between the landlords and *bona fide* occupants.



- a) Enforcing legal provisions in the Constitution of Uganda, Land Act, Local Government Acts, etc.
- b) Enforcement of Conservation/Protected Areas policies and laws that recognize existence of Forest dependent people within respective protected areas.
- c) Promotion of conservation measures and approaches such as CFM, CRM, which permit participation in management of the protected areas, regulated access and use of forest resources within protected areas.

Forest dependent people are positively responding to new ways of life including engaging in income generating activities and sedentary life. These success stories offer the opportunity to continue to facilitate “willing” forest dependent people in such activities that ultimately uplift the quality of their livelihood. It is expected that ESMF will include such intentions.

## 2.2 Forestry resources base in Uganda

Forestry resource in Uganda is described in terms of the current status and trends in forestry resources base, biodiversity values and issues and, trends in deforestation and forest degradation.

### 2.2.1 Status of forestry resources in Uganda

According to National Biomass Study (2005), Uganda’s natural forest vegetation is categorized into three broad types namely Tropical High Forest (THF) well stocked, Tropical High Forest low stocked, and Woodland, covering 3,570,643ha and occupying approximately 15% of Uganda land surface as of 2005 (Table 17). Of these, approximately 15,500ha were of soft wood plantations. There is no reliable information since 2005.

Table 20: Geographical distribution of natural forests in Uganda

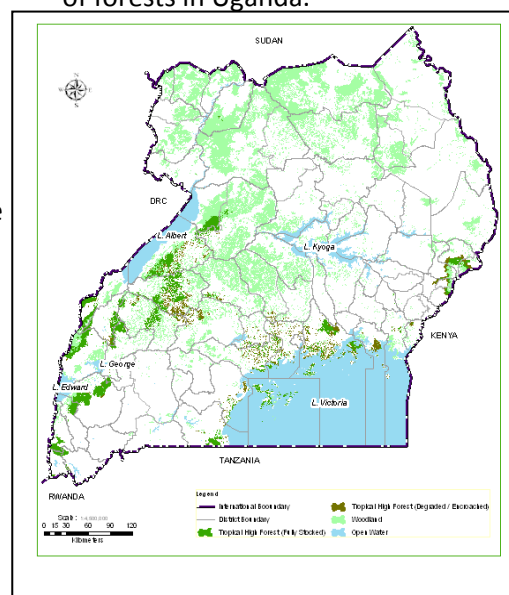
Forest type	Extent in 2005 (ha)	District <sup>13</sup> s with > 20,000 ha of forest
Tropical high forests, well stocked	600,956.81	<u>WEST</u> : Kyenjojo (84,000), Bushenyi (68,231), Hoima (58,889), Kibaale (58,268), Kasese (49,794), Bundibugyo (45,612), Kabarole (39,177), Masindi (31,933), Kamwenge (26,769)
Tropical high forests, Low stocked	191,694.36	<u>CENTRAL</u> : Mukono (63,977), Mpigi (27,170), Kalangala (21,079)
Woodland	2,777,997.8	<u>NORTH</u> : Abim, Ajumani, Amuru, Apac, Arua, Gulu, Kitgum, Kotido, Moroto, Moyo, Nakapiripirit, Nebi, Pader, Yumbe <u>WEST</u> : Bundibugyo, Bushenyi Hoima, Kabarole, Kamwenge, Kasese, Kiruhura, Kyenjojo, Masindi <u>CENTRAL</u> : Kayunga, Kiboga, Mubende, Nakaseke, Nakasongola,

Source: NFA, 2009

<sup>13</sup> Districts names are presented as they were in 2005

Figure 4: Map showing distribution of forests in Uganda.

In terms of geographical spread, well stocked tropical high forests (THF) are mainly in the western part of the country (Bugoma, Budongo, Kibale, Rwenzori Mountains, Kalinzu-Maramagambo, Katsyoha-Kitomi, Bwindi Impenetrable and Mgahinga) and in the east around Mt. Elgon. Low stocked THFs are found around the shores and on the islands of Lake Victoria while woodlands are in the northern central and western regions. The eastern part of the country is largely forest-poor.



Source: NFA (2009)

Over 1,900,000 ha of the forest area is protected under the Permanent Forest Estate (PFE in form of Central Forest Reserves managed by the National Forestry Authority (1,270,797 ha) and National Parks managed by the Uganda Wildlife Authority (731,000 ha), and Local Forest Reserves managed by districts (4,997 ha). Of these Permanent Forest Estate (PFE), 78% (1,468,000 ha) is under forests and woodland, while the rest is mainly grassland (Kayanja and Byaruhanga, 2001). The rest of the forest estate (almost 64% of the total forest cover), which is mostly woodland (Kayanja and Byaruhanga 2001), is under private ownership (State of the Environment Report 2004/5). This is where deforestation and forest degradation mainly occur (Plumptre 2002).

## 2.2.2 Biodiversity in Uganda’s Forests

Uganda ranks second in Africa for its mammalian diversity, has more than half of the birds and a third of the butterflies listed for the continent (Howard, 1991; Pomeroy, 1993; Davenport and Matthews, 1995), and a higher proportion of Africa’s plant ‘kingdoms’ than any other country in the continent (White, 1983). Much of this biodiversity is concentrated in the nation’s forests.

Forests of the Albertine Rift especially represent an area of great importance for conservation of biodiversity. The Albertine Rift has been identified by Birdlife International as an Endemic Bird Area, by World Wildlife Fund as an Ecoregion and by Conservation International as a biodiversity hotspot (Eastern Afrotropical habitat in Africa).

Most of the forest loss in Uganda in recent decades occurred outside protected areas. While only 15% of forest reserve is degraded, 50% of all the tropical forest on private land is degraded (NEMA, 2008). For example, a total of 84 centrally managed forests occur in the Albertine Rift in Uganda<sup>14</sup>. However, many of the forest reserves are small in size with only nine of them exceed 50 sq km in

<sup>14</sup> Five of these are National Parks and 79 are Central Forest Reserves. In addition there are 21 Local Forest Reserves managed by the Districts.

size. Hence, the issue of forest corridor conservation/restoration is critical for biodiversity conservation in Uganda.

Other parts of the country also have forest resources which contain habitats of prime biodiversity importance. For example, the protected areas in northern Uganda have both a national and global importance for biodiversity conservation with many of the parks and reserves conserve species that are not found elsewhere in Uganda. Many reserves are on mountaintops and conserve species.

Several of these areas are connected and form larger landscapes highlighting again the need to preserve landscape connectivity (Kidepo-Agoro Agu Landscape, Murchison-E.Madi-Nimule landscape). These landscapes could be connected again to conserve the old corridor that allowed elephants to migrate between Murchison Falls and East Madi.

It is also important to design REDD-Plus strategies which would conserve (and restore) these prime conservation forests through better management interventions such as law enforcement, zoning and land use planning to assure landscape connectivity, new management approaches (e.g. community involvement, public-private partnerships through concessions), enrichment planting, removal of invasive species and others.

The biodiversity aspect has long been recognized by several carbon standards, most notably through the Climate, Community and Biodiversity Alliance (CCBA) standard. It is possible that wildlife-rich habitats can command a premium under REDD-Plus or voluntary carbon market and currently there are efforts to formalize this “wildlife-premium” framework into REDD-Plus design as recently announced by the World Bank.

### 2.2.3 Trends in status of forest resources in Uganda

Both Uganda and FAO statistics show a decline in forest cover in Uganda, from 10,800,000ha in late 1890 to 4,900,000ha in 1990 and 3,570,643 in 2005. There is no updated data since 2005 although there is concern that the rate of loss of vegetation cover has continued to-date. This presents a decline in forest cover from 35% to less than 15% of Uganda land surface.

Between 1990 and 2005, forest loss was estimated at 88,638 ha/year - approximately 0.7% (7,000 ha/y) in protected areas and 2.27% outside protected areas (NFA 2009). Table 18 shows the districts with the largest forest area lost between 1990 and 2005.

Table 21: Changes in Forest area in most affected districts (1990-2005).

District	Area lost (ha)	% loss
Kitgum	297,147	63
Kiboga	87,131	52
Amuru	81,406	21
Kibaale	80,585	43
Nakasongola	63,127	49
Hoima	62,250	39
Kamuli	19,998	81
Bugiri	20,297	76

Source: NFA, 2009

These changes in forestry resources take place in both protected areas and non-protected areas but with more changes occurring in non-protected areas. By 2002 50% of the tropical high forests (THF) on private lands were degraded and 17% of those in protected areas were degraded. Deforestation occurs mostly in woodlands especially outside protected areas. While degradation drivers are well known, the impact of degradation is not as obvious as for deforestation.

#### **2.2.4 Deforestation and forest degradation in Uganda**

The major underlying causes of deforestation and forest degradation in Uganda relate to largely agrarian human population with increasing numbers and active socio-economic dynamics, increased demand for variety of forestry resources with limited options for alternatives or substitutes and human capacities to ensure sustainable forest management.

The major drivers of deforestation and forest degradation in Uganda consist of agricultural expansion in forested lands, Charcoal production, Firewood harvesting, livestock grazing, timber production and Human settlement and urbanization.

A Study carried out under auspices of R-PP Process for Uganda on “Evictions Trends and extent of evictions from Protected Areas in Uganda and implications on the REDD-Plus Process for Uganda” (NFA 2011) reveals that majority of encroachers in protected forest areas are people who have come from other locations and have been “facilitated” by or are “protected” by local leaders or protected areas personnel. These scenarios project a disturbing trend to the effect that forest or protected areas governance is undermined by the authorities meant to protect them.

With regards to evictions, efforts have been less effective, partly due to the protection given by authorities, political interests that compromise law enforcement, weak institutional performances when handling evictions.

The Study has also concluded that encroachers in forested protected areas do not qualify to be considered “forest dependent people” because, in fact, their interests is land for agriculture or commercial interests in charcoal, timber and forest produce.

The analysis of these drivers and underlying causes is presented in the following subsections.

##### **2.2.4.1 Agricultural expansion into forested land**

The key agents are small-scale farmers (88 % of the population of Uganda), immigrants and private large scale monoculture farming (Palm Oil and Sugar Canes).

Between 1990 and 2005, agricultural land area expanded by 2% (from 8,400,789ha to 8,847,591ha mostly in form of small-scale agriculture (NFA 2005). Subsistence agriculture expanded into wetlands, grasslands, and forests (Olson and Berry 2003). Agricultural expansion is the major deforestation driver in Uganda (Knopfle 2008), especially in high population areas or areas with high influx of immigrants. By 2008, there were over 300,000 illegal settlements in central forest reserves. Outside protected areas, land under natural resource cover is considered to be ‘idle’. This has been the case also in west-central (Luwero, Kiboga, Kibale and Masindi districts) and north-eastern parts of the country.

Agricultural interests can sometimes be the primary driver for deforestation and the wood that is cut is used for poles/timber, charcoal production, fuel wood or burned off as waste (Kayanja and Byarugaba 2001). In other instances e.g. well stocked forests near urban centres, agriculture follows degradation from timber, charcoal and fuel wood extraction.

Large-scale agriculture is not so wide-spread, and has increased from 68,446 to 106,630 ha between 1990 and 2005 (NFA 2005), but it has also caused significant threat to forestry. Key examples include the signing over of 7,000 ha of forest on the islands (Bugala and Kalangala) by the Uganda Government to BIDCO for establishment of an oil palm plantation (Foundation for Environmental Security and Sustainability 2006).

The following are the direct agriculture based causes for the current rates and trends of deforestation and forest degradation in Uganda.

- a) **Commercialisation of agriculture:** The expansion of cultivated area into forest and wetlands during the 1990s has been caused by a general increase in agricultural specialization and commercialization. The growing market in non-traditional agricultural exports (maize beans, bananas, ground nuts, simsim, soybean, pepper, vanilla fruits and cut flowers) and the removal of price regulation by government has increased the demand for agricultural land (Kamanyire 2000).

Converting forest land to agriculture pays more. The decision to invest in oil palm plantations at the expense of natural forests in Bugala islands, for example, was based on the International Fund for Agricultural Development (IFAD) study showing that Malaysia's oil palm plantations directly employ many people compared to the few rural people that were not generating much income from the natural forests.

- b) **Poor agricultural practices and resultant soil degradation:** While Uganda's climate offers great potential for food production and economic growth, the country's agriculture, which is predominantly rain fed (UNDP 2007), produces only a quarter to half of potential crop and livestock yields, even with present technologies (NEMA, 2008a). The declining soil fertility, especially in the high potential bimodal rainfall areas in the lakeshore region and in the eastern highlands has also resulted in expansion of agricultural land. Uganda has low fertilizer use because it is not profitable due to poor infrastructure, inadequate advisory support and low market access. Organic practices are too labour intensive and can only be achieved on small land parcels.
- c) **Weak extension system:** The poor have limited options for agricultural intensification since they are often excluded from programmes that improve agricultural productivity (e.g., NAADS - improved seeds, fertilizers and mechanisation) and commercialization. Therefore they tend to expand or practice shifting agriculture. Cultivation methods on steep slopes are generally poor (Knapen *et. al.* 2006) as smallholder farmers lack the institutions, resources or incentives to construct soil conservation structures such as embankments and terraces (NEMA 2006).
- d) **Problem animal control:** Forests are cleared to remove habitats of crop-destroying animals (mainly monkeys, baboons and wild pigs). The campaign for growing upland rice in recent years, for example, caused substantial destruction of forests and trees to remove nesting areas for birds. However, cutting trees and forests reduces on the amount of food available to these animals in their natural habitats and therefore results in increased crop raiding,

hence the need for more land to produce enough. Problem animals therefore are a cause and effect of forest degradation.

- e) **Culture:** For the better off people, agricultural land is sometimes expanded due to need for income, prestige, accumulation of assets.

The following interventions are ongoing to address agriculture based drivers of deforestation and forest degradation.

- a) **Management of Forest Estates:** Eviction of agricultural encroachers has been the most common method of controlling agricultural expansion into forests. Out of the 240,000 ha occupied by encroachers in Central Forest Reserves countrywide, NFA has only managed to recover 372 ha. There is an inability of the responsible institutions to protect forests from crimes due to weak institutional capacities (i.e. human, financial and technical resources) and political involvement in handling illegal activities. Clear demarcation of forest boundaries has also been used to curb agricultural encroachment, but this has achieved mixed results as any forest patches outside the boundaries are quickly removed.
- b) **Developing Strategy and guidelines** for nationwide Tree planting and forest land restoration and for Plantation establishment in forest reserves.

#### 2.2.4.2 Population growth

The primary cause of agricultural expansion is the demand for more land to meet the increasing demand for food for a growing population (UFRIC 2002; Nagujja 2001). In the eastern region, population density is highest in the highlands. For example, Bududa district has a population density of 952 persons/km<sup>2</sup> compared to the national average of 124 people/km<sup>2</sup>.

Information from REDD-Plus consultations indicates that local people migrate from densely populated areas to settle and establish agricultural fields in forested lands especially in the Albertine region (Hoima, Masindi and Bulisa).

#### 2.2.4.3 Unsustainable cutting of trees for charcoal

Charcoal is produced through selective removal of trees. *Combretum* spp., *Acacia* spp., *Albizia* spp, *Terminalia* spp, *Azelia africana*, *Piliostigma thonningii* are mainly targeted as they make the highest quality charcoal. However, the species range has expanded to include also highly valuable fruit trees like mango, jack fruit and shea butter. In the recent years, charcoal extraction has risen to unsustainable levels resulting in forest degradation and deforestation, especially in the woodlands.

The FAO-FOSA study in 1995 estimated an annual increase of 6% in charcoal production, with a total of around 400,000 tons per year. Between 1996 and 1997, charcoal production increased by 7% from 418,000 tons to 447,000 tons (State of Environment Report for Uganda 1998). Charcoal consumption in Kampala, the main consumer, increased from 200,000 tons in 1995 to 300,000 tons in 2004 (Kisakye 2004). Another key demand point for Ugandan charcoal (mostly from Zuka forest in West Nile) is Southern Sudan, which is emerging from war and has disposable income. Kampala charcoal is mainly from Luwero and Nakaseke (25.3%), Nakasongola (14.5%), Kiboga 13.6%, Mpigi 10.8% and Masindi 6.9% (Kisakye 2004). Other charcoal producing districts are Kapchorwa, Buikwe,

Mubende, Mityana, Masaka, Lyantonde, Sembabule and Mpigi supplying Jinja, Entebbe, Wakiso and Mbale.

The majority of wood for making charcoal comes from private or community-owned land. However, as the trees are getting rapidly depleted and as land owners are charging more for harvesting of trees from their land (Knopfle 2008), an increasing amount of wood is obtained (often illegally) from forest reserves. Charcoal is sometimes a bi-product of clearance of land for agriculture. For every 4 ha cleared, 1 ha is used for charcoal (Kayanja and Byarugaba 2001).

Despite being mostly illegal, the combined earning from charcoal by local governments and the Forest Department in 1995 was about US\$ 8m in form of charcoal movement licenses and permits (Sankayan and Hofstad 2000). By 2008, charcoal contributed US\$ 20m/y in rural income (Knopfle 2008). There are over 20,000 people employed in production, transport, distribution and marketing (Kayanja and Byarugaba 2001).

Agents are mainly young men with limited basic education and skills in alternative income generation. These men are often poor with little access to land and credit. Increasingly, larger businessmen are getting involved in charcoal production. The key players in the Charcoal production and transactions are charcoal dealers (producers, transporters and traders).

The following are factors responsible for charcoal production and resultant effect of forestry resources in Uganda.

- a) **High demand:** The charcoal business has been growing due to the increasing demand, mainly (70%) by the growing urban population.
- b) **Infrastructure development:** Indirectly, the increased road access and large numbers of youth with little basic education and limited access to formal employment contribute to the growth in charcoal business.
- c) **Limited access to alternative sources of energy:** Although hydropower infrastructure exists in most urban centres, the unreliable supply and heavy tariffs force the population to rely mostly on charcoal for cooking. Grid access covers only 5% of the whole country and connection reaches only 200,000 people countrywide (Energy Policy for Uganda (2002)). Charcoal on the other hand is abundant and believed to be relatively affordable although a recent energy research, found that the cost of using charcoal over a month is the same as that for electricity excluding the cost of installing electrical appliances.
- d) **Price:** The price of charcoal is too low at UGX 6,000 at the kiln site, and up to UGX 30,000 in Kampala per bag of approximately 50 kg. This reflects mainly the labour, handling and transportation investment, but not the value of the wood itself. Producers pay as little as UGX 400/bag to produce charcoal from private idle land (Knopfle 2008). License costs are negligible at only UGX 36,000/month for production and UGX 62,000/lorryful for transportation (Knopfle 2008). Charcoal production is easy for resource poor people as it only requires labour investment and has lower economic risk than agriculture.
- e) **Weak regulation:** No clear strategy has been made for charcoal in the National Development Plan (2010). Regulation of charcoal production and movement is inadequate and unclear. Ideally, in order to fell trees for charcoal from forest reserves, producers must obtain licenses from either the National Forestry Authority (NFA) or the District Forest Services. For trees felled

from private forests, producers are required to obtain consent from the tree owner as well as from the district officers, who advise on what is permissible according to the district environment plan. In addition, a movement permit should be obtained from the District Forest Officer in the district of origin in order to move the charcoal. This multiplicity of institutions regulating the same resource is confusing and prone to abuse both by the producers and government officials.

- f) **Poor technology:** The most common kiln used is the earth mound constructed at the site of tree felling in order to avoid transportation costs of unprocessed wood. The earth kiln has very low recovery rate of only about 10–22% calculated using oven-dry wood with 0% water content (Adam 2009). However, in most cases, charcoal conversion efficiency is not more than 10%. Poor charcoal handling also leads to further loss. Bags are often smashed on the ground while reloading or offloading increasing the proportion small pieces of charcoal called fines (the acceptable amount is only 5%) (Knopfle 2004).

The following interventions are being undertaken to address charcoal production and marketing.

- a) **Introduction of MBA-CASA kilns** with charcoal yield efficiency between 30-35% in Luweero, Masindi and Nakasongola districts (Knopfle 2004). These were not adopted as they are expensive to construct. Also because they are not mobile, they result into increased transportation costs, which the producers cannot afford. The Ministry of Energy is organizing youths in Nakasongola to regulate one another in the production of charcoal and to form cooperatives that will enable them to obtain licenses and operate legally and get better prices.
- b) **Strategies for sustainable charcoal production** and for promoting **energy saving stoves** have been developed by the Ministry of Energy and Mineral Development (MEMD). Promotion of efficient charcoal cook stoves has also been supplemented by NGOs and Development agencies. At household level, fuel-efficient charcoal stoves are getting increasingly used in urban areas and in the long run, these should contribute to reduced demand for charcoal. A study by UNIQUE Forestry Consultants (2006) showed that these initiatives by the government, private sector and NGOs to improve wood/charcoal production and use efficiency have started to have an impact. The impact of these interventions on charcoal producers and industrial consumers is not yet evident.
- c) **Promotion of efficient charcoal production kilns** (achieving up to 27% efficiency) in Kiboga, Luwero, Nakaseke, and Nakasongola by MEMD resulted in low uptake because the technology was expensive and involved permanent structures yet charcoal burners were nomadic. Other MEMD interventions to provide alternative energy sources include: Rural Electrification at district headquarters, institutions, agro-processing industries and fish landing sites; promotion of biogas technologies and solar energy. However, overall, only about 1 % of Ugandans use these forms of energy. The adoption is limited by the high upfront costs and limited operation and maintenance capacity.
- d) The **Green police** have just been established to enforce environmental laws and their operations are yet to start.



#### 2.2.4.4 Unsustainable cutting of trees for firewood

Uganda consumes 16-18 million tonnes of firewood annually (or annual per capita consumption of 0.6 tonnes of air-dried wood (Kayanja and Byarugaba 2001). The major players are the rural households, youth and commercial dealers.

Firewood consumption is highest in rural areas, but is also substantial in urban areas, commonly using the highly inefficient three-stone fire place. It is mostly a free resource in rural areas. Firewood is also the main energy source for businesses such as lime production, fish smoking, schools, hospitals, prisons and barracks, bakeries, tobacco curing and brick-making.

Fuel wood for cooking comes mostly from farmland (48%), bush land (30%) woodlands (20%) and natural forest (2%). Commercial fuel wood for small industries comes from woodlands 58.9% (mainly in Mbarara, Lira, Nakasongola, Kumi and Adjumani Districts) and 34.6% is collected from plantation/planted forests (mainly from Masaka, Bushenyi and Kasese Districts) (Kayanja and Byarugaba 2001; Draft National Forest Plan, July 2010).

In the central, western and south western parts of the country, firewood extraction does not seem to be a very high threat to deforestation and forest degradation and in most cases; the existing regulation of forest access by rural families is working well. It is the commercial extraction for small and medium scale industry as well as urban households that are causing deforestation and forest degradation. However, in northern and eastern districts (e.g. Tororo, Iganga, Nakasongola, Maracha, Arua, Soroti, Kumi, Palisa, Rakai, Adjumani) firewood scarcity has escalated resulting in more than double the distance walked by women and children from 0.73 km in 2000 (Poverty Eradication Action Plan - PEAP, 2004/5-2007/8), to 1.5 km (APRM 2007). In some instances agricultural residues, which would have replenished soil nutrients are used for energy. From the FIEFOC 2007 survey, only about 20% of the households use fuel-saving technologies.

The following factors contribute towards the unsustainable harvesting of firewood from Uganda Forests.

- a) **Income generation:** Firewood selling offers an alternative source of income to many rural households. In Karamoja, income generated from selling firewood ensures food security (Lüdecke et al. 2004).
- b) **Growing energy demand by the small and medium industries:** Firewood demand has escalated due to expanding businesses especially tobacco and fish smoking, bakeries, brick-making, charcoal making and institutions such as schools and hospitals.
- c) **Weak enforcement of laws governing firewood harvesting especially from private forests:** Firewood is often considered to be a minor forest product and not strongly regulated.
- d) **Wasteful utilization:** There are no processes to enforce use of more efficient firewood technologies in homes, institutions and industries.

The following **interventions** are being undertaken to address firewood production and marketing.

- a) To reduce demand for firewood, energy efficient stoves are mainly promoted by NGOs/CSOs country wide. However it is only effective if each household uses such stoves. It also requires households to have alternative and more attractive income-generating ventures to work effectively (Okello Bio energy lists).
- b) Tree planting and establishment of woodlots by farmers, government institutions and commercial users such as tea factories.

- c) Rural electrification programmes by government
- d) Promotion of alternative forms of household energy e.g., biogas.

#### 2.2.4.5 Unsustainable harvesting of timber

Timber harvesting is a key driver for deforestation and forest degradation in Uganda. It is often the first step in forest conversion. In central forest reserves the process often ends at charcoal and fuel wood extraction resulting in degradation, but in some cases, agricultural farms ensue. Although logging used to target only a few species in the past, it has become increasingly indiscriminate and affects a wide range of species and tree age classes. Logging has therefore become severe enough to prevent forest recovery.

The demand for timber was estimated at 750,000 m<sup>3</sup>/year (Kayanja and Byarugaba 2001) compared to the current sustainable timber harvesting levels of 53,000m<sup>3</sup>/year over the next 30 years in central forest reserves. Illegal timber extraction is one of the major drivers of deforestation and forest degradation in central forest reserves. Most timber is extracted mainly from private lands using wasteful methods. The MWE estimates that timber production from private owned forests will be exhausted by 2013. Timber sources include THFs (280,000 m<sup>3</sup>/year), plantations (100,000 m<sup>3</sup>/year) and woodlands (19,300,000 m<sup>3</sup>/year) on government and private land (FAO, 2005). Timber markets are mainly domestic and key destination points are urban centres (Kampala, Entebbe, Masaka, Jinja, Mbale, Mbarara, Gulu, Arua, Kabale, Fort Portal, Soroti and Tororo). There is also a considerable volume of illegal timber imported into the market.

Legal timber production from natural forest in CFRs comes from timber production zones<sup>15</sup> totalling 141,000 ha<sup>16</sup>. Of the approximately 300,000 ha of THF under NFA, about 100,000–200,000 ha can be considered to be “productive” and only 50,000 ha of this is exploitable.

In general, however, records of timber volumes cut and traded whether legally or illegally are incomplete. Timber from private forests is estimated based on only the movement permits, and excludes timber sold within districts. Also the volume of illegal timber is often underestimated based on the figures of those confiscated. In 1999, 715,000 m<sup>3</sup> of illegal timber was confiscated<sup>17</sup> by the Forest Department (FAO 2005).

The key agents of unsustainable timber harvesting are the Pit sawyers who supply over 90% of the sawn timber, mainly from natural forests (FAO, 2005). The current management of central forest reserves favours “low-impact harvesting practices” in natural forests - the maximum allowed off-take under a typical license is 15 m<sup>3</sup>/ha in bole volume, or 5-6 trees/ha. This suits the low-investment pit-sawing with annual timber output of only about 25–50 m<sup>3</sup>. Since pit-sawn timber is converted at the stumps and head-hauled from forest, pit-sawing avoids construction of skid roads and use of heavy and expensive tractors or log-transporter trucks. It is considered to be eco-friendly and pro-poor, like the commercial high investment model, although it tends to cream the forests of very high value timber species. Saw millers supply only about 10% of the total timber and this comes mainly from forest plantations.

The following factors contribute to the unsustainable harvesting of timber from Uganda’s forests.

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<sup>15</sup> The Forest Nature Conservation Master Plan (FNCMP) divides Uganda’s forest reserves into three management zones: 50% of the THF FRs comprises timber production zone, 30% buffer zones and 20% is set aside as strict nature reserve.

<sup>16</sup> FAO (2005) supra

<sup>17</sup> Kayanja and Byarugaba (2001)

- a) **Demand and market for timber:** has almost doubled mainly due to the expanding construction and furniture industries. The urban construction industry has grown at an average of 11% over the last 3 years leading to high demand of timber, poles, and furniture. The MWE (2009) estimates the country's demand for timber to be 750,000m<sup>3</sup>/year compared to the 200,000 m<sup>3</sup> consumed in 1999. This demand is projected to rise to 1.5 million m<sup>3</sup> by 2025<sup>18</sup>. Despite a ban on timber exports, Kenya and now Southern Sudan are key market destinations for Ugandan hardwoods. The price of timber has escalated.
- b) **Wasteful methods of wood conversion:** Pit-sawing results in timber recovery of only 20-40% of the tree. The mobile circular sawmills can also be wasteful. Sometimes even the highly wasteful chain saws are used for converting wood.
- c) **National or regional guidelines and standards:** to guide timber harvesting and processing are unavailable. Certification of forests and labelling of forest produce to verify its legal origin from sustainable sources of supply had been included under Section 92, Subsection 2v of the Draft Forest Regulations of 2003 but these Regulations have not been gazetted by the Minister.
- d) **High operating costs for legal harvest of timber:** Adokonyero (2005) found that the total operating costs (i.e. sum total of the concession/licence fee, royalty and transporting timber) of pit-sawing in CFRs of UGX 275,800/m<sup>3</sup> exceeds the average sale price of UGX 200,000/m<sup>3</sup>. The majority of pit-sawyers, therefore, operate on private land or illegally.
- e) **Inadequate management planning:** Out of 506 forest reserves under NFA, only 12 have approved forest management plans, the rest are in draft form. Even then, management plans are not implemented adequately because of lack of resources. The staff on the ground is not adequate to effectively implement management plans. For example, there are only 5 NFA staff members to manage the 499 km<sup>2</sup> of Kasyoha-Kitomi forest reserve. On the other hand, the lack of institutional coordination of the DFS has led to a fragmented approach to private forest management where forestry officials in each district are completely disjointed from their counterparts. Many DFS positions are not filled nor have staff with inadequate skills. Staff is often poorly paid and not adequately facilitated to conduct their duties.
- f) **Revenue generation:** Districts have focused on generating local revenue from timber rather than providing advisory support for sustainable private forest management. For example Bushenyi district leadership gladly license heavy timber production - about 20 Lorries of timber/day to Kampala.
- g) **Unclear legislation:** The forest law does not sufficiently control harvesting timber from private forests. According to the law, there is no requirement for owners of forest outside protected area boundaries to seek authorization for harvesting a few trees from their own land or clearing it for agriculture. For harvesting trees for commercial timber from a large area, however, a forest owner (individual or community) must be authorized by the district forest officer. No formal proof of land ownership is required. Some district officials have exploited this gap to register pit-sawyers to harvest timber from local forest reserves and to clear timber from central forest reserves. Also the recently introduced use of *special hammers* by NFA and URA is still confusing – DFS have found themselves clearing timber from CFRs and vice versa. DFS tend to levy extra charges from private tree owners including felling fees and a timber royalty fee of UGX 3000/tree. Over-regulation of timber markets also creates avenues for corruption and bribery.

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<sup>18</sup> MWE (2009)

- h) **Mistrust:** Timber concessions are often given to businesses from other locations and not to local people. This has fuelled mistrust of forest officials leading to escalation of illegal logging and conflict. Cases of communities attacking forest officers have escalated as witnessed in Jubia FR (January 2009) and in Buikwe FR (June 2009).

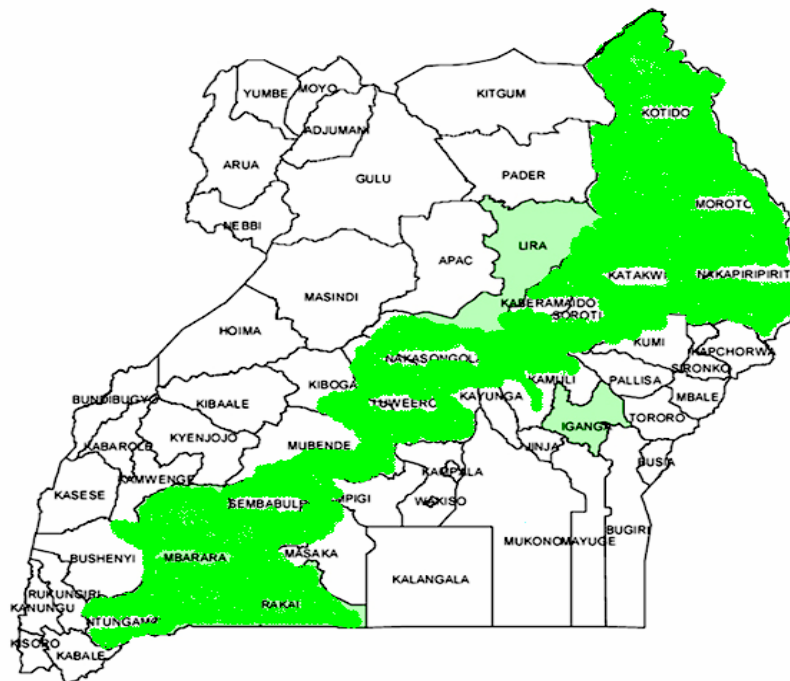
The following **interventions** aimed at regulating timber harvesting are ongoing:

- a) Management zoning of central forest reserves, into the 20% Strict Nature Reserves, 30% buffer zone and 50% timber production zones has had significant success in controlling timber harvesting.
- b) The ban by NFA on use of chain saws to produce timber has also been successful to a large extent in combating over-harvesting of timber and its effectiveness could be greatly enhanced if the occasional notes given by officials to make exceptions to this ban are totally halted.
- c) Collaborative forest management has resulted in protection of forests through social pressure, but it is not wide spread and is likely to be short-lived due to inadequate benefit sharing.
- d) The NFA produces periodic land-cover assessment reports and maps to guide forest planning and management. This needs to be made more accessible for users – by creating awareness and reducing/removing the cost for the information. The NFA itself needs to use this information to develop management plans for all its reserves.
- e) The NFA and URA track timber by conducting impromptu operations on timber outlets in Kampala to capture ‘illegal’ timber (not bearing a NFA or URA stamp). These operations unfortunately tend to also confiscate legal timber from private forests. Apparently, this activity is outside NFA’s mandate as controlling, tracking and restricting timber movement within the country should be by Order of the relevant Minister through a Statutory instrument (Section 45 of the forest law). The Green Police that has been established should be able to take over this role effectively.
- f) Private sector interest in forest management has been increased through licensing reserve land for private tree growing and selling high quality seedlings. The Saw log Production Grant Scheme, providing a fifty percent subsidy for establishment of timber plantations has been successful and is expected to play a key role in reducing pressure on natural forests. Timber certification programs are getting initiated. However, all these are targeting plantations and have not been attempted in ensuring sustainable timber management in natural forests.
- g) Donor-funded projects such Farm Income Enhancement and Forest Conservation (FIEFOC); Mt. Elgon Regional Ecosystem Conservation (MERECP); LVMP and PrimeWest have focused more on tree planting and not really on timber control and regulation.
- h) NFA has worked with civil society organizations to curb illegal timber harvesting. For example, earlier in 2010, forestry officials working with an NGO called Forestry Concern Uganda impounded about 10 trucks carrying illegal timber using forged documents. The timber had been illegally cut from forests in Mpigi, Mukono, Kayunga, Masaka and Mityana districts.

#### **2.2.4.6 Livestock grazing and bush burning**

The responsible agents are nomadic herdsman, ranchers and hunters. Nomadic livestock grazing is not a major deforestation and forest degradation driver in Uganda since in addition to forest vegetation; it relies also on bush land, grassland and wetland vegetation. Cattle-raiding tribes e.g., in Karamoja occasionally cause destructive forest fires. Cattle population grew from 7.5 million in 2005/6 to 11.8 million in 2008 (UBOS 2008). Cattle population is distributed as 22.3% in western region, 21.8% in eastern Uganda 21.7% in central region, 19.8% in Karamoja and 14.4% in northern Uganda (UBOS 2008). In a study by International Food Policy Research Institute (IFPRI) (Benson and Mugarura 2010), the correlation between livestock population and woodlands was low because of the less-than-ideal pasture in such landscapes and tsetse-related constraints in some areas.

Figure 5: The Cattle Corridor in Uganda



Source: From Uganda Investment Authority, (2009).

The following factors contribute to the trends in deforestation and forest degradation due to grazing pressures.

- a) Wild fire (by hunters and livestock herders) was highlighted as a driver of deforestation/forest degradation during REDD-Plus consultations. According to Nangendo (2005), fire in Budongo woodlands is often of low intensity and well managed on small patches, leading to low carbon woodlands mainly consisting of fire-tolerant species. The study also shows that the control of fire results in succession of fire tolerant woodlands by closed forest vegetation (higher carbon stocking) with tree species that are less adapted to fire. However, fire is a massive problem in many landscapes, such as northern Uganda. It is often high intensity and destructive. Districts even addressed improving fire management as their priority in their SEAPs which WCS supports

in some sub counties in the North. Studies are needed to show the extent to which these fires affect forest cover.

- b) Pasture improvement causes forest degradation especially in the woodlands where fire and selective tree cutting are done occasionally to increase pasture growth.

The ongoing interventions seeking to address this problem include:

- a) Increasing access to water for livestock: government has programmes to construct valley dams to settle pastoral communities.
- b) Development of bye-laws by local governments to regulate bush fires.
- c) Civic or environmental education by civil society.

#### **2.2.4.7 Other drivers of deforestation and forest degradation**

There is insufficient information on the impact of other deforestation/forest degradation drivers such as Settlements and urbanization and Oil exploration. Studies are needed to establish the impact of these drivers and whether they can be addressed through REDD-Plus.

#### **2.2.4.8 Previous efforts to address deforestation and forest degradation in Uganda**

Previous efforts to achieve sustainable forest management through controlled rates of deforestation and forest degradation have not been successful due to several factors including weaknesses in the enforcement of law and policy and regulation of use of forest resources. In recent past, institutional reforms such as decentralized management of forest reserves have not been effective in achieving their mandates. Over-all, efforts to reduce deforestation and forest degradation in Uganda should seek to address political interests, institutional capacities and credibility, population pressures, benefits sharing, tenure of land and tree resources, alternatives to forestry resources, and competitiveness of forestry resource and, consistent and effective law enforcement.

Poor standards of governance in public administration are recognised as a major concern by the Government of Uganda across all sectors including forestry (NDP 2010). These concerns regarding forest governance were addressed at a recent meeting of experts convened in Kampala in June 2010. The meeting aimed at diagnosing governance problems and proposing solutions. Participants used a diagnostic tool developed by the World Bank and produced a set of proposals for addressing the issue (Kanyingi, 2010). Priorities for improving forest governance, proposed at the WB/ENR workshop 2010 included the following:

- a) Systematizing and improving the collection, packaging and dissemination of information.
- b) Ensuring active participation of forest dependent communities in planning and management of forests.
- c) Clarification and improvement of conflict resolution mechanisms.
- d) Reconstruction of the forest development plans and budgets.
- e) Restructuring forestry institutions.
- f) Enhancing collaboration and coordination among government forestry institutions.
- g) Make forestry institutions autonomous and free from political interference.
- h) Improving the Process of Forest Management Reporting.
- i) Effectively enforce forestry policies and laws.

- j) Clarifying the ownership of non-traditional resources tied to the forestland.
- k) Developing mechanisms for equitable distribution of benefits from forests.
- l) Carry out total economic valuation of forest resources and Incorporate environmental costs into forest product prices.
- m) Improve property rights and enforce contracts in forestry related businesses.
- n) Adopt appropriate forest technologies and best standards in forest production and processing.

The priority recommendation of that analysis was to increase transparency by making comprehensive information available to the public on the forest resources and the management of those resources. Transparency improves accountability and reduces the opportunities for corruption. Information should be freely available and readily accessible on public forests and the operations of NFA and DFS, including GIS maps, inventory data, felling plans harvesting forecasts, long term plans and forecasts, financial information, financial reports, progress reports, tender allocations, concession allocations, and any other relevant information required by the public. Information on forests on private land including natural forests and plantations should also be available to the public.

Civil society organisations (CSOs) that focus on governance and forestry issues have an important role in holding public institutions and individuals to account to civil society. The Forest Governance Learning Group and the Advocates Coalition for Development and Environment (ACODE) are key players in this regard. Good information facilitates their efforts to improve governance in the sector.

As the coordination and regulatory institution, FSSD has a key role in addressing governance issues. Given the important role of FSSD in improving governance in the sector, strengthening FSSD will help in addressing the issues of poor governance.

## **2.3 Forestry Policy and Governance**

Forestry policy and governance is presented in the context of adequacy and/or inadequacy of policies, legislation and institutional arrangements for forestry management in Uganda, enforcement and compliance to these policy and legal provisions, the role of international policy regimes, the role of research, management of transboundary forestry resources and rights to forestry resources (trees and carbon) in relation to REDD-Plus.

### **2.3.1 Policy, Legal and Institutional frameworks for REDD-Plus**

REDD-Plus entails Sustainable Forest Management actions involving a series of stakeholders thus requiring a robust institutional governance system and quality control at all governance levels. In addition, REDD-Plus shall involve critical activities such as monitoring effects of REDD - Plus Strategy on Forestry resource in Uganda, Carbon fund management and channelling that require high levels of transparency and accountability. These activities require strong legal and policy framework to regulate or govern them so as to ensure truthful reporting and attribution of changes to activities and also to particular stakeholders.

Lastly, there is need for clear understanding of the causes and implications of current performance levels of forest governance in Uganda in order to develop appropriate strategies for safeguarding forest dependent people and other vulnerable groups from likely effects of REDD-Plus Strategy implementation.

The following sub-sections briefly discuss the legal and policy framework in relation to REDD-Plus.

### 2.3.1.1 National policy and legal framework for forestry resources development and management in Uganda.

The Constitution of Uganda (amended 2005) is the supreme framework on sustainable forest management while the 2001 National Forestry Policy and the 2003 National Forestry and Tree Planting Act provide the principle framework. Other subsidiary laws relating to forestry management include: Wildlife Act, cap 200, Local Government Act (1998), Land Act, cap 227, National Environment Management Policy (1995), National Environment Act, cap 153, among others.

These frameworks are supported by several guidelines issued from time to time by lead agencies, e.g., Private Forest Registration Guidelines and the Collaborative Forest Management Guidelines developed by NFA<sup>19</sup>. In addition the District Forestry Services Handbook was drafted but it has not been adopted as an official guide for the operation of the DFS.

Uganda has changed its development strategy from a “Poverty-reduction Strategy” to an “Enterprise Approach”. The National Development Plan (2010-2015) categorizes forestry as a primary growth sector with prospects for investment both from the national budget and the private sector. The National Development Plan emphasizes “sustainable development through preservation of natural resources such as forests ...” The Uganda government draft Vision 2035 is explicit on carbon trading as a means of conserving forests for climate change mitigation.<sup>20</sup> It provides that Uganda will promote carbon trade that will increase forest cover, as well as incomes of the rural communities. It further provides for promotion of conservation programs that will not only restore but also sustain an optimum level of forest cover in the country.

In general, the existing policies and legislation seem to provide adequate basis for REDD - Plus. Where weaknesses exist, they stem from weak implementation of policy and enforcement of law and mismanagement of institutional mandates. The following (Table 19) presents a summary of the analysis of key legal, policy and development frameworks in relation to REDD-Plus.

Table 22: Summary of Policy and Legal provisions for REDD-Plus

Framework	Provisions Relevance to R-PP and REDD=Plus implementation
<b>Legal frameworks</b>	
The Constitution of Republic of Uganda (amended 2005)	<ul style="list-style-type: none"> <li>✓ Protection of Uganda’s natural resources including Forests</li> <li>✓ Ownership of natural resources by Ugandans and creation of trusteeship arrangements</li> </ul>
Forestry and Tree Planting Act 2003	<ul style="list-style-type: none"> <li>✓ Legal framework for management of forest resources in Forest Reserves</li> <li>✓ Stakeholder participation</li> <li>✓ Sustainable forest management</li> <li>✓ Promotion of farm forestry</li> <li>✓ Establishes Joint management arrangements</li> </ul>
Wildlife Act 2000	<ul style="list-style-type: none"> <li>✓ Legal framework for management of forest resources in wildlife conservation areas</li> </ul>

<sup>19</sup> These guidelines are not binding because they have not been gazette.

<sup>20</sup> The Republic of Uganda Vision 2035. Toward a Transformed Ugandan Society from a Peasant to a Modern and Prosperous Country within 30 years, para.126-127, p. 14.



	<ul style="list-style-type: none"> <li>✓ Incentives including sharing of benefits from conservation of forests</li> <li>✓ Stakeholder participation</li> </ul>
Local Government Act 1997	<ul style="list-style-type: none"> <li>✓ Stakeholder participation</li> <li>✓ Decentralised (devolved) management of Local forest reserves</li> <li>✓ Carrying out Forestry Extension services</li> <li>✓ Regulating Private Forests and Community Forests</li> </ul>
National Environment Act 1995	<ul style="list-style-type: none"> <li>✓ Environmental standards</li> <li>✓ Incentives including sharing of benefits from conservation</li> <li>✓ Stakeholder participation</li> </ul>
Land Act 1998	<ul style="list-style-type: none"> <li>✓ Stakeholder participation</li> <li>✓ Tenure of trees and Forests</li> </ul>
<b>Policy frameworks</b>	
Forest Policy 2001	<ul style="list-style-type: none"> <li>✓ Stakeholder participation</li> <li>✓ Maintenance of Permanent Forest Estate</li> <li>✓ Sustainable forest management</li> <li>✓ Promotes private sector</li> <li>✓ Provides incentives for forest resources development</li> </ul>
National Environment Management Policy (1994)	<ul style="list-style-type: none"> <li>✓ Provides for sustainable management of forests</li> <li>✓ Strategy of using incentives and sharing benefits</li> </ul>
Renewable Energy Policy (2006)	<ul style="list-style-type: none"> <li>✓ Promotion of efficient wood energy processing and use technologies</li> <li>✓ Promotion of alternative renewable energy sources</li> </ul>
<b>Guidelines and Regulations (developed under the National Forestry and Tree Planting Act)</b>	
Private Forest Registration Guidelines	<ul style="list-style-type: none"> <li>✓ Regulates management of Private Forests</li> <li>✓ Regulates management of Community Forests</li> </ul>
Collaborative Forest Management Guidelines 2002.	<ul style="list-style-type: none"> <li>✓ Community participation in forest management</li> <li>✓ Benefit sharing between NFA and the communities</li> <li>✓ Development of community regulations</li> </ul>
<b>Development Plans</b>	
National Development Plan 2010-2015	<ul style="list-style-type: none"> <li>✓ Sustainable development through preservation of natural resources such as forests</li> </ul>
National Forest Plan 2004 (under revision)	<ul style="list-style-type: none"> <li>✓ Sustainable forest management</li> <li>✓ Maintenance of Permanent Forest Estate</li> </ul>
Draft Vision 2035	<ul style="list-style-type: none"> <li>✓ Proposes carbon trading as a means of conserving forests for climate change mitigation</li> </ul>

The analysis of the above policy and legal frameworks reveals that the following policy areas need to be addressed:

- a) Enforcement and compliance to policy and legal provisions
- b) Promotion of alternative energy sources
- c) Promotion of efficient wood energy production and use technologies
- d) Sustainable management of forests and forestry resources
- e) Strengthening stakeholder's participation in development, management and conservation of forests and forestry resources.

Given that REDD-Plus will entail actions involving a series of stakeholders that will be rewarded after proof of performance, adequate governance systems and quality are critical at all levels. REDD-Plus will involve new activities including monitoring, fund management and channelling that require high levels of transparency and accountability. Laws must be developed to govern monitoring to ensure truthful reporting and attribution of changes to activities and therefore to particular stakeholders.

### **2.3.1.2 Enforcement and compliance with policies and legislation**

Effective legal enforcement is going to be crucial for the success of REDD-Plus in Uganda. REDD-Plus will require an increased number of forest officials who have the capacity to enforce forest laws, regulations and standards and are well motivated and facilitated with sufficient operational funds. District staff tends to focus on those issues that the Ministry of Local Government (MoLG) rewards or penalizes based on regular inspections. Forestry needs to be included in such standards to elevate its importance at district level.

A study shall be conducted to identify solutions to the low performance in the enforcement of forestry legal provisions, its underlying causes and potential for pro-poor mechanisms to safeguard against negative impacts on the vulnerable, including gender issues. The required number and skills of enforcement officers needs to be determined as well as incentives for good performance. Collaborative enforcement across different agencies in forest management and also with other sectors especially at the district level should be explored.

The study shall also look at what needs to change in laws governing contractual agreements with the private sector including identifying ways of curbing corruption. Civil education and awareness programs are also necessary to get REDD-Plus understood. These programs should engage politicians.

The Forestry Sector Support Department (FSSD) should lead in the development of programs to promote awareness of legal provisions for forestry among the legal enforcers (e.g., police and the judicial systems) and to develop formal linkages with them. The existing Regional Environment Support Units (established by NEMA) provide a potential structure to achieve this. Enforcement activities in REDD-Plus implementation will rely heavily on the recently (2010/11) formed Green police under NFA and NEMA.

### **2.3.1.3 Regional and International policy**

Uganda is a signatory to several internal agreements (Conventions and protocols) and as such is obliged to apply international law in management of her forestry resources where applicable. Indeed, Uganda qualifies to participate in the FCPF because it ratified the UNFCCC. Therefore, in its REDD-Plus strategies, efforts to implement Uganda's obligations to these agreements will be emphasized.

## **2.3.2 Addressing legal gaps in forest management**

### **2.3.2.1 Benefit Sharing**

The legal provisions for forestry management are adequate save for need to gazette stakeholder participation through legally binding benefit sharing. A benefit-sharing mechanism should be developed and gazetted based on assessment of its potential to provide sufficient incentive to all stakeholders in an affordable and sustainable way within the existing resource limitations. Addressing the legal gaps highlighted in the on-going review of the NFP is also crucial to the implementation of REDD-Plus, particularly, gazettment of the Forestry Regulations, now in draft form, to support policy implementation and enforcement of the NFTP. To support the DFS role in REDD-Plus, the District Forest Service's Handbook should be developed and gazetted.

### **2.3.2.2 Clarification of Carbon rights**

Policy review should be made as early as possible to make explicit provisions on carbon rights, which are crucial in determining whether Uganda can lawfully generate and commercialize carbon credits,

and how carbon revenues will be distributed among stakeholders. If Uganda is to use a nested approach where project level activities will take place transact at the same time as the national level activities, then systems (licensing or taxation) need to be developed in the regulatory framework for the central government to grant explicit formal acknowledgement of carbon rights to landholders and their unrestricted right to enter into commercial transactions at the project level.

The rights to carbon protected in existing forests (REDD) are likely to be tightly linked to land ownership (the trees are considered to be ‘natural fruits’). The extent to which formal declaration of Community Forests is crucial to the implementation of REDD outside protected areas needs to be understood. The NFTP safeguard of passing on Community Forests to Local Government DFS in case of mismanagement should be revisited given the poor track record of LG forest management. The FSSD can spearhead this working with NGOs. The right to carbon for communities participating in central forest reserve management also needs to be made explicit in the agreements developed with them. Civil society organisations e.g. CARE and ACODE could play a key role in defining and advocating for this.

### 2.3.3 Institutional framework for forestry resources management in Uganda

Forestry resources management in Uganda falls under the Ministry of Water and Environment (MWE), which, through the Department of Forestry Sector Support Service (FSSD) is responsible for formulating policies, standards and legislation for environment management. The National Forestry Authority (NFA) and the Uganda Wildlife Authority (UWA) manage central forest reserves and forest under wildlife conservation areas, respectively. Local government District Forestry Services (DFS) are mandated to manage Local Forest Reserves (LFR). The DFS is also mandated to provide advisory services for the management of private forests (Table 20).

Other key actors in forest management include the National Environment Management Authority (NEMA) which coordinates and supervises all environment issues in the country. The Ministry of Finance, Planning and Economic Development (MoFPED) is responsible for setting the pace for national development and allocating the necessary financial resources.

Donors, NGOs and the private sector contribute strongly to forest management especially by implementing those activities constrained by funding or whose management is not suitable for government service institutions. There is an estimated 200 CSOs working in the environment and natural resources sector (MWE, 2009). The challenge is the short-term cycle of their projects and duplication activities due to poor coordination. Most of these CSOs have come together in a somewhat loose alliance called the Uganda Forestry Working Group (Nsita 2010).

Table 23: Summary of institutional mandates in relation to REDD-Plus

Institution	Responsibility
Ministry responsible for Forestry (MWE)	<ul style="list-style-type: none"> <li>➤ Policy development, coordination and supervisions</li> <li>➤ Regulating the forest sector</li> <li>➤ Monitoring and reporting on sector</li> <li>➤ Mobilizing funds for the sector</li> </ul>
NFA	<ul style="list-style-type: none"> <li>➤ Focal Point for REDD-Plus and responsible for formulation of REDD-Plus Strategy for Uganda</li> <li>➤ Management of CFRs</li> <li>➤ Monitoring Forestry Resources</li> <li>➤ Capacity and technology development and transfer</li> <li>➤ Stakeholder/community participation</li> </ul>

	↗ Regulating trade in forest produce
UWA	↗ Management of forested national parks ↗ Monitoring forestry resources within national parks ↗ Capacity and technology development for carbon trade and investments
Local Governments	↗ Management of local forest reserves ↗ Regulate management of community forests, private forests ↗ Monitoring Forestry Resources outside Protected areas ↗ Facilitating stakeholder/community participation in management of protected forestry resources ↗ Regulating trade in forest produce from Local Forest Reserves ↗ Environmental planning + land use planning
Private Sector	↗ Forestry resources utilization ↗ Forestry resources development ↗ Trade in forestry produce
Communities and or land owners	↗ Forestry resources development ↗ Forestry resources management ↗ Land management and land use prioritization ↗ Forest produce harvesting and utilization

### 2.3.4 Forestry research and training

Formal training in forestry occurs in Makerere University (graduate level) and Nyabyeya Forestry College (Diploma level). This is supplemented by informal training by Saw Log Plantation Grant Scheme (SPGS) and staff mentoring.

Forestry research has been generally weak and poorly coordinated. National Forestry Resources Research Institute (NAFORRI) has been poorly funded, inadequately staffed and is weakly linked to universities and training institutions. NAFORRI could play a key role in analyzing the scientific and socio-economic aspects of REDD-Plus in order to advise on the potential for REDD-Plus in Uganda.

Perhaps, the worst challenge in forest management is the inadequate management of information at the central and district levels. Most of the historical trends relevant to the new structures are difficult to trace.

### 2.3.5 Trans-boundary forest management

Forest governance reforms have also sought to address trans-boundary forest management although this has been done at project level. For example, the four-year UNDP/GEF East African Biodiversity Project, focused on Sango Bay swamp forests extending to Tanzania and Mt. Kadam, Moroto, Timu and Morungole forests ecosystems that extend into Kenya. Others include catchment forest management as part of the Lake Mt Elgon Regional Ecosystem Conservation Programme (MERECP), Victoria Management Programme (LVMP), and the International Gorilla Conservation Programme (IGCP) with DR Congo. Currently, in the East African Community Climate Change Policy 2010 the member states propose a number of regional initiatives.

## **2.4 Forest governance in Uganda**

### **2.4.1 Forest governance**

#### **2.4.1.1 Government led governance**

Forest governance deals with how power is exercised, how people are involved in forestry issues, especially those of public concern (World Resources Institute, 2009). Strategies for sustainable forest management have been evolving over time. Between 1938 and 1967, a double tier system (i.e. CG and LGs) of forest management was used. District officials mostly worked independently, provided they adhered to approved annual plans and budgets. Forest management concentrated on timber production and conservation. In 1967-88, the government adopted a republican constitution, which centralized virtually all government decision-making powers, bringing the management of all forest reserves under the Forest Department (a central government arm) (Nsita 2002). The main approach of forest management was “policing” or forest protection through foot patrols focusing on forest reserves >5ha. Smaller forest reserves were cut down for agriculture and settlement. Forest protection through policing became increasingly difficult as illegal activities escalated. The greatest barrier to enforcement of forest laws was lack of cooperation of adjacent local communities. Traditional beliefs for maintaining sacred forests or particular trees had been mostly disregarded in these processes.

The National Environment Action Planning Process in the late ‘80s –early ‘90s sought to increase stakeholder participation in decision-making and aimed at re-instating the two-tier system of management with increased incentives for natural resource management. In 1993, the government decentralised (devolved) management of central forest reserves to Local Governments as a way of increasing people’s participation in decision-making. However, this was without adequate prior capacity building and resulted in heavy forest losses as decisions mainly for forest conversion were made based on local politics and not technical guidance. The worst affected areas were South Busoga and Luwunga forest reserves (Nsita 2002). In 1995, forest reserves were recentralized albeit through subsidiary legislation. By this time, illegal activities (encroachment and illegal timber harvesting) had built up so much that rampant forest destruction continued.

Since 1997, forest sector reforms have developed frameworks for increasing active citizenship and participation (especially of the poor and vulnerable) in decision-making in the management of key resources in the country with the aim of enhancing integrity, transparency and accountability. The 2001 National Forestry Policy, the 2002 National Forest Plan and the 2003 National Forest and Tree Planting Act promote public participation and partnership between governments and private companies in forest management. The NFTP Act also requires the Minister to consult before taking major decisions on forest reserves. The National Environment Management Policy emphasises the participation of the private sector and communities in natural resource management and recommends using incentives including sharing of benefits from conservation

The ongoing review of the 2002 National Forest Plan shows mediocre performance (rated at about 50%) of the sector mainly due to inadequate forest law enforcement and institutional inadequacies (Nsita 2010).

### **2.4.1.2 Co-management and user groups**

Policy provisions for community participation in forest management have been implemented (mostly facilitated by civil society organisations) to a very limited scale although where this has happened, there has been significant improvement in forest status. CFM was piloted in 1998, but so far, only 30 agreements, covering only about 22,000 ha (about 3% of the total area occupied by natural forests and woodlands) (NFA Annual Report 2006/7).

Concerning forest reserves under UWA, Community Resource Management MoUs developed with adjacent communities did not fare any better. Community Resource Management in wildlife protected areas is governed by the 2003 Uganda Wildlife Policy (1999), the 2004 Uganda Community Conservation Policy, the 2000 Uganda Wildlife Authority Community Protected Areas Institutional policy, the 2007-2012 Uganda Wildlife Authority Strategic Plan (UWASP) and the Uganda Wildlife Act (Cap 200). Partnerships that had been attempted in the 1980s and 1990s between the forest department and user groups especially aimed at organising pit-sawyers in order to timber harvesting were not successful either.

This was mainly because of inadequate incentive and benefit-sharing provisions. It is too early for the recently formed agencies (UWA and NFA) to commit them to benefit sharing arrangements before they generate experience to understand the burden of their new responsibilities as against the potential financial flows. For example, UWA hardly covers its operational costs and in 2008, depended on central government to support 30% of its budget. The NFA capacity to manage its own costs of operation is becoming increasingly questionable as mature timber plantations are getting exhausted.

The negotiation of these agreements/MoUs takes too long and they tend to be poorly implemented as only a few community leaders have access to them and can read and understand them. NFA and UWA still retain the greater power and control over forest sections covered under these arrangements e.g., the granting of permits and license for product extraction.

Community participation in forest management is sometimes overwhelming and fatiguing as they have to engage with multiple government institutions. Although CFM agreements are co-signed by district leaders, LGs play no role in their implementation. CFM communities develop byelaws, which should be passed and enforced by the LGs, but no mechanism has been developed to link the two systems.

### **2.4.1.3 Licensing**

Involving community and private sector stakeholders in forest reserve management through licensing has worked successfully to an extent. Licenses or concessions are awarded to members of the public for conducting different forest activities. In case of harvesting forest products from the forest reserves, licenses are awarded after conducting an Exploratory Inventory (EI) and Integrated Stock Survey and Management Inventory (ISSMI) either through open bidding if the quantities are large or via a Pricing Committee if quantities are small. A new system of bidding for concessions and royalties introduced in 2004 under NFA where NFA fells the trees and then holds a public auction for the round wood, however, tends to favour mobile saw millers over pit-sawyers.

Irregularities have been identified in the licensing process. For example, in some cases, there was no competitive bidding, or the bidding process was poorly implemented resulting in choice of not

necessarily the best bidder, under-pricing of the wood and the bidder failing to make full payment to the NFA<sup>21</sup>.

Although licensing private tree growers to establish forest plantations on central forest reserves has created some success in increasing forest cover especially under the Saw log Production Grant Scheme (SPGS), much of the land leased out is not planted. Currently, a Presidential directive has put a ban on this provision and reduced license cycles from 50 to 25 years. Nonetheless private sector involvement in forestry has been quite successful and the growing interest in forest/timber certification is generating experiences that will guide carbon markets.

The provision by NFA to license (for 25 years) 10% of the plantable area within forest reserves to CFM communities has been tried only to a limited extent, but has significant potential since communities own the trees and therefore (presumably) the carbon rights.

On the other hand, the need for licenses in order to harvest timber (FSSD) or charcoal (from the district forest officer) from private forests, has acted as a disincentive for investment in forest land use as opposed to agriculture where harvesting is more or less unregulated.

## 2.4.2 Institutional Reforms

Forest governance deals with how power is exercised, how people are involved in forestry issues, especially those of public concern (World Resources Institute, 2009). Strategies for sustainable forest management have been evolving over time (Table 21). Before 1967, most of the forest reserves were managed through decentralised mechanisms. In 1967, the government adopted a republican constitution, which centralized virtually all government decision-making powers, bringing the management of all forest reserves under the Forest Department (a central government arm) (Nsita 2002).

In 1993, the government decentralised (devolved) management of central forest reserves to Local Governments as a way of increasing people’s participation in decision-making. However, this was without adequate prior capacity building and resulted in heavy forest losses as decisions mainly for forest conversion were made based on local politics and not technical guidance. The worst affected areas were South Busoga and Luwunga forest reserves (Nsita 2002). In 1995, Central Forest Reserves were recentralized through subsidiary legislation.

Table 24: Chronology of Institutional reforms in Forestry management

Era	Institutional reforms
1898	Establishment of Forest Service
1902	Forest Department
1928-1940	Establishment of Forest Reserves
1967	Creation of CFRs
1993	Decentralized Forestry Management
	Change in management of CFRs to NPs
1997	Recentralization
2004	National Forest Authority

<sup>21</sup> Advocates Coalition for Development and Environment (ACODE) Report. ‘Trouble in the Forest’

### 2.4.3 Legal and policy reforms

Since 1997, forest sector reforms have developed frameworks for increasing active citizenship participation (especially of the poor and vulnerable) in decision-making in the management of key resources in the country with the aim of enhancing integrity, transparency and accountability (Table 22). The 2001 National Forestry Policy, the 2002 National Forest Plan and the 2003 National Forest and Tree Planting Act promote public participation and partnership between governments, communities and private companies in forest management. The NFTP Act also requires the Minister to consult before taking major decisions on forest reserves. The National Environment Management Policy emphasises the participation of the private sector and communities in natural resource management and recommends use of incentives including sharing of benefits from conservation.

The ongoing review of the 2002 National Forest Plan shows average performance (rated at about 50%) of the sector mainly due to inadequate forest law enforcement and institutional inadequacies (Nsita 2010).

Table 25: Chronology of Policy and Institutional reforms related to Forestry resources management

Era	Institutional reforms	Policy reforms
1898		Establishment of Forest Service
1901		Forest Policy
1902	Forest Department	
1928-1940		Establishment of Forest Reserves
1964		Forest Act
1967		Creation of CFRs Forest Policy
1991		Change in management of CFRs to NPs (Bwindi, Mgahinga and Rwenzori)
1993		<ul style="list-style-type: none"> <li>➤ Decentralized Forestry Management</li> <li>➤ Change in management of CFRs to NPs (Semlki, Kibale and Mt Elgon)</li> <li>➤ Decentralization Policy</li> </ul>
1995		Constitution of Uganda <ul style="list-style-type: none"> <li>➤ Environment Act</li> <li>➤ Wildlife Policy</li> <li>➤ Environment Policy</li> </ul>
1996		Wildlife Act
1997		<ul style="list-style-type: none"> <li>➤ Recentralization</li> <li>➤ Land Act</li> <li>➤ Collaborative Forestry Guidelines</li> </ul>
2002		Forestry Policy
2004	National Forest Authority	Forest and Tree Planting Act

### 2.4.4 Evolution of management approaches

The following are forestry resources management approached that have evolved in the recent past.

#### i) Co-management and user groups (Collaborative Forest Resources Management)



Policy provisions for community participation in forest management have been implemented (mostly facilitated by civil society organisations) to a very limited scale although where this has happened, there has been significant improvement in forest status. CFM was piloted in 1998 in Mabira and Namatale CFRs, but so far, only 30 agreements, covering only about 22,000 ha (about 3% of the total area occupied by natural forests and woodlands) (NFA Annual Report 2006/7).

## **ii) Community Resources Management**

Concerning forest areas under UWA, Community Resource Management was introduced in 1996 in Mt Elgon, Kibale, Bwindi and Mt Rwenzori Forests in response to the pressures of livelihood dependence on these forests. Formal arrangements for this collaboration are concluded in form of MoUs developed with adjacent communities. Community Resource Management in wildlife protected areas is governed by the 2003 Uganda Wildlife Policy (1999) and Act.

## **iii) Licensing of forest reserves for establishment of Plantation forests**

The Forestry management agencies initiated arrangements for licensing communities and private individuals to plant and own trees in forest reserves in mid 1990s' under the Peri-Urban Plantation Scheme. This initiative was extended to other forest lands in early 2000. The latter has been boosted by the Saw log Production Grant Scheme (SPGS) since 2004.

Although licensing private tree growers to establish forest plantations on central forest reserves has created some success in increasing forest cover especially under the Saw log Production Grant Scheme (SPGS). Currently, a Presidential directive has put a ban on this provision and reduced license cycles from 50 to 25 years. Nonetheless private sector involvement in forestry has been quite successful and the growing interest in forest/timber certification is generating experiences that will guide carbon markets.

The provision by NFA to license (for 25 years) 10% of the plantable area within forest reserves to CFM communities has been tried only to a limited extent, but has significant potential since communities own the trees and therefore (presumably) the carbon rights.

In conclusion, there are mixed successes and failures in legal, policy and institutional frameworks. The key area of interest is that they all provide for stakeholder participation and sustainable forest management. The ban on logging in natural forests has contributed to success in safeguarding some of the forests. The change in protection status of major mountain/catchment forests of Mgahinga, Bwindi, Mt Rwenzori, Semliki, Kibale and Mt Elgon from Forest Reserve Status to national park Status greatly enhanced their legal protection.

Institutional performance in terms of efficiency and effectiveness has had teething problems. Funding and institutional capacity notwithstanding, the centralized and decentralized functions continue to pose a challenge in as far as enforcement, regulation and forest resources development are conserved.

Incentives such as CFM, CRM and Licensing for plantation establishment have succeeded at localities where they are in practice. These initiatives provide good avenues for REDD-Plus implementation in as far as stakeholders participation is concerned and therefore should be scaled up.

## 2.5 Stakeholder mapping

There is a wide spectrum of stakeholders engaged in forestry resources management and utilization in Uganda. They include policy and regulatory level actors as well as forest resource users and dependants. Table 23 presents the checklist of actors/stakeholders in accordance with the drivers of deforestation and forest degradation.

Table 26: Summary of key deforestation and forest degradation drivers and actors

Driver	Actors/Stakeholders	Observation
Charcoal	Private Sector/traders Regulating authorised Community Land Owners Consumers	<ul style="list-style-type: none"> <li>↗ Mostly responding to internal and out of country markets in Sudan, Rwanda and Kenya</li> <li>↗ Difficult to regulate because of tenure of land and tree resources</li> <li>↗ Poor charcoal production technologies that are wasteful</li> <li>↗ Market prices influenced by unaffordable or lack of alternatives to charcoal energy</li> </ul>
Firewood	Private Sector/traders Community Land Owners Consumers	<ul style="list-style-type: none"> <li>↗ Mostly responding to large scale consumers – schools, hospitals, military and prisons installations, urban centres, building industry/brick making, tobacco curing</li> <li>↗ Difficult to regulate because of tenure of land and tree resources</li> <li>↗ Poor utilization technologies that are wasteful</li> <li>↗ Market prices influenced by unaffordable or lack of alternatives to charcoal energy</li> </ul>
Timber	Private Sector/traders Regulating authorised Land Owners Consumers	<ul style="list-style-type: none"> <li>↗ Mostly responding to internal and out of country markets in Sudan, Rwanda and Kenya</li> <li>↗ Difficult to regulate because of tenure of land and tree resources</li> <li>↗ Weak enforcement in forest reserved land</li> <li>↗ Poor timber production technologies that are wasteful</li> <li>↗ Market prices influenced by booming construction industry and general scarcity, especially of hard wood.</li> </ul>
Agriculture	Land Owners Community Private Sector	<ul style="list-style-type: none"> <li>↗ Largely subsistence and practicing bush clearing for expansion of agricultural land</li> <li>↗ Agricultural encroachment into protected areas</li> <li>↗ Competition between trees and other crops for available land</li> </ul>
Livestock	Land Owners Pastoralist Groups	<ul style="list-style-type: none"> <li>↗ Clearing of woodlands and grassland forests for pasture improvement</li> </ul>

This rich diversity of actors and stakeholders provides an opportunity for REDD-Plus implementation. At the same time, it creates responsibility of ensuring that all actors and stakeholders are well coordinated in order for REDD-Plus to succeed. The latter will require development and application of incentives and measures for stakeholder participation and benefit sharing and participation in monitoring REDD-Plus.

## 2.6 Proposed activities and budget for the R-PP period

The following activities are proposed under Table 24. Annex 2(a) presents Terms of Reference for the identified Studies.

<b>Table 27: Summary of Activity Plans and Schedule for carrying out Assessment of Land Use, Forest Policy and Governance Activities and Budget</b>						
Main Activity	Sub-Activity	Lead	Estimated Costs (US\$ "000")			
			2012	2013	2014	Total
Updating inventory data on status of forests (biomass inventory)	Carry out forestry mapping and inventory	NFA	200	200	100	500
Review community benefit sharing arrangements and fund channelling arrangements for REDD	Conduct review of ongoing benefits sharing arrangements	National Focal Point	20	0	0	20
	Design and gazette benefit sharing and fund channelling mechanisms	MWE	0	15	0	15
Review of CRM/CFM approaches to improve effectiveness, efficiency and community empowerment	Carry out review	NFA/UWA	0	25	0	25
	Implement recommendations of review on a pilot basis	NFA/UWA		10	15	25
Review policies & laws relevant to REDD-Plus	Carry out review	MWE	5	0	0	5
	Develop Policy reforms paper	MWE	0	15	0	15
Review likely impacts of human settlement, urbanization and oil exploration/production on REDD-Plus	Carry out review	MWE/NEMA	0	0	25	25
<b>Total</b>			<b>225</b>	<b>265</b>	<b>115</b>	<b>630</b>
Government			<b>\$25</b>	<b>\$65</b>	<b>\$15</b>	<b>\$105</b>
FCPF			US\$	US\$	US\$	US\$
UN-REDD Programme (if applicable)			US\$	US\$	US\$	US\$
Other Development Partner 3 (name)			US\$ 200	US\$ 200	US\$125	US\$525

## 2B. REDD STRATEGY OPTIONS

### REDD Strategy Options

The R-PP should include: an alignment of the proposed REDD strategy with the identified drivers of deforestation and forest degradation, and with existing national and sectoral strategies, and a summary of the emerging REDD strategy to the extent known presently, and of proposed analytic work (and, optionally, ToR) for assessment of the various REDD strategy options. This summary should state: how the country proposes to address deforestation and degradation drivers in the design of its REDD strategy; a plan of how to estimate cost and benefits of the emerging REDD strategy, including benefits in terms of rural livelihoods, biodiversity conservation and other developmental aspects; socioeconomic, political and institutional feasibility of the emerging REDD strategy; consideration of environmental and social issues; major potential synergies or inconsistencies of country sector strategies in the forest, agriculture, transport, or other sectors with the envisioned REDD strategy; and a plan of how to assess the risk of domestic leakage of greenhouse benefits. The assessments included in the R-PP eventually should result in an elaboration of a fuller, more complete and adequately vetted REDD strategy over time.

This component draws on the analysis provided in 2(a) and outlines potential REDD-Plus strategies to address deforestation and degradation based on that analysis. Strategies for promoting sustainable management of forests and enhancing forest carbon stocks in Uganda and for preparing national capacity for REDD-Plus are also included. The REDD-Plus strategy will be developed and finalised during the R-PP implementation period. Potential strategies for inclusion in the REDD-Plus strategies are discussed in Component 2a. The process for developing and finalising the REDD-Plus Strategy is also provided in section 2.8 hereunder.

### 2.7 Potential strategies for addressing the drivers of deforestation and degradation

Potential strategies are linked to direct and indirect drivers of deforestation and degradation and are grouped under the following objectives:

- a) **Objective #1:** To develop and elaborate on actions for addressing the direct drivers and underlying causes of deforestation and forest degradation in Uganda.
- b) **Objective #2:** To develop practices for sustainable forest management and conservation.
- c) **Objective #3:** To define and pilot test processes for stakeholder engagement in implementing Uganda's REDD-Plus Strategy.
- d) **Objective #4:** To facilitate the development of tools and methodologies for assessing and monitoring the contribution of REDD-Plus activities to sustainable forest management in Uganda.
- e) **Objective #5:** To strengthen national and institutional capacities for participation in REDD-Plus. This objective seeks to define and establish national (institutional, policy and legal) and farmer level capacities for REDD-Plus Strategy implementation and for participating in Carbon market.

The potential strategic options are discussed in detail in Component 2a and summarized in the Table 25 below. These options are derived from the assessment of drivers and underlying causes of deforestation and forest degradation in Uganda as well as an assessment of forest governance in Uganda (policies, legislation, institutional frameworks and stakeholder participation, among others).

Table 28: Potential strategic options for inclusion in the REDD-Plus strategy

Driver	Issues	Potential Strategy	Potential Areas of Intervention
Agricultural Encroachment	<ul style="list-style-type: none"> <li>✓ Largely subsistence and practicing bush clearing for expansion of agricultural land</li> <li>✓ Agricultural encroachment into protected areas</li> <li>✓ Competition between trees and other crops for available land</li> </ul>	Strategic Option #1: Strategies for addressing deforestation and forest degradation caused by agricultural encroachment on forested lands.	✓ Strengthening partnerships with Communities as neighbours to protected forest areas
			✓ Clarification of property rights to forests and trees
			✓ Agricultural intensification to minimize size of land under agricultural use
			✓ Increasing land productivity per land unit
			✓ Carry out cost-benefit analysis for maintaining land under forest management in reference to conversion of such land to agricultural use
Charcoal Production	<ul style="list-style-type: none"> <li>✓ Mostly responding to internal and out of country markets in Sudan, Rwanda and Kenya</li> <li>✓ Difficult to regulate because of tenure of land and tree resources</li> <li>✓ Poor charcoal production technologies that are wasteful</li> <li>✓ Market prices influenced by unaffordable or lack of alternatives to charcoal energy</li> </ul>	Strategic Option #2: Addressing unsustainable impact of charcoal production and utilization.	✓ Regulating Charcoal Production and Trade
			✓ Clarification on land and tree tenure rights on privately owned land
			✓ Improving charcoal use efficiency
			✓ Strengthening enforcement and compliance
			✓ Undertake policy reforms in Energy Sector to facilitate growth (through incentives) and development of affordable alternative renewable energy sources that reduce pressure on biomass energy.
Firewood harvesting	<ul style="list-style-type: none"> <li>✓ Mostly responding to large scale consumers – schools, hospitals, military and prisons installations, urban centres, building industry/brick making, tobacco curing, etc</li> <li>✓ Difficult to regulate because of tenure of land and tree resources</li> <li>✓ Utilization technologies that are wasteful</li> <li>✓ Market prices influenced by unaffordable or lack of alternatives to fuel wood energy</li> </ul>	Strategic Option #3: Addressing impact of firewood harvesting and utilization on forestry resources in Uganda	✓ Increasing biomass/trees on farmland
			✓ Promote fuel wood use efficiency
			✓ Promotion of alternative and affordable clean energy sources for large fuel wood consumers
Timber harvesting	<ul style="list-style-type: none"> <li>✓ Mostly responding to internal and out of country markets in Sudan, Rwanda and Kenya and beyond</li> </ul>	Strategic Option #4: Strategies for addressing impacts of unsustainable	<ul style="list-style-type: none"> <li>✓ Forest management planning that would zone and project for timber production to meet demand whilst restocking for</li> </ul>

Driver	Issues	Potential Strategy	Potential Areas of Intervention
	<ul style="list-style-type: none"> <li>✓ Difficult to regulate because of tenure of tree resources on privately owned</li> <li>✓ Weak enforcement of policies and laws in protected areas</li> <li>✓ Poor timber production technologies that are wasteful</li> <li>✓ Market prices influenced by booming construction industry and general scarcity, especially of hard wood</li> </ul>	timber harvesting	<ul style="list-style-type: none"> <li>future needs.</li> <li>✓ Strengthen tracking timber movements and improve on regulating trade in timber</li> <li>✓ Improvement in forest timber harvesting and utilization technologies</li> <li>✓ Increasing timber stocks countrywide to reduce pressure to current stock, especially in natural forests</li> <li>✓ Increase forestry resources competitiveness so as to attract investments in forestry development.</li> </ul>
Livestock Grazing	<ul style="list-style-type: none"> <li>✓ Clearing of woodlands and grassland forests for pasture improvement</li> </ul>	Strategic Option #5: Strategies for addressing impact of livestock development and grazing on forestry resources	<ul style="list-style-type: none"> <li>✓ Study to assess and analyze the impact of livestock grazing on deforestation/forest degradation in the cattle corridor.</li> <li>✓ Developing strategies for managing woodlands to avoid/minimize degradation from livestock use.</li> </ul>
Plight of Forest Dependent People	<ul style="list-style-type: none"> <li>✓ Uncertainty over access and use of forest resources</li> <li>✓ Uncertainty over tenure of trees and carbon in protected areas occupied or recognized to provide for livelihoods to forest dependent people</li> <li>✓ Unconfirmed impacts of deforestation and forest degradation on forest dependent people</li> </ul>	Strategic Option #6: Strategies for securing the plight of forest dependent people during REDD+ -Plus implementation in Uganda.	<ul style="list-style-type: none"> <li>✓ Assess the likely impact of deforestation and forest degradation on forest dependent people in Uganda</li> <li>✓ Assess forest and carbon tenure and right of forest dependent people to carbon.</li> <li>✓ Review forest policies and regulations to provide for access and use of forest by forest dependent people during REDD-Plus implementation.</li> </ul>
	<ul style="list-style-type: none"> <li>✓ Benefits to Forest dependent people</li> </ul>	Strategic Option #7: Strategies for reducing risks of mitigation measures against deforestation and forest degradation on to forest dependent people	<ul style="list-style-type: none"> <li>✓ Integrate forest dependent people benefits within SESA.</li> </ul>
Poorly defined modalities for stakeholder engagement	<ul style="list-style-type: none"> <li>✓ Ensuring effective Stakeholder participation in REDD-Plus and Forestry resources management</li> <li>✓ Cost effective approaches</li> </ul>	Strategic Option #8: Develop and pilot test processes for stakeholder engagement in	<ul style="list-style-type: none"> <li>✓ Assessment of the CFM/CRM initiatives and policy guidelines with the view to strengthen benefit sharing issues, mapping out of potential</li> </ul>

Driver	Issues	Potential Strategy	Potential Areas of Intervention
	<ul style="list-style-type: none"> <li>to community participation in forestry management</li> <li>✓ Cost effective approaches to private sector participation in forestry resources development and utilization and carbon market</li> </ul>	implementing REDD - Plus Strategies	<ul style="list-style-type: none"> <li>CFM/CRM areas and identifying ways of ensuring a cost-effective negotiation process.</li> <li>✓ Assessment of options for widening the private sector engagement e.g., in forest management, aggregating REDD carbon, brokering, or buying the REDD projects.</li> <li>✓ Developing procedures and capacities for ensuring equitable and transparent implementation of REDD-Plus in partnership with CSOs.</li> <li>✓ Developing procedures for socio-economic monitoring of REDD activities in partnership with universities and UBOS.</li> <li>✓ Generating lessons and sharing experiences from NGO Carbon initiatives and projects in order to identify success stories to inform REDD-Plus.</li> </ul>
Tools and methodologies for assessing and monitoring REDD-Plus contribution towards forestry management in Uganda	<ul style="list-style-type: none"> <li>✓ Inadequate Capacity to assess REDD-Plus contribution to Sustainable forest management in Uganda</li> <li>✓ Weak coordination among various actors in forestry management</li> </ul>	Strategic Option #9: Design and apply MRV for Uganda	<ul style="list-style-type: none"> <li>✓ Design MRV System</li> <li>✓ Undertake capacity needs assessment for developing and applying the MRV and design and implement capacity building strategy/programme</li> <li>✓ Generate and disseminate knowledge about REDD-Plus</li> </ul>
	Compatibility of REDD-Plus MRV and existing M&E Systems	Strategic Option #10: Integrate MRV into existing M&E systems and practices	<ul style="list-style-type: none"> <li>✓ Developing and testing-pilot community based REDD-Plus monitoring tools and capacities with relevant institutions and selected communities.</li> <li>✓ Developing and testing-pilot procedures for monitoring of co-benefits of REDD-Plus implementation.</li> <li>✓ Integrate MRV into M&amp;E systems as appropriate</li> </ul>

Driver	Issues	Potential Strategy	Potential Areas of Intervention
	Understating the concept of Carbon leakages and how to prevent it in Uganda context	Strategic Option #11: Develop and apply measures for minimizing Carbon leakages	<ul style="list-style-type: none"> <li>✓ Assess the risks and likely occurrence of leakages</li> <li>✓ Design and pilot test measures for addressing leakages</li> </ul>
	Need for establishing a Carbon registry	Strategic Option #12: Design and institutionalize a carbon Registry for Uganda	<ul style="list-style-type: none"> <li>✓ Develop tools for measuring Carbon</li> <li>✓ Design carbon registry</li> <li>✓ Establish carbon registry</li> </ul>
Policy, legal, institutional framework	<ul style="list-style-type: none"> <li>✓ Inadequacies provisions for stakeholder participation, tenure and ownership of carbon and carbon trade</li> <li>✓ Institutional capacities for implementing REDD-Plus</li> <li>✓ Institutional capacities for enforcing forestry policies and legislation</li> </ul>	Strategic Option #13: Strengthen Legal, Policy and Institutional frameworks for REDD-Plus and regulating Carbon market in Uganda in place.	<ul style="list-style-type: none"> <li>✓ Strengthen Law enforcement capacities and measures</li> <li>✓ Undertake reviews to identify reforms for strengthening policy, legal and institutional framework for REDD-Plus implementation</li> </ul>
		Strategic Option #14: Build capacity for REDD-Plus Strategy implementation	<ul style="list-style-type: none"> <li>✓ Carry out Capacity needs assessments of lead agencies and design Capacity building programme</li> <li>✓ Implement capacity building for REDD-Plus.</li> </ul>

## 2.8 Process for finalizing REDD-Plus Strategy options during 2011-2014.

### 2.8.1 Finalizing the REDD-Plus Strategies

The process of developing the REDD Plus Strategy will be led by a Task force under the direction of the REDD Focal Point as described in Component 1(a) and apply the Consultations and Participation Strategies defined under Section 1.15.1

Specifically, the process of finalizing the REDD-Plus Options for Uganda will involve a) establishing an institutional framework (Task force) for finalizing the Strategy Option; b) carrying out an assessment of the potential strategies outlined in Section 2.7 above; c) Generating additional information as necessary to refine and prioritize strategies that are most likely to be successful and most cost effective; d)undertaking risk assessment and developing mitigation measures; e) selection of strategies and sites for pilot testing as necessary during the R-PP period; f) consulting stakeholders on strategic choices; g) testing and evaluating results; h) evaluating social and environmental impacts of proposed strategies; and i) finalization of the REDD-Plus Strategies.

The proposed steps to be undertaken during the R-PP implementation phase leading to finalization of the REDD-Plus Strategy are described below.



1. Establish and assign the task of finalizing the REDD-Plus Options and over-all REDD-Plus Strategy to a relevant Task force .This is the action by the National Focal Point with approval from REDD-Plus Steering Committee.
  - a. Develop the terms of reference for the task force (Annex 2(b)).
  - b. Designate Task force membership and lead person.
2. Initiate work of the Task force
  - a. Hold initial task force meetings; develop the work plan for the task force for the R-PP period leading to completion of the task.
  - b. Assess potential strategic options proposed in the R-PP and assess needs for additional information required to inform the design of the strategy, including proposals for early implementation of pilot or demonstration activities.
  - c. Designate experts and collect additional information and perform the analyses required.
  - d. Select strategies and activities for piloting and testing.
3. Hold first consultative workshop to ensure stakeholder involvement and create the necessary linkages between the Task force, National REDD-Plus Steering Committee and key stakeholder groups.
4. Begin early implementation of pilot strategies.
  - a. Finalise plans for early implementation activities and carry SESA on the proposed activities.
  - b. Approval of National REDD-Plus Steering Committee for implementation of proposed implementation of the activities proposed.
  - c. Establish the mechanisms on the ground for coordination and management of the proposed activities to ensure appropriate accounting, oversight, and transparency in the implementation of the activities.
  - d. Implement activities.
5. Evaluate and monitor outcomes of early implementation activities.
  - a. Design a TOR and contract an external consultant to the Task Force to evaluate the outcomes and lessons learned.
  - b. Generation of progress reports from implementation activities, and in due course final reports assessing the impacts.
6. Develop and finalise the National REDD-Plus Strategy, based on those strategies that are deemed suitable for inclusion in national strategy.
  - a. Carry out socio-economic analysis to determine cost, effectiveness and relevance of the proposed REDD-Plus strategies on a national scale.
  - b. Risk Assessment and Management process and develop mitigation measures as appropriate.
  - c. Conduct an evaluation and consultation workshops, incorporate feedback.
  - d. Review the policy, legal and institutional framework for suitability for implementing the proposed strategies.
  - e. Finalise the Draft Strategy for review by the National Steering Committee and stakeholder groups.

- f. Process endorsement of the REDD-Plus Strategy by REDD-Plus Steering Committee.
7. Publicize the REDD- Plus Strategy through a series of awareness activities to inform the public and stakeholders of the approved REDD-Plus Strategy for Uganda.

## 2.8.2 Risk Assessment and management

REDD-Plus Strategy options may have inherent risks that need to be understood at onset and their mitigation measures described for implementation alongside the implementation of REDD-Strategy for Uganda. The following are some of the likely risks:

- a) Meeting stakeholder’s expectations of REDD-Plus.
- b) Domestic political risks for REDD-Plus being a new approach towards addressing deforestation and forest degradation.
- c) Environmental, financial, operational, organizational, regulatory and strategic risks potentially associated with some of strategy activities.
- d) Domestic leakage caused by the REDD-Plus Strategy options through shifting deforestation and forest degradation, suppressing “livelihoods based causes of deforestation and forest degradation” instead of offering solutions.

There is need to undertake a comprehensive Risk assessment of selected Strategies before they are approved for implementation. In this regards, the R-PP proposes to develop and Risk Assessment and Management Framework to be applied alongside the R-PP Implementation (Annex 2b (ii)). This Framework will ensure an inclusive participation by all stakeholders at all levels across the country. It will define accountability structures as well as coordination and supervision, and, monitoring and reporting systems depicting stakeholder’s participation. A final description of this undertaking will be approved by an appropriate authority so as to accord it the necessary recognition.

Table 29: Summary Activity Plans and Schedule for Developing REDD-Plus Strategies and Budget

Main Activity	Sub-Activity	Estimated Cost (US\$'000")				
		Lead	2012	2013	2014	Total
Assign the task of developing the REDD-Plus Strategy to the relevant task forces	Develop the terms of reference for the task force	REDD Focal Point	2	-	-	2
	Designate task force membership and lead person	REDD Steering	0	-	-	-
Initiate work of the task force	Hold initial task force meetings, develop the work plan for the task force for the R-PP period leading to completion of the task	REDD Focal Point	6	-	-	6
	Assess potential strategic options proposed in the R-PP and assess needs for additional information required to inform the design of the strategy, including proposals for early implementation of pilot or	REDD Focal Point	5	-	-	5

	demonstration activities					
	Designate experts and collect additional information and perform the analyses required	REDD Steering	50	-	-	50
	Select strategies and activities for piloting and testing.	REDD Steering	8	-	-	8
Hold consultative workshops to ensure stakeholder involvement	Hold consultative workshops to ensure stakeholder involvement	REDD Focal Point	30	30	30	90
Begin early implementation of pilot strategies	Finalise plans for early implementation activities and carry SESA on the proposed activities	REDD Focal Point	0	-	30	30
	Approval by National REDD+ Steering Committee for implementation of the activities proposed	REDD Steering	0	5	5	10
	Establish the mechanisms on the ground for coordination and management of the proposed activities to ensure appropriate accounting, oversight, and transparency in the implementation of the activities	REDD Focal Point	35	40	50	125
	Implement activities in the Strategy (to be cross-linked with other component budgets but may include: addressing drivers, assuring co-benefits, setting appropriate SMF standards, law enforcement, institutional support, and integration in other sectoral programs)	Implementing Agencies	210	250	250	710
Evaluate and monitor outcomes of early implementation activities	a. Design a TOR and contract an external consultant to the Task Force to evaluate the outcomes and lessons learned	REDD Focal Point	0	-	40	40
	b. Generation of progress reports from implementation activities, and in due course final reports assessing the impacts (cross-linked with the Focal Point costs)	REDD Focal Point	0	-	-	-

Develop and finalise the National REDD-Plus Strategy	a. Carry out economic analysis to determine cost effectiveness of the proposed REDD-Plus strategies on a national scale	REDD Focal Point	20	-	20	40
	b. Carry out evaluation and consultation workshops, incorporate feedback	REDD Focal Point	20	30	40	90
	c. Review the institutional structures for suitability for implementing the proposed strategies	REDD Focal Point	5	-	-	5
	d. Finalise the Draft Strategy for review by the National Steering Committee and stakeholder groups (cross-linked with the Focal Point costs)	REDD Focal Point	0	-	-	-
	e. Endorsement of the Strategy by REDD-Plus Steering Committee (cross-linked with other REDD Steering Committee Costs)	REDD Steering committee	0	-	-	-
Publicise the approved strategy	Publicity and awareness activities to inform the public and stakeholders of the approved REDD+ Strategy for Uganda	REDD Focal Point	0	-	-	-
Assign the task of developing the Risk Assessment and management Framework	Finalize the terms of reference for the task force	REDD Focal Point	2	-	-	2
	Designate Task force membership and lead person	REDD Steering Committee	0	-	-	-
Undertake the assessment and develop mitigation measures and implementation requirements	Assessment of Risks and define mitigation measures	Taskforce	20	20	50	90
	Define Implementation requirements (including integration into ESMF)	Taskforce	0	-	15	15
<b>Total</b>			<b>413</b>	<b>375</b>	<b>530</b>	<b>1,318</b>
Domestic Government		US\$	0	0	0	0
FCPF		US\$	US\$ 161	US\$ 205	US\$ 185	US\$ 461
UN-REDD Programme (if applicable)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 1 (name)		US\$	US\$ 250	US\$ 250	US\$ 290	US\$ 790
Other Development Partner 2 (name)		US\$	US\$ 22	US\$ 20	US\$ 65	US\$ 107

## 2C. REDD IMPLEMENTATION FRAMEWORK

### REDD implementation framework

Describes activities (and optionally provides ToR in an annex) and a work plan to further elaborate institutional arrangements and issues relevant to REDD-plus in the country setting. Identifies key issues involved in REDD-plus implementation, and explores potential arrangements to address them; offers a work plan that seems likely to allow their full evaluation and adequate incorporation into the eventual Readiness Package. Key issues are likely to include: assessing land ownership and carbon rights for potential REDD-plus strategy activities and lands; addressing key governance concerns related to REDD-plus; and institutional arrangements needed to engage in and track REDD-plus activities and transactions.

The general objective of this component is to develop the institutional framework that will implement and coordinate the REDD-Plus Strategy and ensure multi-stakeholder participation during the implementation phase. The design of the REDD - Plus implementation framework builds on descriptions under component 2(b) which will implement the R-PP during 2012-2014. It will consider the following aspects among others:

### 2.9 Implementation Framework during R-PP implementation

#### 2.9.1 Implementation Strategy

The institutional and policy framework for implementing and coordinating the R-PP is described in section 1.6. The R-PP shall be implemented as a national framework for guiding the development, assessment and prioritizing various REDD-Plus Strategy options that will address drivers of deforestation and forest degradation as outlined in Component 2(a) from which all implementing institutions shall derive actions corresponding to their assigned tasks. The overall implementation responsibility shall be coordinated by the MWE as a convenor and facilitator for the R-PP process for Uganda during this period.

In order to ensure cost-effective implementation of R-PP, the following strategies shall be deployed:

- a) **Institutional strengthening:** A key element of R-PP implementation approach will be to strengthen institutional capacities, and build mechanisms for collaboration between and among Implementing institutions and REDD-Plus Partners including NGOs and private sector. The R-PP budget shall contribute to institutional strengthening through imparting technical skills and the development of appropriate REDD-Plus tools and methodologies. Expertise within REDD-Plus Partners institutions shall be used as appropriate and complemented by externally sources expertise.
- b) **Integration of REDD-Plus Strategy into national development and sectoral plans and programmes:** R-PP implementation will seek to integrate REDD-Plus Strategies into Water and Environment Sector Investment Plan and related Sectoral Plans such as Agriculture and Land.
- c) **Collaboration and participation:** R-PP implementation will seek participation of the stakeholder institutions, both government and non-government, at field and national levels. This collaboration targets to capture synergies, mandates and capacities increased impact. This

aspect will be enhanced through development of tools and procedures for collaboration and or joint action.

- d) **Monitoring and evaluation:** R-PP implementation will be monitored to measure progress and address shortcoming as they arise. One of the principles of this M&E is action learning and integration of lessons learnt into subsequent work plans and implementation approaches.
- e) **Ensuring REDD-Plus compliant investments:** all R-PP activities shall be subjected to REDD-Plus Guidelines and Standards as appropriate.
- f) **Integrating Cross cutting issues:** the following cross-cutting issues will be integrated into R-PP implementation at policy and activity levels: Gender, HIV/AIDs, Culture and Poverty. Integration will be achieved at annual work planning levels. Measurements for the progress on these issues will be integrated into annual M&E indicators.

### **2.9.2 Capacity needs for R-PP implementation during 2012-2014**

R-PP implementation requires institutional and individual technical capacities in various areas and sufficient operational funds. Technical capacities will be required in developing tools and methodologies for REDD-Plus, information management and analysis, participatory planning and engagement processes, developing Carbon market, setting up demonstration projects, among others. Civil education and awareness and outreach programs are necessary to get REDD-Plus understood.

Research and information management capacity will also need to be strengthened to enable cost-effective planning. The country needs to define (and demarcate) key focus areas for REDD-Plus where the potential for REDD-Plus is feasible financially, socially and politically. Information is especially needed on relevant activities and their effectiveness in achieving emission reduction from deforestation and forest degradation. Additional capacity needs areas encompass management of relations with UNFCCC, REDD-Plus processes and partnerships and technical bodies.

As described in Component 1(a) Capacity Building programme based on a Capacity Needs Assessment will be designed and implemented during 2012-2014 to address critical capacity gaps and needs.

### **2.9.3 Funding arrangements**

The R-PP implementation shall be funded from three major sources.

- a) Funding from Implementing institutions through operational budgets provided by government or own generated funds for institutional type activities e.g., FSSD, NFA, MWE and Districts.
- b) Donor funding e.g., FCPF
- c) Private sector for investments suitable to development and managed under private sector (including NGO) arrangements).

The Ministry of Water and Environment shall receive, manage and account for externally funded activities of the R-PP implementation budget. Systems for regular reporting, communication and participatory planning shall be developed and applied so as to ensure transparency in funds allocation and utilization.

#### 2.9.4 Accountability measures

R-PP implementation will maintain transparency in decision-making processes at work planning, budgeting, reporting and monitoring, ensuring that stakeholders get involved in decision making processes as appropriate and are kept informed of progress and future plans. The REDD-Plus Steering Committee shall serve a crucial purpose in this regards. This approach is fundamental to ensuring accountability, developing, maintaining and improving rapport between the institutions involved in R-PP implementation.

#### 2.9.5 Risks and assumptions

There are likely risks that could render the R-PP implementation difficult or unattainable. The risks in question are those events with possibility to occur and affect the achievement of the R-PP objectives and outputs, either negatively or positively. Therefore, an assessment of these risks will be carried out, involving identification of the likely effect and probability or likelihood of these risks occurring.

The following risks are foreseen:

- a) **Inadequate institutional capacity:** This is likely to affect aspects of fulfilling institutional mandates and obligations such as adherence to quality and standards expected by REDD-Plus. This risk could be addressed through the institutional capacity strengthening and development and application of standard tools and methodologies for REDD-Plus.
- b) **Political support:** the current political support may be guaranteed over the long term. However, national priorities may require flexibility to accommodate future changes in policy regarding land and forestry resources development and management. It will be strategic to work towards positioning the R-PP as an effective tool for defining future sustainable forest management on aspects directly contributing towards reducing emissions from deforestation and forest degradation.

The R-PP implementation also takes into account the following assumptions:

- a) Identified drivers and effects of deforestation and forest degradation are credible and worthy foundations for future REDD-Plus Strategy for Uganda.
- b) There is sufficient legal, policy and institutional framework to permit and facilitate the R-PP Implementation.
- c) There will be resources (financial, technical and political leverage) to facilitate the implementation of R-PP.
- d) The R-PP will be recognized as a tool and process for defining future investments into addressing deforestation and forest degradation in Uganda.

The assessment and management of the above mentioned risks will generate lessons that will feed into the broader Risk Assessment and Management Framework proposed to be developed under Section 2.8.2.

#### 2.10 Implementation Framework for Uganda's REDD-Plus Strategy

The R-PP does not define the institutional and policy framework for implementing Uganda's REDD-Plus Strategy. The primary reason for not finalizing the implementation framework is the need to

tailor the implementation framework to the approved REDD-Plus Strategies so that most suitable arrangements can be defined at that point. Therefore, it is envisaged that the Uganda REDD-Plus Implementation Framework will be finalized and approved alongside the REDD-Strategy itself.

The process of defining Uganda’s National REDD-Plus implementation framework will be spearheaded by the REDD-Plus Steering Committee. The process will be consultative in nature and involve stakeholders with relevant mandates on the strategies that will be developed. It will define among others, institutional mandates, coordination and monitoring systems, reporting and accountability, financing mechanisms and funds channelling, Conflicts resolution and grievances management procedures among others issues (Annex 2(c): TORs for developing Implementation Framework)

The following steps will be applied:

- a) Form REDD+ Implementation Framework Task Force: the taskforce will be formed by the R-PP Steering Committee and assigned work.
- b) Carry out a Situational analysis of policy legal and institutional set up in reference to REDD-Strategies.
- c) Carry out Consultation with Stakeholders on suitable institutional set up. Consultations shall be guided by the Consultations and Participation Strategy.
- d) Conduct an Assessment of the options for provision of incentives for REDD-Plus action including the delivery mechanism e.g., financial management and accounting system for Carbon funding).
- e) Design and publish the Implementation framework and budget. The Implementation framework shall also describe a Monitoring and Evaluation system and accountability measures

Details of the issues that the Task force will address are described in Annex 2c. (TORs for developing Implementation Framework)

## 2.11 Implementation Schedule and budget

Main Activity	Sub-Activity	Estimated Cost (US\$'000")				
		Lead	2012	2013	2014	Total
Develop REDD Implementation Framework	Situational analysis – policy legal and institutional set up	REDD Focal Point	5			5
	Consultation scoping and analysis of changes needed	REDD Focal Point	0	10	-	10
	Assessment of options for fund management	REDD Focal Point	0	30	-	30



Consolidation and writing of the strategic and detailed vision	REDD Focal Point	0	-	5	5
Writing of draft texts of reform	REDD Focal Point	0	-	5	5
Study on required management capacity and skills	REDD Focal Point	25	25	-	50
Supporting the first implementation phase of the programme	REDD Focal Point	0	-	100	100
Training and lobbying	REDD Focal Point	0	30	30	60
Consultations and completion of legal texts	REDD Focal Point		30	30	60
Institutional administrative costs	REDD Focal Point	20	20	20	60
Monitoring of the implementation	REDD Focal Point	0	-	30	30
<b>Total</b>		<b>50</b>	<b>145</b>	<b>220</b>	<b>415</b>
Domestic Government	US\$	0	0	US\$30	US\$30
FCPF	US\$	US\$ 50	US\$ 145	US\$ 90	US\$ 385
UN-REDD Programme (if applicable)	US\$	US\$	US\$	US\$	US\$
Other Development Partner 1 (name)	US\$	US\$	US\$	US\$	US\$

## 2 D. SOCIAL AND ENVIRONMENTAL IMPACTS

### Assessment of social and environmental impacts

The proposal includes a program of work for due diligence for strategic environmental and social impact assessment in compliance with the World Bank's or UN-REDD Programme's safeguard policies, including methods to evaluate how to address those impacts via studies, consultations, and specific mitigation measures aimed at preventing or minimizing adverse effects. For countries receiving funding via the World Bank, a simple work plan is presented for how the SESA process will be followed, and for preparation of the ESMF.

SESA is a tool that seeks to integrate social and environmental considerations into the policy-making process, leading to sustainable policies and programs. The aim of SESA is to assess the likely positive and negative impacts of the REDD-Plus strategy options and implementation frameworks that have been identified in Components 2b and 2c or that will be identified in the course of preparation work. Social and Environmental assessments are aimed at minimizing or eliminating negative impacts or duly compensating negative consequences if these are inevitable, while elaborating on means of creating benefits for people and the environment.

The process of identifying negative impacts and suggesting mitigation measures will be integrated in the course of preparation of other components of the R-PP, particularly components 2d and 2c, as a means of ensuring that the World Bank Safeguards are incorporated from the onset rather than later. World Bank Safeguard Policies are designed to avoid, limit and/or mitigate harm to people and the environment, and strive to achieve benefits instead. An Environmental and Social Management Framework (ESMF) will be prepared to guide the incorporation of social and environmental safeguards in the course of preparing the R-PP.

### 2.12 The Social Environmental Impact Assessment process

#### 2.12.1 Measures for coping with World Bank Safeguards policies

In the Ugandan context, SESA would aim at ensuring that the REDD-Plus strategy options comply with the following World Bank safeguard policies:

- a) **Environmental Assessment (OP 4.01)** takes into account the natural environment (air, water and land); human health and safety; social aspects (involuntary resettlement, indigenous peoples and physical cultural resources) and trans-boundary and global environmental aspects. Environmental assessment (EA) considers natural and social aspects in an integrated way. EA aims at preventing, minimizing, mitigating or compensating for adverse environmental impacts. Whenever feasible, preventive measures are preferred over mitigation or compensatory measures.
- b) **Natural Habitats (OP 4.04)**, this policy takes cognizance of the fact that conservation of natural habitats just like other measures that protect and enhance the environment, is important for long-term sustainable development. The proposed REDD-Plus strategies are largely in compliance with this policy given that they seek to protect or promote the sustainable use of natural forests.

- c) **Forests (OP 4.36)** this policy observes that the management, conservation and sustainable development of forest ecosystems and their associated resources are essential for lasting poverty reduction and sustainable development, whether located in countries with abundant forests or in those with depleted or naturally limited forest resources. The objective of this policy is to assist borrowers to harness the potential of forests to reduce poverty in a sustainable manner, integrate forests effectively into sustainable economic development, and protect the vital local and environmental services and values of forests. Where forest restoration and plantation development are necessary to meet these objectives, the bank assists borrowers with forest restoration activities that maintain or enhance biodiversity and ecosystem functionality. The Bank also assists borrowers with the establishment and sustainable management of environmentally appropriate, socially beneficial, and economically viable forest plantations to help meet growing demands for forest goods and services.
- d) **Involuntary Resettlement (OP 4.12)** this particular policy observes that involuntary resettlement may cause severe long-term hardship, impoverishment, and environmental damage unless appropriate measures are carefully planned and carried out. Taking into account that for REDD-Plus to succeed there would be a need to reverse the current level of encroachment on Central Forest Reserves and this could involve evicting people, this policy is applicable to Uganda's situation.
- e) **Indigenous Peoples (OP 4.10)** this policy is aimed at contributing to World Bank's mission of poverty reduction and sustainable development by ensuring that the development process fully respects the dignity, human rights, economies, and cultures of Indigenous Peoples. This policy calls for free, prior and informed consultation that should result in broad community support to the project by the affected indigenous peoples. This policy also emphasizes that World Bank financed projects be designed in such a way as to ensure that the Indigenous Peoples receive social and economic benefits that are culturally appropriate and gender and inter-generationally inclusive.

The concept of "indigenous people" is not relevant in Uganda's context largely because of absence of foreign settler communities on indigenous peoples' land. However, the safeguards under this policy could be applied to the poor, marginalized and vulnerable communities that directly depend on forest resources for their livelihood.

- f) **Pest Management (OP 4.09)** - The focus of this policy as used in the context of this R-PP is on agricultural pest management. In Bank-financed agriculture operations, pest populations are normally controlled through IPM approaches, such as biological control, cultural practices, and the development and use of crop varieties that are resistant or tolerant to the pest. The Bank may finance the purchase of pesticides when their use is justified under an IPM approach.

The Environment and Social Management Framework is a useful tool that will be used to guide the process of incorporating the safeguards for identified negative impacts in the course of R-PP formulation. The ESMF is the instrument that provides the necessary guidance to identify salient environmental and social issues early on, prepare, as needed, remedies and plans to address these issues, and monitor implementation. Terms of reference and an action plan for preparation of the ESMF have hence been prepared in the subsequent sections.

### 2.12.2 Procedure for considering the WB safeguard standards

In the process of carrying out the stakeholder interviews in the different ecological zones as suggested in the ToRs possible impacts associated with proposed REDD Strategy Options will be

generated. Given the sensitivity and diversity of potential impacts that are likely to result from implementation of the REDD strategy options, they will be categorized in the three different categories “A”, “B” and “C” in accordance with World Bank Environmental Operation Procedures and relevant updates (Box 1). In general, Category A projects are subjected to a full EIA, while category B projects require limited EIA and category C projects require no EIA. The main focus of the ESMF will be on the Strategy Options that were categorized as “A” and “B”. Appropriate mitigation measures for impacts associated with strategy options categorized as “A” or “B” will then be suggested aimed at ensuring that the corresponding WB standards are met. In cases where the anticipated impacts of certain strategy options are projected to be adverse or severe, adjustments could be suggested to the strategy options themselves.

## 2.13 SESA related provisions of Uganda’s Policies and Laws relevant to REDD

### a) Uganda’s Forest Sector Guiding Principles as derived from the Forestry Policy (2001)

The following general principles guided the formulation of Uganda’s Forestry Policy (2001), building on the government’s national development priorities of poverty eradication and good governance:

- i. **National Objectives:** the Forestry Policy is consistent with the general principles guiding sustainable development found in the Constitution and Vision 2025.
- ii. **Conservation and sustainable development:** Uganda’s forests should be managed to meet the needs of the current generation without compromising the rights of future generations.
- iii. **Livelihoods and poverty:** the improvement of people’s livelihoods should be a major goal in all the strategies and actions for the development of the forest sector, so as to contribute to poverty eradication.
- iv. **Biodiversity and environmental services:** the forest sector’s development should safeguard the nation’s forest biodiversity and environmental services through effective conservation strategies.
- v. **Partnerships in governance:** new institutional relationships should enhance efficiency, transparency, accountability and professionalism, and build confidence in all forest stakeholders.
- vi. **Gender and equity:** to ensure the active participation of all people and affirmative action of all women, young people, the elderly, vulnerable or disadvantaged groups in the sector’s development.
- vii. **Cultural and traditional institutions:** forest sector development should take into consideration cultural and traditional attributes and institutions.
- viii. **International Obligations:** legislation should be developed to support the implementation of current and future international commitments that affect the forest sector.
- ix. **Forestry valuation:** environmental and social values should be used in cost/benefit valuations when assessing strategies to implement the Forestry Policy.

## b) Sections of Laws relevant to SESA

Although Uganda has not yet developed guidelines for Strategic Environmental Assessments, some aspects from existing legislation are applicable to the planned SESA for REDD+. Section 38 of The National Forestry and Tree Planting Act, 2003 requires any person intending to undertake a project or activity, which may, or is likely to have a significant impact on a forest to undertake an environmental impact assessment (EIA). The EIA is itself done in accordance with provisions of the National Environment Act (NEA), Cap 153 (1995); Schedule 3 of the NEA states projects that are subject to detailed EIA including under Section 7 (c), reforestation and afforestation projects, and, under Schedule 8 (a) large-scale agriculture 8(b) use of new pesticides 8(c) introduction of new crops and animals and 8(d), use of fertilizers. Section 13 of the NEA requires an EIA for Natural Conservation areas including under 13 (c) formulation or modification of forest management policies, 13 (f) commercial exploitation of natural fauna and flora and 13 (g) introductions of alien species of fauna and flora into ecosystems. Section 34 (1) of the Environmental Impact Assessment Regulations, 1998, states that “an EIA of a policy under these regulations does not exclude the need to assess the environmental impact of specific projects proposed in accordance with the policy.

### Box 1: Projects that fall under Category A, Category B and Category C

#### Box 1a: Category A projects

The projects or components included in this list are likely to have adverse impacts that normally warrant classification in Category A.

- Aquaculture and mariculture (large-scale)
- Dams and reservoirs
- Forestry production projects
- Hazardous waste management and disposal
- Industrial plants (large-scale) and industrial estates, including major expansion, rehabilitation, or modification
- Irrigation, drainage, and flood control (large-scale)
- Land clearance and leveling
- Manufacture, transportation, and use of pesticides or other hazardous and/or toxic materials
- Mineral development (including oil and gas)
- New construction or major upgrading of highways or rural roads
- Port and harbor development
- Reclamation and new land development
- Resettlement
- River basin development
- Thermal power and hydropower development or expansion
- Water supply and wastewater collection,

#### Box 1b: Category B projects

The following projects and components may have environmental impacts for which more limited EIA is appropriate.

- Agro-industries (small-scale)
- Electrical transmission
- Energy efficiency and energy conservation
- Irrigation and drainage (small-scale)
- Protected areas and biodiversity conservation
- Rehabilitation or maintenance of highways or roads
- Rehabilitation or modification of existing industrial facilities (small-scale)
- Renewable energy (other than hydroelectric dams)
- Rural electrification
- Rural water supply and sanitation
- Tourism
- Watershed projects (management or rehabilitation)

#### Box 1c: Category C projects

These projects are likely to have negligible or no environmental impacts. EA is normally not required.

- Education
- Family planning
- Health
- Institution development
- Most human resources projects
- Nutrition

## **2.14 Framework for integrating social and environmental considerations into REDD – Plus strategy and its implementation**

The integration of the Social and Environmental considerations shall be handled using the Environment and Social Management Framework tool (ESMF). This tool will be used to guide the process of incorporating the safeguards for identified negative impacts. The tool provides the guidance to identify salient environmental and social issues early on, prepare, as needed, remedies and plans to address these issues, and monitor implementation. The following Terms of Reference will be used to prepare the ESMF for REDD Readiness for Uganda (Annex 2(d): TORs for the development of ESMF.

## 2.15 Action Plan for developing the Environment and Social Management Framework (ESMF)

An action plan has been developed to guide the process of formulating the ESMF and is summarized in the Table 28.

Table 31: Action plan to develop the Environmental and Social Management Framework

Gap/Challenge Analysis	Action	Responsible	Method	Outcomes	M & E Indicators	Timing
Lack of institutional mechanism for coordinating the development, implementation and monitoring of the ESMF	1. Develop a coordination mechanism to oversee the development and implementation of the ESMF	<ul style="list-style-type: none"> <li>➤ REDD plus Steering Committee</li> <li>➤ REDD Task Force</li> </ul>	<ul style="list-style-type: none"> <li>➤ The REDD plus Steering Committee will identify Relevant REDD institutions; then institutions are asked to nominate focal persons to form the Technical Implementation Committee that will coordinate the development and implementation of the ESMF</li> </ul>	<ul style="list-style-type: none"> <li>➤ Coordination Mechanism in place</li> </ul>	<ul style="list-style-type: none"> <li>➤ A team of dedicated focal persons working together towards the development and implementation of the ESMF</li> </ul>	First quarter of 2011
Preparation of the ESMF requires a wide range of professionals with experiences drawn from the biophysical and socio-economic aspects of the	2. Identify a team of multi-disciplinary professionals (preferably registered environmental practitioners) with experience in Social and Environmental assessment for the development of the	<ul style="list-style-type: none"> <li>➤ NFA/FSSD</li> <li>➤ NEMA</li> <li>➤ Focal Point/REDD Desk</li> </ul>	<ul style="list-style-type: none"> <li>➤ Terms of reference for the required professionals are drafted by the REDD Focal Institution assisted by the Technical Implementation Committee</li> <li>➤ Advertisements are made in the mass media (by responsible ministry) seeking for potential candidates to prepare the ESMF, followed by short</li> </ul>	<ul style="list-style-type: none"> <li>➤ A team of competent professionals required for preparation of the ESMF identified. These should preferably include: <ul style="list-style-type: none"> <li>• A Forest Biodiversity Specialist</li> <li>• A Socio-</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>➤ Competent Professionals selected for preparation of the ESMF</li> </ul>	Second quarter of 2011

Gap/Challenge Analysis	Action	Responsible	Method	Outcomes	M & E Indicators	Timing
environment	ESMF		listing, interviewing and selection	<ul style="list-style-type: none"> <li>• economist</li> <li>• A Legal Expert</li> <li>• An Environmental Systems Analyst</li> </ul>		
Lack of local capacity to conduct the SESA given that Strategic Environmental Assessment (SEA) is not yet fully developed in Uganda	3. Capacity building conducted on SEA in general and REDD+ SESA principles and practice in particular	<ul style="list-style-type: none"> <li>↗ Consultants hired by the focal institution</li> <li>↗ The training should itself be targeted at the SESA team, and Technical Implementation Committee</li> </ul>	↗ Tailored short courses coupled with field work and continuous on-the-job training	<ul style="list-style-type: none"> <li>↗ A fully trained team that is capable of undertaking a SESA</li> <li>↗ Set of training materials for a SEA and SESA</li> <li>↗ Action plans for piloting, developing, implementing and monitoring the implementation of the ESMF</li> </ul>	↗ Action plans for piloting, developing, implementing and monitoring the implementation of the ESMF developed	Third quarter of 2011
Exact locations of REDD+ sites where SESA will be conducted are not known	4. Select sample sites from potential REDD+ sites that were recommended in component 2b of the R-PP (To ensure representativeness, this could be based on ecological zones in Uganda - cattle corridor, Albertine Rift, Lake Crescent, Semi-arid regions, Alpine	2. The SESA team of multi-disciplinary professionals working in conjunction with NFA, FSSD, the REDD Secretariat, the REDD	↗ Areas chosen as sample REDD+ sites will have to be ecologically spread to represent the respective ecological zones.	<ul style="list-style-type: none"> <li>↗ Screened and categorized Strategy Options according to World Bank Environmental Policy</li> <li>↗ A set of specific World Bank Safeguard Policies that are triggered by Strategy Options categorized as "A" and "B" projects<sup>22</sup></li> </ul>	<ul style="list-style-type: none"> <li>↗ No. of SESA REDD+ sample sites identified</li> <li>↗ No. of screened and categorized REDD+ Strategy Options</li> <li>↗ Preliminary ESMF developed with positive and negative social and environmental impacts, corresponding mitigation measures/enhancements, monitoring indicators and responsible</li> </ul>	4 <sup>th</sup> quarter of 2011 to first quarter of 2012

<sup>22</sup> Through the screening process it is determined whether particular REDD projects will be subjected to a full EIA (Category A projects), a limited EIA (Category B Projects) or no EIA is required (Category C projects)



Gap/Challenge Analysis	Action	Responsible	Method	Outcomes	M & E Indicators	Timing
	<p>zones, Savannah Woodlands)</p> <p>5 (a). At each selected REDD site carry out screening of proposed REDD+ Strategy Options according to which particular World Bank Safeguard Policies are triggered and categorize them according to the World Bank Environmental Policy to determine the level of assessment required</p> <p>5(b) Prepare site specific ESMFs for each ecological zone to be integrated into one National ESMF</p>	Working Group, NEMA		<p>➤ Sample REDD-Plus sites identified and preliminary Social and Environmental Assessment carried out at these sites for Category A and B Strategy options</p>	institutions for monitoring	
Need to share experiences on ESMF generated from the sample sites with other stakeholders in order to incorporate their	5. Organize 1 stakeholder workshop per ecological zone to refine the pilot ESMF	<p>➤ REDD Secretariat</p> <p>➤ REDD Task Force</p> <p>➤ SESA team comprising of multi-disciplinary professionals.</p>	<p>➤ The workshops should be participatory in nature, bringing together representatives of CBOs/NGOs working with forest dependent groups as well as representatives of special interest groups</p>	<p>➤ Experiences shared and documented</p>	<p>➤ Successful ecological Zone workshops held with good representation and active participation</p>	Second to Third quarters of 2012

Gap/Challenge Analysis	Action	Responsible	Method	Outcomes	M & E Indicators	Timing
views						
Absence of a national level REDD+ SESA ESMF	6. Develop actual REDD+ ESMF that incorporates multi-stakeholder views (especially those of vulnerable and marginalized groups) in conformity to national and international policy and legislation as well as relevant WB policies	<ul style="list-style-type: none"> <li>➤ SESA team of multi-disciplinary professionals.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Incorporate views of stakeholders (arising out of the Ecological zone workshops held) into the ESMF</li> </ul>	<ul style="list-style-type: none"> <li>➤ An adjusted ESMF that reflects the true likely positive and negative impacts of the proposed REDD-Plus Strategy Options and proposes mitigation measures</li> <li>➤ Adjustments to proposed Strategy Options that reflect “no harm” and enhance “good”</li> </ul>	<ul style="list-style-type: none"> <li>➤ A n agreed Ugandan national SESA ESMF that takes into account a wide spectrum of views particularly from Vulnerable and Marginalized Forest Dependent Groups</li> </ul>	Fourth quarter of 2012
Need to ensure that the action plan is being followed accordingly	8. Participatory Monitoring and Evaluation at specified periods throughout the ESMF development process	<ul style="list-style-type: none"> <li>➤ REDD Secretariat</li> <li>➤ TIC</li> <li>➤ Local Representatives from the pilot sites</li> </ul>	<ul style="list-style-type: none"> <li>➤ The P M and E should involve stakeholders that contributed to formulation of the ESMF (particularly representatives of marginalized and vulnerable groups of Forest Dependent People)</li> </ul>	<ul style="list-style-type: none"> <li>➤ Well implemented action plan with periodic adjustments made to check deviations</li> </ul>	<ul style="list-style-type: none"> <li>➤ No. of times M and E is done throughout the ESMF development process</li> <li>➤ No. of adjustments made as a result of the M and E</li> <li>➤ Level of participation in the M and E process</li> </ul>	First Quarter of 2011 to First Quarter of 2013

The following table 29 presents the activity schedule and plan for developing the ESMF.

Table 32: Summary Activity and Schedule for Developing the ESMF and budget						
Main Activity	Sub-Activity		Estimated Cost (US\$'000')			
			2012	2013	2014	
Develop ESMF	Develop a coordination mechanism to oversee the development and implementation of the ESMF	REDD Focal Point	10	-	-	10
	Identify a team of multi-disciplinary professionals (preferably registered environmental practitioners) with experience in Social and Environmental assessment for the development of the ESMF	REDD Focal Point	10	-	-	10
	Capacity building conducted on SEA in general and REDD+ SESA principles and practice in particular	REDD Focal Point	30	-	-	30
	Identify sample sites where SESA will be conducted (based on existent ecological zones in Uganda)	REDD Focal Point	60	60	-	120
	Organize 1 stakeholder workshop per ecological zone to refine the pilot ESMF	REDD Focal Point	0	60	-	60
	Develop actual REDD+ ESMF that incorporates multi-stakeholder views (especially those of vulnerable and marginalized groups) in conformity to national and international policy and legislation as well as relevant WB policies	REDD Focal Point	0	15	-	15
	Participatory Monitoring and Evaluation at specified periods throughout the ESMF development process	REDD Focal Point	20	20	20	60
<b>Total</b>			<b>\$130</b>	<b>155</b>	<b>20</b>	<b>305</b>
Domestic Government		US\$	0	0	0	0
FCPF		US\$	US\$130	US\$ 155	US\$ 20	US\$ 305
UN-REDD Programme (if applicable)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 1 (name)		US\$	US\$	US\$	US\$	US\$

## COMPONENT 3: DEVELOP A REFERENCE LEVEL

### Reference Level

Present work plan for how the reference level for deforestation, forest degradation (if desired), conservation, sustainable management of forest, and enhancement of carbon stocks will be developed. Include early ideas on a process for determining which approach and methods to use (e.g., forest cover change and GHG emissions based on historical trends, and/or projections into the future of historical trend data; combination of inventory and/or remote sensing, and/or GIS or modeling), major data requirements, and current capacity and capacity requirements. Assess linkages to components 2a (Assessment of Deforestation Drivers), 2b (REDD-Plus Strategy activities), and 4 (MRV System design).

(FCPF and UN-REDD recognize that key international policy decisions may affect this component, so a stepwise approach may be useful. This component states what early activities are proposed).

This component aims at developing a tool for use to measure the effect of REDD-Plus activities that: a) reduce emissions from deforestation and forest degradation; b) provide carbon uptake or removals from the atmosphere through conservation of forest carbon stocks, sustainable management of forests, or enhancement of forest carbon stocks. The intended measurements will estimate trends in forest cover and other land uses over time assuming that REDD-Plus interventions were never implemented. By this way, the estimated trends are then used to compare the performance of the REDD-Plus interventions.

Uganda's tool to monitor REDD-Plus activities will focus on measurable, reportable and verifiable (MRV) emissions and removals of GHG due to avoided deforestation and forest degradation, and enhancement of forest carbon stocks due to conservation and sustainable management of forests as well as monitoring multiple benefits, other impacts and governance.

Procedures for developing Reference levels are still under development. Therefore, Uganda's R-PP proposes:

- a) Work plan and methodology for developing the MRV. The methodologies will be progressively improved upon or upgraded as guided by UNFCCC and IPCC.
- b) Data and methods or approaches to use in establishing a Reference level at national and sub-national levels.
- c) Development future projections of forest cover changes and GHG emissions.
- d) Actions for capacity building, data collection, piloting analysis through demonstration.
- e) Defining the MRV for Uganda as part of REDD-Plus package for Uganda.

Annex 3 (a) presents the TORs for developing Uganda's MRV.

### 3.1 Definitions

#### a) Measurement, Reporting and Verifying Emissions (MRV)

There is no "best practice" to design REDD-Plus reference scenarios or forest monitoring systems because REDD-Plus is operating in a very dynamic and evolving international regulatory environment and new research and technologies are advancing rapidly that may question the previous *single best* option identified. With reference to the IPCC (2006) Good Practice Guidance, The design of Uganda's Reference level and the forest monitoring system shall conform to the following principles:

- i. The system design and its implementation have to maintain overall credibility.
- ii. Objectives should be clearly spelled out and considered.
- iii. Adequate precision is required (adequate means: defined as a part of the overall REDD-Plus objectives and evolving international standards).
- iv. Sound methodology based on scientific principles and following statistical sampling criteria.
- v. Transparency in all steps from planning to reporting; essential part of this is comprehensive and transparent reporting and documentation, both in expert language and “translated” for decision makers and other relevant users.
- vi. Need for experts in the different fields.

## b) Reference Level

The definition of this term varies and is still evolving. There are two terminologies: Reference Emissions levels (REL) and Reference levels (RL). Uganda shall use the latter definition as explained below.

REL is thought of as the combination of recent historical data on greenhouse gas *emissions* from deforestation and/or forest degradation, as adjusted (potentially including future projections of forest cover and other land use trends and carbon density). Thus REL is essentially *gross* emissions, without considering carbon uptake activities.

RL is thought of as the combination of recent historical data integrating both *emissions and removal* (or uptake) activities that apply to all the potential REDD-plus activities. RL thus includes conservation of forests, enhancement of forest carbon stocks, and sustainable management of forests as well as deforestation and/or degradation emissions, and can be viewed as essentially the *net* emissions of all these activities.

## c) Forest

Forest definitions are important when determining Historical emissions from deforestation and forest degradation and are essential in determining areas eligible for REDD-Plus activities (e.g. areas under agro forestry with a comparatively low crown cover might be excluded or included) as well as technical requirements for assessing deforestation (the lower the crown cover threshold the more limited is the use of remote sensing data).

According to the Forest and Tree Planting Act (2003), forest is defined as “an area of land containing vegetation association that is predominantly composed of trees of any size and includes: i) forest classified under the Act; ii) natural forest, woodland or plantation; iii) forest produce in a forest; and; iv), forest ecosystem.

However, there are other definitions Uganda may consider for the purposes of REDD-Plus Strategy. These are the UNFCCC CDM forest definition and FAO definitions. The UNFCCC CDM forest definition refers to: "Forest" is a minimum area of land of 0.05-1.0 hectare with tree crown cover (or equivalent stocking level) of more than 10-30 per cent with trees with the potential to reach a minimum height of 2-5 metres at maturity in situ. A forest may consist either of closed forest formations where trees of various storeys and undergrowth cover a high proportion of the ground or open forest. Young natural stands and all plantations which have yet to reach a crown density of 10-30 per cent or tree height of 2-5 metres are included under forest, as are areas normally forming part of the forest area which are temporarily unstocked as a result of human intervention such as harvesting or natural causes but which are expected to revert to forest (16/CMP.1, Annex, paragraph

**1(a).** The FAO definition refers to forest being 10 % tree crown cover in a 0.5 ha minimum forest area and with 5 m minimum tree height or able to reach this threshold.

During R-PP implementation, Uganda will aim at defining an “applicable” definition for the Reference Levels.

#### **d) Activity data**

The term activity data refers to all data sets that permit the evaluation of changes of land cover and land use over time. The analysis of data from different times provides spatially explicit trajectories for deforestation, reforestation and in limited form for forest degradation and carbon stock enhancement or in other words the areal extend of an emission or removal category at a given time. It is usually based on images of the surface taken from satellites or other carriers.

#### **e) Emission data**

Emission data refers to all the information necessary for the estimation of the carbon content of a certain land use class or the changes in carbon stock after land use change has taken place. Data is commonly gathered on the ground but can also be estimated with high resolution remote sensing data combined with field inventories.

#### **f) Emission factors**

The emission factor is the average amount of CO<sub>2</sub> equivalents bound by a certain land cover form and biomass content. When changing the land use to another one an according amount of CO<sub>2</sub> equivalents are released or sequestered.

### **3.2 Activity and Emission Data in Uganda**

Results from a Survey of studies and projects concerned with land cover, land use and biomass among research institutions in Uganda (Appendix 4) revealed the availability of the following data.

#### **a) Activity data**

The main activity data set in Uganda on land use changes is the National Biomass Study (NFA, 2009). It is based on i) the interpretation of two sets of satellite images (SPOT XS from 1990-1993 and Landsat TM from 2004-2005) using the FAO Land Cover Classification System (LCCS) and ii) a national grid based biomass field inventory with 2 to 4 data points per forested sampling point from the period between 1990-2005.

From this study the available data and some of the gaps are as follows:

- i. Historic deforestation and forest degradation activity data and emissions can be extracted. This is the data that will be used to estimate the initial emissions.
- ii. For some sample points additional remote sensing analysis is required and the NFA is currently preparing to analyse Landsat data for 2010. This will help meet the minimum of three data points in time as recommended (GOFC-GOLD Sourcebook, 2009)

- iii. The accuracy level of the remote sensing and the biomass field inventory is unclear and needs to be analysed.
- iv. The reporting must be aligned with IPCC guidelines.
- v. Depending on the accuracy level historic information may not be suitable for developing REDD+ scenarios and/or the inventory design needs to be modified.
- vi. A number of sub-national data sets exist that needs to be assessed in terms of its quality and integrated into a national database.

#### **b) Carbon emission data and emission factors**

The quality of the emission data in Uganda is uncertain and needs to be assessed before it can be used to develop the reference scenario. For example, in the framework of a comprehensive study (National Biomass Study phase I) 3000 trees from 123 species were sampled destructively and for 4,500 trees green and dry weight were measured and single tree biomass functions were developed. Almost 4,000 permanent sampling plots were established in Uganda to estimate woody biomass for different forest types. 10 % of these sample plots have been revisited several times to gain information on biomass dynamics, reflecting degradation and growth.

From the available emission data emission factors or carbon content can be derived for each land use class. For below and above ground carbon pools and land use changes IPCC Tier 3 emission factors may have to be used. In the framework of the National Biomass Inventory only for the living above ground carbon pool Tier 3 data is available.

For the estimation of the carbon density per land use class the two components of the National Biomass study (activity data and emission factors) need to be merged in order to assign carbon content to each land use class and to understand the emissions related to land use change.

#### **c) Historical emissions**

The publication data of the next National GHG inventory is unknown. It is however, expected that the calculation of the historic emission level will be done following the IPCC Good Practise Guidelines (2003) and the IPCC Guidelines for National GHG Inventories, Volume 4 AFOLU (2006), using suitable and available Tier 2 and 3 data. The historic emissions resulting from deforestation and forest degradation will be integrated into the next National GHG inventory.

Based on the above inventory, the following data requirements are identified (Table 30)

Table 33: Emissions Data Requirements and Adequacy

Source	Owner	Details
National Biomass Study (NBS) I	NFA	Biomass of different forest types, bush land and agricultural land based on destructive sampling
National Biomass Study 2003 (II)	NFA	National forest inventory, based on SPOT XS satellite images 1990-1993, permanent sample plots and NBS I

National Biomass Study 2009 (III)	NFA	National forest inventory, based on Landsat 2005/6 images, permanent sample plots and NBS I and II
Natural Forest inventories	NFA	Exploratory inventories of several Central Forest Reserves
Vegetation and Forest Cover Change Map Semliki/Murchison landscape	WCS	Based on ASTER images 2005, 2006, aerial photographs (2006-2010) and NBS
Enso Mosaic maps of WILD project areas in northern Uganda	WCS	Based on Landsat images 1986, 2000 and aerial photographs 2007
Remote sensing data	NEMA	Medium and high resolution satellite images from different sources will be available upon request through NEMA

### 3.3 Capacity for Reference Level

The following sections present information on existing capacities. A detailed SWOT analysis can be found in Appendix 4.

#### 3.3.1 Existing capacities in Government Institutions

- a) **National Forestry Authority:** Knowledge and experience in mapping of land cover and land use based on medium resolution remote sensing data and biomass estimation and mapping based on destructive sampling, classic forest inventories and remote sensing. Inventory design and statistical analysis capacity needs to be improved.
- b) **Forestry Sector Support Department:** Oversight to the entire forest resources due to limited capacity to fulfil its guiding and law enforcement role.
- c) **Uganda Wildlife Authority:** Very little primary data on forest cover and biomass is collected. The organisation works closely with communities and monitors wildlife and has prior experience with monitoring afforestation and reforestation carbon projects in Mt Elgon and Kibale National Park. Therefore, it could potentially play an important role in the sub-national REDD-Plus monitoring or of additional benefits of REDD-Plus, such as biodiversity, and in actively including communities into the monitoring processes.
- d) **National Environment Management Authority:** It is the lead agency for coordination, monitoring, regulation and supervision of the environmental management in Uganda. Information crucial to REDD-Plus implementation and monitoring is collected by NEMA through the Environmental Information Network.
- e) **Uganda Bureau of Statistics:** Relevant information provided by the agency is often collected by other agencies that are working in the specific sector. UBOS verifies and joins different data sets. Aggregated data is freely available.

#### 3.3.2 Existing capacities in non-governmental institutions

- a) **Wildlife Conservation Society:** Biodiversity surveys and land cover assessments have been conducted in western and northern Uganda, based on remote sensing data analysis and field



inventories. Carbon stocks, biodiversity and socioeconomic information are currently collected for western Uganda in the framework of a REDD-Plus feasibility study for forest corridors.

- b) **World Resources Institute:** Considering their extensive research on socio-economic development in Uganda and their relation to natural resource development, the institution is well positioned to support the development of reference scenarios.
- c) **Universities/Research Institutions:** There is a strong interest in REDD-Plus related topics among research institutions in Uganda, but limited capacity and few pilot projects that can be used to add research components. Makerere University (e.g. Institute of Environment and Natural Resources; Economic Policy Research Centre, Faculty of Forestry and Nature Conservation) and the National Forest Resources Research Institute have conducted some relevant studies and/or provided input for the National Biomass Study. A REDD-Plus dedicated training programme, organized by the different institutes mentioned above and with student attachments in international organisations working on REDD-Plus, would help to build capacity.

Existing regional research networks like the African Forest Research Network or Agricultural Research in Eastern and Central Africa (ASARECA) are important partners to share experiences with other FCPF partner countries in Africa.

The information above reveals that the National Forestry Authority is the most suitable institution to develop the Reference Level and to design and maintain the REDD-Plus monitoring system at the national level. Nevertheless, it requires substantial investments to upgrade existing capacity. Furthermore, opportunities to partner with other institutions, including those indicated above or options to outsource individual tasks shall be considered. With regards to sub-national REDD-Plus activities a number of organisations have relevant analytical and field capacity already (e.g. WCS or UWA). For the development of REDD-Plus reference levels, a national framework shall be established with the option to integrate higher resolution data or additional variables to be monitored at the sub-national level.

### **3.3.3 Capacities Gaps /Needs**

Both the capacity of government agencies as well as of research institutions can be strengthened by fostering close cooperation with international NGO's (e.g. WCS, IUCN, WWF). Training and guidance by external experts will be needed to enhance existing capacity and close the existing knowledge gaps ensuring the establishment of a sound reference level on training for inventory, GIS and reporting teams.

In addition, the government of Uganda will have to improve the funding situation of certain agencies to permit effective work. Only where REDD-Plus implementation is concerned should funds from the FCPF readiness programme be used.

## **3.4 Developing the Reference Level**

### **3.4.1 Principles**

The Reference Level or future trajectory can be set using two different methodological approaches. The Reference level can be based purely on the historical emissions extrapolating them into the future. The second approach is also based on historical emissions but adjusted to take into account changes in REDD-Plus deforestation/degradation drivers related to socio-economic changes.

Respective adjustments based on modelling land use change with varying parameters will result in several possible future scenarios. The most likely of these scenarios will be set as Reference level against which all future emissions will be accounted and most likely has to be defended at the international level.

While the first approach is transparent because no adjustment anticipating future developments are conducted it is very likely that historic emissions will not reflect the future Business As Usual scenario very well. This approach will most likely overestimate future emissions, which would result in more emission reductions. Adjusting the Reference Level using simple adjustment factors or models requires a very good understanding between socio-economic development and deforestation and forest degradation. For Uganda in-depth studies on related repercussions are currently lacking, which highlights the need for some targeted analytical work to be able to define adjustment factors.

The development of Uganda Reference level shall **consider the following activities.**

1. Enhance capacity, staffing, technological capabilities
  2. Define reference time period and finalize forest definition.
  3. Quantify activity data
    - 3a. Create benchmark land cover map and perform change detection
    - 3b. Classification quality control
    - 3c. Accuracy assessment
    - 3d. Mosaic and stratification of classification products
  4. Develop historic carbon stock change data for REDD-plus-related activities
    - 4a. Identify key carbon pools to include in the historic estimate
    - 4b. Develop protocols for carbon stock change data collection including accuracy/precision targets and QA/QC protocols.
    - 4c. Inventory all existing historical data and evaluate against accuracy and precision targets.
    - 4d. Link field and remote sensing data
    - 4e. Carbon stock measurement
  5. Combine activity data with emission factors to develop total historical emissions/removals
  6. Develop future trajectory of emissions.
- Adapted from R-PP Guidelines Ver 5**

### 3.4.2 The Approach

The process of developing Uganda's Reference level shall involve the following:

#### a) Constituting a Reference level Taskforce

A "Reference level" Taskforce will be responsible for engaging with national and international experts to define in a transparent process a realistic REDD-Plus reference level.

The Task force will involve individuals from relevant Ministries and government agencies, such as the Ministry of Finance Planning and Economic Development, Ministry of Water and Environment, Ministry of Agriculture Animal Industry and Fisheries, Uganda Bureau of Statistics, research institutes and NGO's. **Additionally stakeholders will be invited to participate in taskforce.** The individuals from the different organizations should have a good background in socio-economic and/or forestry.

The actual composition of this Taskforce will be determined by the implementing agency for REDD-Plus on recommendation of the National Steering Committee.

## b) Projection data for modelling

For the development of adjusted historical extrapolation of emissions robust socio-economic data e.g. rural/urban population growth, infrastructure development including energy infrastructure investments, rural employment and business development etc. are required. However, as highlighted above the relation between economic development and deforestation is quite complex and often not linear (e.g. Marcaux, 2000).

Developing sub-national reference scenarios will include sub-national REDD-Plus activities can either apply the national reference level or develop a more situation specific sub-national reference level. While the former approach will ensure consistency it will most likely underestimate deforestation and forest degradation in the without project scenario. Sub-national reference levels require transparent development protocols and a standardized approach to reconcile and harmonize the sub-national reference level with the national reference level (De Gryze et al, 2010).

Sub-national REDD-Plus activities will be located in REDD-Plus hot spot areas that have medium-high carbon stocks, high deforestation and forest degradation threats and medium-high biodiversity or other co-benefits. However, REDD-Plus activities may not be feasible in all REDD-Plus hot spot areas in Uganda, considering that e.g. areas in Western Uganda with oil fields will have very high opportunity costs.

## c) Work Plan for developing the Reference levels

Procedures for developing Reference levels are still under development. However, Uganda does envisage that the undertaking to develop the Reference levels will involve:

- i. Setting up a Reference Levels Taskforce by the REDD-Plus Steering Committee
- ii. Designing a methodology for developing the Reference levels in consultations with methodologies and guidance developed by or upgraded by UNFCCC and IPCC. This methodology will include tools for:
  - a. Collecting and analysing data
  - b. Establishing a Reference level at national and sub-national levels.
  - c. Developing future projections of forest cover changes and GHG emissions.
- iii. Building capacity for data collection
- iv. Carrying out piloting analysis through demonstration.
- v. Adopting a Reference levels for Uganda.

The Specific tasks that will be undertaken by the Taskforce are specified in Annex 2d (TORs for Developing Reference levels). Briefly, the following tasks are envisaged:

- i. Reviewing historical data available activity and emissions; on drivers of deforestation and/or degradation and other REDD-plus activities, and identifying data gaps that need to be filled to estimate past and recent land use change and GHG emissions/removals from deforestation and/or forest degradation and any of the other REDD-plus activities.
- ii. Reviewing "national circumstances" that might adjust the reference level proposed.
- iii. Assessing the feasibility of Uganda being able to implement potential approaches to developing a reference level.
- iv. Assessing the institutional roles, mandates and capacities during Reference Level of both government and non-government institutions involved in this activity.

- v. Assessing technical support required and levels of collaboration to develop the Reference Level.
- vi. Developing a work plan identifying the major steps and studies envisioned to obtain the minimum datasets.
- vii. Defining mechanisms for integrating Reference levels with Component 2a, Component 2b and national GHG inventory and reporting process.
- viii. Defining linkages with the monitoring system design

Details of the issues that the Task force will address are described in Annex 3a. (TORs for Developing Reference levels)

Main Activity	Sub-Activity	Lead	Estimated Cost (US\$ '000')			
			2012	2013	2014	Total
Design and Coordination		REDD Focal Point	5	5	5	15
Capacity building		REDD Focal Point	20	20	-	40
Evaluate and modify the NBS	Accuracy assessment of NBS	REDD Focal Point	5	-	-	5
	Methodology modification to match REDD-Plus requirements	REDD Focal Point	25	25	-	50
Remote sensing data (gather and process activity data)	Acquisition of equipment (hardware & software)	REDD Focal Point	0	100	-	100
	Acquisition of remote sensing data	REDD Focal Point	0	250	-	250
	Data processing, analysis & interpretation	REDD Focal Point	0	-	70	70
	Accuracy assessment	REDD Focal Point	-	-	10	10
Field inventory (gather and evaluate emission data)		REDD Focal Point	50	30	20	100
Historical emissions	Combination of activity and emission data	REDD Focal Point	0	-	5	5
Reference level including peer review	National Reference level	REDD Focal Point	0	10	-	10
	Selection of hot spots and develop 1-2 sub-national reference scenarios	REDD Focal Point	0	-	10	10
<b>Total</b>			<b>\$105</b>	<b>440</b>	<b>120</b>	<b>665</b>

Domestic Government	US\$	0	0	0	0
FCPF	US\$	US\$ 105	US\$ 190	US\$ 120	US\$ 415
UN-REDD Programme (if applicable)	US\$	US\$	US\$	US\$	US\$
Other Development Partner 1 (name)	US\$	US\$	US\$	US\$	US\$
Other Development Partner 2 (name)	US\$	US\$	US\$ 250	US\$	US\$ 250
Other Development Partner 3 (name)	US\$	US\$	US\$	US\$	US\$

## COMPONENT 4: DESIGNING A MONITORING SYSTEM

This component aims at designing a monitoring system for two major objectives: (a) measurable, reportable and verifiable (MRV) emissions and removals of greenhouse gases due to avoided deforestation and forest degradation, and enhancement of forest carbon stocks due to conservation and sustainable management of forests; and (b) monitoring multiple benefits, other impacts, and governance. The system will measure and monitor emissions and removals of GHGs caused by key drivers of deforestation, forest degradation, and enhancement of carbon stocks as identified in the Components 2a and 2b. Additionally, the MRV system will facilitate comparison of land area and GHG emissions estimates for the reference level under component 3 and monitoring multiple benefits, other impacts and governance.

During the development of the MRV, Uganda will aim at:

- a) Combining remote sensing and ground-based forest carbon inventory approaches for estimating, as appropriate, anthropogenic forest-related greenhouse gas emissions by sources and removals by sinks, forest carbon stocks and forest area changes.
- b) Providing estimates that are transparent, consistent, as accurate as feasible, and that reduce uncertainties and estimate remaining uncertainties, taking into account national capabilities;
- c) Making certain that the system results are available and suitable for review in accordance with the agreements of the Conference of the Parties.

Uganda's Monitoring system shall seek to address the following two main aspects:

- a) Demonstrating credible reductions in deforestation, forest degradation and other REDD-plus activities in comparison to this scenario in order to obtain performance-based financial incentives (Presented as Component 4a here under).
- b) Accountability and trust among local constituencies and affected stakeholders (including forest dependent people) that over time would be consulted on the system design and operation. The description of the MRV system in this component will include early ideas on including capability (either within an integrated system, or in coordinated activities) to monitor rural livelihoods, conservation of biodiversity, key governance factors directly pertinent to REDD-plus implementation in Uganda and to assess the impacts of the REDD-plus strategy on the forest sector (Component 4b).

The Uganda's national forest monitoring system also will be used to support the development of a national GHG inventory and use this information to report emissions and removals to UNFCCC in their National Communications. Furthermore, the national forest monitoring system and other data shall be used to generate land use activity data (i.e., number of hectares in various land use classes and their change over time), and be combined with national forest inventory and other data on carbon stocks (carbon density per hectare of various forest or other lands), to generate the emission factors needed to perform GHG inventory reporting.

Uganda will not be able to finalize the design of the MRV system for the emission reductions and removals in the absence of definitive guidelines from the UNFCCC policy process. Thus, the MRV system may have to be developed gradually, starting with data collection and analytic work, and with further refinements being made later on to match the guidelines emerging from the UNFCCC policy process.

## 4A. EMISSIONS AND REMOVAL

### Emissions and Removals

The R-PP provides a proposal and workplan for the initial design, on a stepwise basis, of an integrated monitoring system of measurement, reporting and verification of changes in deforestation and/or forest degradation, and forest enhancement activities. The system design should include early ideas on enhancing country capability (either within an integrated system, or in coordinated activities) to monitor emissions reductions and enhancement of forest carbon stocks, and to assess the impacts of the REDD strategy in the forest sector.

The R-PP should describe major data requirements, capacity requirements, how transparency of the monitoring system and data will be addressed, early ideas on which methods to use, and how the system would engage participatory approaches to monitoring by forest-dependent indigenous peoples and other forest dwellers. It should also address independent monitoring and review, involving civil society and other stakeholders, and how findings would be fed back to improve REDD-plus implementation. The proposal should present early ideas on how the system could evolve into a mature REDD-plus monitoring system with the full set of capabilities.

*(FCPF and UN-REDD recognize that key international policy decisions may affect this component, so a staged approach may be useful. The R-PP states what early activities are proposed.*

A Monitoring system for emissions and removal will be designed to achieve the following objectives:

- a) Measuring emissions and removals in relation to trends in deforestation, forest degradation and enhancement of carbon stocks.
- b) Reporting on emissions and removals to UNFCCC (on GHG) and Stakeholders.
- c) Establishing baseline information for verifying emissions and removals in Uganda.

### 4.1 Process of designing MRV

The process shall involve the following issues and steps. Detailed TORs are presented in Annex 3(a).

#### 4.1.1 Procedure of Planning

The general monitoring system design principles to be applied are illustrated in Figure 6. Each task will be addressed in more detail below, reflecting the Ugandan context. In addition a work plan outlining the flow of activities for planning and implementing a forest monitoring system is outlined and the proposed responsible agency for each activity is highlighted in the Appendix 4.

Figure 6: Procedure for designing the forest monitoring system



**Setting the foundations.**

Justification – funds – objectives – defining mandates.

**Inventory planning.**

Definition of technical objectives, development of inventory design, inventory protocol.

**Data collection.**

*Remote sensing:* From decision on imagery to final map products.

*Field data:* Organisation, training, implementation, supervision.

**Data management and analysis.**

Data base development, data entry, data analysis, database maintenance.

**Reporting.**

#### **4.1.2 Setting the foundations**

The justification for Uganda to implement a REDD-Plus monitoring system is the strong commitment to protect forests and its multiple functions by attracting international positive incentive mechanisms for REDD-Plus under the Forest Carbon Partnership Facility and other evolving mechanisms.

The design of the monitoring system has to consider severe capacity and budget constraints. Therefore, a simple but robust monitoring system is considered to be most suitable for Uganda.

Hence Uganda is targeting to provide:

- a) Tier 2 data on national level.
- b) Tier 3 data for hot spots for the monitoring of emissions or emission reductions from forests.

In addition the activity data and emission factors described in component 3 are adequate for tier 3 estimations.

#### **4.1.3 Planning a monitoring system**

The National Biomass Study methodology may have to be adapted to reflect evolving REDD-Plus methodology guidelines provided by the IPCC and UNFCCC and probably the voluntary carbon market. This concern in particular the land classification design (currently FAO LCCS classes are used), sampling and plot design and the estimation design to avoid biased estimates and meet expected accuracy standards. A detailed analysis of the National Biomass Study, in particular assessing the accuracy of the data, is planned under Component 3.

The objective of the monitoring system will be the monitoring of biomass where it is threatened by deforestation and forest degradation at an appropriate accuracy level as specified in Component 3. Another objective of the monitoring system is to capture changes to other forest related benefits as outlined below under “Monitoring of Co-benefits”.

Field inventory manuals, including standardized data collection, need to be revised and adjusted, and data entry software might be purchased if portable data loggers are used.



It is also recommendable to assess in more detail the design and the quality of the existing National Biomass Study data base and the options to add additional data from national and sub-national REDD-Plus monitoring. Ideally a respective test data set is used to simulate the suitability of the database to analyze REDD-Plus relevant data sets.

The objectives to be achieved with the forest monitoring system will determine the number and type of variables to be collected as well as the frequency of data collection. More attributes to be measured mean higher cost so there must be a convincing justification to integrate additional variables or target objects (target objects for REDD-Plus may be “trees in forest” and “other vegetation in forest” while other users may want additional information such as “non-timber forest products” or wildlife habitat characteristics etc.). It is suggested to monitor forest change at two year intervals.

Based on the information request related to monitoring “deforestation”, “forest degradation”, “forest structure”, “biodiversity” and “sustainability of forest management” – a list of variables (that serve as indicators) need to be defined, so that they become operational for a forest monitoring system.

In order to be able to anticipate the data requirements of all stakeholders as completely as possible they need to be consulted prior to the continuation of the inventory. During the consultation process relevant groups were consulted ( Appendix 4 however; more consultations will have to be conducted by the National Forestry Authority in particular with stakeholders outside the forest circle like conservationists, agronomists and tourism developers. Additionally a “methodology” working group combining experts from different government agencies and relevant NGO’s will be formed to determine which information should be collected in the inventory and how information can be shared and aggregated.

In Appendix 4 existing data sets, documents, maps and contacts have been compiled. Additional available data sets should be in-cooperated assuming the quality is recorded and proves to be acceptable. In general data or maps without information on the quality have to be treated cautiously.

#### **4.1.4 Design of sub-national monitoring systems**

The final design of the sub-national monitoring system will depend on evolving REDD-Plus accounting requirements within the UNFCCC and on the voluntary carbon market. Uganda will encourage respective international investments and will provide clear guidance for project developers.

The following variables are tentatively suggested for prioritization of deforestation and degradation hotspots:

- a) Carbon stock.
- b) Area.
- c) Variables indicating deforestation and/or forest degradation threats (dynamic of forest frontiers, population density, road and energy infrastructure etc).
- d) Biodiversity value.
- e) Governance.

The national guidelines for sub-national REDD-Plus monitoring will basically refer to existing REDD-Plus standards and methodologies **provided by UNFCCC**. In addition, requirements for data

management and data sharing will be provided, as well as standards that will enable to integrate sub-national monitoring data into the national monitoring system.

## **4.2 Data collection methodologies**

### **4.2.1 Remote sensing**

Sample based field observations provide punctual data on a series of forest mensuration attributes and remote sensing allows a large area synoptic assessment and analysis of a limited set of area attributes (as visible from above). Together, these two data sources make up the major part of a forest monitoring system and they need to be designed such that they complement each other. Also remote sensing based maps together with the field sample data are a valuable data base for manifold research activities! The data should be proactively made available to research institutions. Best would be to contract out specific research questions so that these institutions (that usually suffer from a tremendous lack of resources) have the possibility to do serious research, and to link them to research institutions from developed countries, to foster international collaboration. For REDD-Plus monitoring, estimation of emission factors (carbon densities) is mainly collected from field observation, while remote sensing technology is used to estimate activity data (area per land-use class).

Remote sensing analysis results in thematic maps providing variables of interest for the entire area of interest; usually forest/non-forest, forest types, tree density, biomass density, carbon density are mapped. It may also be used to identify deforestation and forest degradation hot spots. A remote sensing component in a forest monitoring project requires expertise in image procurement, image processing and analysis, image interpretation (Appendix 4). When the objective is to go beyond interpretation and mapping and to link field observations with remotely sensed information, expertise in modelling plays an important role. Active sensor remote sensing techniques like lidar and radar require additional specific expertise as the data format and information extraction is very different from the common optical passive imagery (e.g. aerial photographs). In Uganda in-depth modelling and active sensor interpretation expertise is currently not available.

The technical interpretation of the results needs to be done in close collaboration with the project management team, which should be responsible to meet pre-defined quality benchmarks, and the expert for the field data collection.

### **4.2.2 Data management and reporting**

A REDD-Plus monitoring system requires an archiving system and, as mentioned above, should enable and encourage research organisations to use the existing information. Uganda will apply all respective guidelines provided by IPCC, 2006 Volumes 1 and 4.

The monitoring system will be located at the National Forestry Authority (NFA). The National Environmental Management Authority (NEMA), which is in charge to approve the environmental and social impact assessment of all REDD-Plus activities, should receive access to the original data set and analysed and aggregated information, i.e. reports and maps, for additional archiving. NEMA which is managing the Environmental Information Network should also facilitate data sharing among Government agencies and provide researcher conditional access to the data. This arrangement will also strengthen cross-departmental exchange and transparency.

The Forestry Sector Support Department in cooperation with the newly established, but not yet functional District Forestry Service at the local government level, will contribute to collect data on law enforcement and other drivers of deforestation and forest degradation. Respective data collection and management protocols and incentive mechanisms will be developed. Locally based NGO's and community organisations are expected to join respective efforts.

The archiving system will contain all the procedures and methods used, the reference scenario, monitoring data and their analysis as well as estimations of accuracy and uncertainty. The responsible department will need to work closely with other agencies to ensure that all data is up to date at any given time.

The monitoring system will be designed in a way that permits the annual accounting for deforestation, forest degradation and afforestation and the estimation of the resulting emissions or emission reductions in comparison with the reference scenario. Cost recovery mechanisms for maintaining the monitoring system will be established. Public access to the monitoring system needs to be assured. Capacity building on information management and technology is required (see also Appendix 4). Reports on emissions or emission reductions related to forestry will be integrated in the next national GHG inventory of Uganda.

Quality control (QC) and quality assurance (QA) is an integral part of reporting. It includes error assessments (Appendix 4), reviews of methods used for data collection and analysis and control of completeness and consistency. QC and QA will be done by the reporting agency together with external experts e.g. in form of regular peer reviews and should also involve activities such as re-measurement by independent field teams and cross checks with other data sources e.g. the IPCC default values and the Emission Factor Database (EFDB IPCC).

#### **4.2.3 Community involvement in forest monitoring**

Community forestry in Uganda is lacking a supportive governance environment and accordingly community based monitoring capacity is still relatively weak.

Experiences from other countries e.g. Nepal show that communities with support from dedicated local NGO's can manage high quality REDD-Plus monitoring systems (Skutsch 2010). In Uganda various national, international and local NGO's as well as the Uganda Wildlife Authority and National Forestry Authority through collaborative forest management work closely with communities, but have limited experience in REDD-Plus monitoring. Therefore, it is envisaged to establish community monitoring systems in the framework of small community based pilot REDD-Plus projects to increase capacity and confidence in respective governance and monitoring systems. Related monitoring systems will be over time fully integrated into the national REDD-Plus monitoring system.

### **4.3 Defining mandates during the design of MRV**

#### **a) Mandate**

The FSSD will coordinate REDD-Plus monitoring at the national level and the definition of standards for sub-national activities and data management, considering evolving REDD-Plus standards on the voluntary carbon market and within the UNFCCC process. As part of the overall coordination FSSD will engage other organizations that have complimentary mandates (e.g. National Environment Management Authority, National Forest Authority, relevant Academic institutions) or capacities (including NGO's) in the overall REDD-Plus monitoring framework. This will ensure ownership of

REDD-Plus implementation beyond the forest sector, including broader societal choices concerning land use.

Designing a forest monitoring system requires an explicit information request, which was defined in component 2 a, to justify the need for the monitoring system. The REDD-Plus working group recommended that the REDD-Plus monitoring system at the national level will be integrated into the National Biomass Study. The National Biomass Study serves a number of different information needs and land based agencies, such as the Ministry of Agriculture Animal Industry & Fisheries, Ministry of Energy & Minerals, and Ministry of Water & Environment including the National Forestry Authority, the National Environment Management Authority and Uganda Wildlife Authority. In addition REDD-Plus can enhance inter-sectoral/agency communication and collaboration, which is already relatively successfully established in Uganda with the National Biomass Study, which is considered as a common information platform.

The mandate of the FSSD will include:

- i. Coordination of all monitoring, reporting and verification efforts of the different stakeholders involved, including work-plan development and enforcement.
- ii. Adaptation of the National Biomass Study design to REDD-Plus requirements.
- iii. Provision of standards and ensuring data compatibility for sub-national REDD-Plus monitoring, including a well integrated data management system.

## **b) Action plan to develop MRV**

The process of designing Uganda's MRV will be spearheaded by a Taskforce set up by the REDD-Plus Steering Committee. The process will be consultative in nature and shall involve stakeholders with relevant mandates and information relevant to trends in forest and land use.

The Taskforce will follow the following steps:

- i. Defining Objectives of MRV, tools, methodologies
- ii. Building capacity to develop the MRV
- iii. Developing the MRV
  - ✓ Designing a Monitoring, Reporting and Verifying system capable of addressing required parameters (forest land use change and carbon stock change assessment).
  - ✓ Describing the criteria and processes to be used for designing the monitoring system.
  - ✓ Assessing technological options and methods for measuring, reporting and verifying carbon stock changes.
  - ✓ Carry out cost benefit analysis of tier 3 system.
  - ✓ Assessing existing capacities and future capacities required for the MRV system.
  - ✓ Defining roles and responsibilities for MRV system.
  - ✓ Identifying capacity building, training, and hardware and software needs.
  - ✓ Assessing systems/structures required for data and information management.
  - ✓ Assessing financial support required and the sources of funding.
  - ✓ Assessing potential benefits of designing the MRV.
  - ✓ Designing measures for integrating MRV system with components 2a and 2b and national communications report.
  - ✓ Determine how to address displacement and how to integrate this into selection of REDD-plus strategy options
  - ✓ Designing a reporting and verification framework.

Details of the issues that the Task force will address are described in Annex 3b. (TORs for Developing MRV)

Table 35: Summary Activity Plan and Schedule for developing MRV and Budget						
Main Activity	Sub-Activity	Estimated Cost (US\$'000')				
		2012	2013	2014	Total	
Coordination/Setting up the Taskforce		5	5	-	10	
Defining objectives and standards of the monitoring system		20		20	40	
Capacity building	Monitoring at district level	50		-	50	
	Training on evaluation of high resolution remote sensing data	25	25	-	50	
	Pilot projects for community monitoring		20	-	20	
	Training on data management	10	10	40	60	
Development of monitoring plan	Develop set of indicators and measurement methodologies for emissions and removals	50	50	-	100	
	Selection of methodology and tools	0	30	-	30	
	Development of procedures and work plans	0	20	-	20	
Development of reporting system	Design of data management system	0	40	20	60	
	Integration of REDD+ projects	0	-	20	20	
System review	Equipment	0	30	40		

						70
Total			\$160	230	140	530
Domestic Government	US\$	0	0	0	0	0
FCPF	US\$	US\$ 160	US\$ 230	US\$ 140	US\$ 530	
UN-REDD Programme (if applicable)	US\$	US\$	US\$	US\$	US\$	US\$
Other Development Partner 1 (name)	US\$	US\$	US\$	US\$	US\$	US\$

## 4B. MULTIPLE BENEFITS, OTHER IMPACTS AND GOVERNANCE

### Other Multiple Benefits, Impacts, and Governance

The R-PP provides a proposal for the initial design and a workplan, including early ideas on capability (either within an integrated system, or in coordinated activities), for an integrated monitoring system that includes addressing other multiple benefits, impacts, and governance. Such benefits may include, e.g., rural livelihoods, conservation of biodiversity, key governance factors directly pertinent to REDD-plus implementation in the country.

(The FCPF and UN-REDD recognize that key international policy decisions may affect this component, so a staged approach may be useful. The R-PP states what early activities are proposed.

The purpose of developing an integrated “multiple benefits, impacts and governance” System within an MRV framework, is to incorporate into the MRV system the monitoring of multiple benefits other social and environmental impacts, and governance, in addition to MRV of GHG emissions and removals performed in component 4a. The benefits, impacts and governance variables to be selected for monitoring in Uganda are not yet developed. However, they are deemed to include the following, among others: rural livelihoods, biodiversity conservation, ecosystem services, and other environmental and social benefits. The monitoring system may also include, among other things, safeguards indicators (taking into consideration the linkages to component 2b (REDD-plus strategy), component 2c (implementation framework), component 2d (social and environmental impacts), and the requirements of decision 1/CP.16 COP or other relevant and UNFCCC guidance on safeguards.

The REDD-Plus Steering Committee shall set up a Taskforce to develop the monitoring plan for the multiple benefits following the following steps:

- a) Defining Objectives of Monitoring plans for Multiple benefits, Other Impacts and Governance, tools, methodologies
- b) Building capacity to develop the Monitoring Plan
- c) Developing the Monitoring Plan which will include the following:
  - i. Assessing and reviewing any existing monitoring systems of multiple benefits.
  - ii. Selecting multiple benefits to include in the Monitoring system.
  - iii. Describe how the monitoring system will address key governance issues pertinent to REDD-plus implementation
  - iv. Determine how the Plan will monitor social and environmental impacts and other multiple benefits.
  - v. Defining procedures for multi-stakeholder participation in Monitoring Plan development and implementation.
  - vi. Assess existing capacities and future capacities required to implement the Plan.
  - vii. Assess the financial support required and the sources of funding.
  - viii. Describe how the system will integrate across sub-national regions based on your ecological, institutional and economic context.

Details of the issues that the Task force will address are described in Annex 4b. (TORs for Developing Monitoring Plan for Multi-benefits, Other Impacts and Governance)

The detailed procedure for designing the monitoring system is provided in TORs attached as Annex 4b.

<b>Table 36: Summary Activity Plans and Schedule for developing Monitoring plan for Multiple benefits, other impacts and governance</b>						
Main Activity	Sub-Activity	Estimated Cost (US\$ "000")				
		Lead	2012	2013	2014	Total
Establish and facilitate Taskforce		Implementing Institution	5	5	-	10
Define Objectives and standards of the monitoring Multiple benefits, Other impacts and Governance		National Technical Committee	20	0	20	40
Capacity building for developing and applying the monitoring system	Assess and develop capacity building programmes for the district	Implementing Institution	50	0	0	50
	Capacity building for districts	Implementing Institution	25	25	0	50
	Capacity building for community monitoring	Implementing Institution	0	20	0	20
	Training on data management	Implementing Institution	10	10	40	60
Development of monitoring plan	Assessing and reviewing any existing monitoring systems of multiple benefits & Selecting multiple benefits to include in the Monitoring system	Implementing Institution	50	50	0	100
	Describe how the monitoring system will address key governance issues pertinent to REDD-plus implementation	Implementing Institution	0	30	0	30
	Development of procedures Stakeholder participation and for assessing social and environmental impacts	Implementing Institution	0	20	0	20
Development of reporting system	Design procedures for reporting	Implementing Institution	0	40	20	60



	Define measures and procedurs for integration of REDD+ projects	Implementing Institution	0	0	20	20
Installing systems	Equipment	Implementing Institution	0	30	40	70
<b>Total</b>			<b>160</b>	<b>230</b>	<b>140</b>	<b>530</b>
Domestic Government		US\$	0	0	0	0
FCPF		US\$	US\$ 160	US\$ 230	US\$ 140	US\$ 530
UN-REDD Programme (if applicable)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 1 (name)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 2 (name)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 3 (name)		US\$	US\$	US\$	US\$	US\$

## COMPONENT 5: SCHEDULE AND BUDGET

### Completeness of information and resource requirements

The R-PP proposes a full suite of activities to achieve REDD-plus readiness, and identifies capacity building and financial resources needed to accomplish these activities. A budget and schedule for funding and technical support requested from the FCPF and/or UN-REDD, as well as from other international sources (e.g., bilateral assistance), are summarized by year and by potential donor. The information presented reflects the priorities in the R-PP, and is sufficient to meet the costs associated with REDD-plus readiness activities identified in the R-PP. Any gaps in funding, or sources of funding, are clearly noted.

### 5.1 Over-all budget

The estimate costs for the R-PP implementation is US\$ **\$10,617,000** falling under respective components (Table 37)

**Table 37: Summary Funding sources/requests**

<b>SUMMARY BUDGET (US\$ "000")</b>				
<b>COMPONENT</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>TOTAL</b>
<b>Component #1: Organize and Consult</b>				
Summary of Activity and Schedules for National Readiness Management Arrangements Activities and Budgets (US\$)	\$62	\$65	\$68	\$195
Summary of Activity Plan and Schedule for for implementation of the REDD-plus Consultation and Participation Plan and Budget	\$749	\$723	\$572	\$2,044
Summary Activity Plan and Schedule for implementation of the Awareness and Communication Strategy	\$898	\$795	\$765	\$2,458
Summary Activity Plan and Schedule for Implementation of the REDD-plus Conflict Resolution and Grievances Management System (CRGMS) and Budget	\$1,007	\$209	\$214	\$1,430
<b>Component #2: Prepare the REDD Strategy</b>				
2A: Assessment of Land Use, Forest Policy & Governance	225	265	140	630
2B: REDD Strategy Options	413	375	530	1318
2C: REDD Implementation Framework	50	145	220	415
2D: Social and Environmental Impacts (ESMF)	\$130	155	20	305

<b>Component 3: Develop Reference level</b>				
Develop Reference level	\$105	440	120	665
<b>Component 4: Design Monitoring System</b>				
4A: Emissions and Removal	\$160	230	140	530
4B: Multiple benefits, Other Impacts and Governance	160	230	140	530
<b>Component 5: Schedule and Budget</b>				
	0	0	0	0
<b>Component 6: Monitoring and Evaluation Framework</b>				
M&E Framework	50	21	26	97
<b>TOTAL</b>	<b>\$4,009</b>	<b>\$3,653</b>	<b>\$2,955</b>	<b>\$10,617</b>

<b>Contributions</b>				
GoU	\$40	\$37	\$30	\$106
FCPF	\$1,135	\$1,356	\$984	\$3,375
Partners (TBD)	\$2,833	\$2,260	\$1,941	\$7,135
<b>Total</b>	<b>\$4,009</b>	<b>\$3,653</b>	<b>\$2,955</b>	<b>\$10,617</b>

## 5.2 Detailed Budget

Table 38: Detailed R-PP Budget

R-PP IMPLEMENTATION BUDGET (2012-2014) (US\$ "000")						
Summary of Activity and Schedules for National Readiness Management Arrangements Activities and Budgets (US\$)						
Main Activity	Sub-Activity	Estimated Cost (US\$ "000")				Total
		Lead	2012	2013	2014	
Engage the National Policy Committee on Environment	Convene meetings, prepare information and briefings	OPM	0	-	-	-
National Focal Point — establish and operationalize the National Focal Point	Office costs...office space, personnel, travel, communications, office supplies, capacity strengthening	FSSD	10	11	12	33
National Focal Point personnel Costs...	Hiring technical personnel and associated costs	FSSD	36	38	40	114
National Technical Committee Costs...	Formation of the NTC , meeting and operations costs	FSSD	6	6	6	18
Taskforces Costs...	Formation of Taskforces, meeting and operations costs	FSSD	8	8	8	24
R-PP Implementation Coordination and supervisions	REDD Steering Committee... .. formation of RSC, meeting and operations costs	MoWE	2	2	2	6
<b>Total</b>			<b>\$62</b>	<b>65</b>	<b>68</b>	<b>195</b>
Domestic Government		US\$	US\$ 10	US\$ 10	US\$ 10	US\$ 30
FCPF		US\$	US\$ 52	US\$ 55	US\$58	US\$ 165
UN-REDD Programme (if applicable)		US\$	US\$	US\$	US\$	US\$

Other Development Partner 1 (name)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 2 (name)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 3 (name)		US\$	US\$	US\$	US\$	US\$
<b>Summary of Activity Plan and Schedule for for implementation of the REDD-plus Consultation and Participation Plan and Budget</b>						
Main Activity	Sub-Activity	Estimated Cost (US\$ "000")				
		Lead	2012	2013	2014	Total
<b>Setting up the Consultation and Participation structure and enhancing awareness of various stake holders on REDD-plus</b>						
1. Identify, recruit and retain a National Consultation and Participation Facilitator	<ul style="list-style-type: none"> <li>✓ Develop Terms of Reference for the National Consultation and Participation Facilitator</li> <li>✓ Recruit National Consultation and Participation Facilitator</li> <li>✓ Commission National Consultation and Participation Facilitator</li> <li>✓ Retain the National Consultation and Participation Facilitator</li> <li>✓ Supervise National Consultation and Participation Process</li> </ul>	FSSD/REDD-plus Secretariat	75	90	90	255
2. Constituting and training of the Consultation and Participation Taskforce,	<ul style="list-style-type: none"> <li>✓ Convene a Meeting to discuss and constitute the C&amp;P task force and their TOR</li> <li>✓ Undertake a training of the C&amp;P task force. Publicized the C&amp;P task force through the media, REDD-plus website and brochures</li> </ul>	REDD-plus Steering Committee	50			50

3. Organizing consultative meetings at all levels to validate the C&P structures.	<ul style="list-style-type: none"> <li>a. Undertake a Mapping of existing platforms (20)</li> <li>b. Convene 16 consultative meetings to Identifying representatives of the consultative National and regional forums (250).</li> <li>c. Convene Meetings to Present reports to the Technical committee, and the Steering committee for review and approval (30)</li> <li>d. Publicize the representatives through the media at the appropriate channels and levels (5)</li> </ul>	Secretariat together with C&P task force	315			315
4. Conducting trainings of the identified representatives of the regional and national platforms.	<ul style="list-style-type: none"> <li>✓ Sector specific trainings to build capacity and enhance coordination of REDD-plus integration among key government agencies and ministries.</li> <li>✓ Breakfast meetings targeting high level policy makers, development partners and representatives from the private sector</li> <li>✓ Training of various civil society groups including those focusing on; gender, marginalized groups, cultural institutions, environmental issues and human rights.</li> </ul>	Secretariat together with C&P task force	285			285
5. Engaging in communication initiatives (main costs budgeted under awareness and communication) to complement the trainings materials and results	<ul style="list-style-type: none"> <li>✓ Engaging in communication initiatives (here support functions only; main budget under the awareness and communications strategy)</li> </ul>	Secretariat together with C&P task force		30		30
<b>Facilitating consultations to discuss the key issues emerging from the expert assessments</b>						-
6. Undertaking a participatory process of developing the, tools and approaches for expert assessments;	<ul style="list-style-type: none"> <li>✓ Meetings with C&amp;P task force including gender experts to review TOR for the expert assessments to ensure they integrate social aspects</li> </ul>	Secretariat, C&P task force, Experts in developing TORs and tools,		75		75

7. Facilitate the Participatory consultations of expert assessments	<ul style="list-style-type: none"> <li>✓ Convening national inception platforms for to inform expert assessments</li> <li>✓ Convene 15 regional expert inception meetings to inform expert assessments</li> <li>✓ Communicate key issues through Media and other appropriate communication channels</li> </ul>	Secretariat with Task forces		250		250
8. Convene the various regional and national platforms to discuss and validate the outcomes of the expert assessments.	<ul style="list-style-type: none"> <li>✓ Communicating outcomes of consultations and assessments through different media and languages</li> </ul>	Secretariat with Task forces		250		250
9. Using communication initiatives to support the entire assessment process for continuous contribution, feedback and monitoring by stakeholders.	<ul style="list-style-type: none"> <li>✓ Using communication initiatives to support the entire assessment process for continuous contribution, feedback and monitoring by stakeholders.</li> </ul>	Secretariat in collaboration with various media houses	20	20	10	50
<b>Facilitating stakeholder input into the design, consolidation and validation of the National REDD-plus Strategy</b>						-
10. Convening regional level meetings to discuss the draft national REDD-plus strategy and ensure that it integrates the agreed positions from the consultations and expert assessments.	<ul style="list-style-type: none"> <li>✓ Regional level meetings to discuss the draft national REDD-PLUS strategy and ensure that it integrates the agreed positions from the consultations and expert assessments</li> </ul>	Secretariat and task forces			200	200
11. Facilitating discussions targeting specific government agencies and ministries to discuss the draft national REDD-plus strategy	<ul style="list-style-type: none"> <li>✓ Discussions targeting specific government agencies and ministries to discuss the draft national REDD-PLUS strategy</li> </ul>	Secretariat and task forces			50	50
12. Convening consultative workshops for the private sector to discuss the draft strategy.	<ul style="list-style-type: none"> <li>✓ Consultative workshops for the private sector to discuss the draft strategy.</li> </ul>	Secretariat and C&P task forces			50	50
13. Conducting civil society consultations to discuss the national draft REDD-PLUS strategy	<ul style="list-style-type: none"> <li>✓ Civil society consultations to discuss the national draft REDD-PLUS strategy</li> </ul>	Secretariat and task forces			50	50
14. Convene a high level policy makers meeting to discuss the draft report.	<ul style="list-style-type: none"> <li>✓ High level policy makers meeting to discuss the draft report.</li> </ul>	Secretariat and task forces			45	45

15. Consolidating the final REDD-PLUS strategy.	<ul style="list-style-type: none"> <li>✓ A meeting to review the strategy by C&amp;P task force ensuring that all issue are integrated</li> <li>✓ Submitting to the Steering Committee for approval/adoption by the Ministry of Water &amp; Environment (government of Uganda).</li> </ul>	Secretariat, technical committee and task forces			25	25	
16. Disseminating and communicating final strategy to relevant stakeholders and partners at all levels. To be supported by the Communication plan	<ul style="list-style-type: none"> <li>✓ Disseminating and communicating final strategy to relevant stakeholders and partners at all levels. To be supported by the Communication plan</li> </ul>	Secretariat and media houses			40	40	
17. Monitoring effectiveness of Stakeholder engagement	<ul style="list-style-type: none"> <li>✓ Develop and apply M&amp;E tools</li> </ul>	Secretariat together with C&P task force	4	8	12	24	
<b>Total</b>			<b>\$749</b>	<b>\$723</b>	<b>\$572</b>	<b>\$2,044</b>	
Domestic Government			US\$	US\$ 5	US\$7	US\$ 6	US\$ 18
FCPF			US\$	US\$ 100	US\$ 120	US\$ 100	US\$ 320
UN-REDD Programme (if applicable)			US\$	US\$	US\$	US\$	US\$
Other Development Partner 1 (name)			US\$	US\$	US\$	US\$	US\$
Other Development Partner 2 (name)			US\$	US\$	US\$	US\$	US\$
Other Development Partner 3 (name)			US\$	US\$	US\$	US\$	US\$
<b>Summary Activity Plan and Schedule for implementation of the Awareness and Communication Strategy</b>							
Main Activity	Sub-Activity	Estimated Cost (US\$ "000")					
		Lead	2012	2013	2014	Total	



<p>1. Identify and recruit and retain a National Facilitator for Implementation the Awareness and Communication Strategy</p>	<ul style="list-style-type: none"> <li>✓ Develop Terms of Reference for the National Facilitator for Implementation the Awareness and Communication Strategy</li> <li>✓ Recruit National Facilitator for Implementation the Awareness and Communication Strategy</li> <li>✓ Commission National Facilitator for Implementation the Awareness and Communication Strategy</li> <li>✓ Retain the National Facilitator for Implementation the Awareness and Communication Strategy</li> <li>✓ Supervise National Facilitator for Implementation the Awareness and Communication Strategy</li> </ul>	<p>FSSD/REDD-plus Secretariat</p>	<p>32.5</p>	<p>45</p>	<p>45</p>	<p>122.5</p>
<p>2. <b>Action 1:</b> Internal communication Program</p>	<ul style="list-style-type: none"> <li>✓ Produce and disseminate briefing materials (25)</li> <li>✓ Plan and organize briefing meetings (20)</li> <li>✓ Prepare and produce progress newsletter (24)</li> <li>✓ Provide orientation and training (21)</li> </ul>	<p>National Facilitator</p>	<p>60</p>	<p>15</p>	<p>15</p>	<p>90</p>
<p>3. <b>Action 2:</b> Advocacy and outreach program</p>	<p>Produce and disseminate information materials (50)</p> <p>Convene and organize a REDD-plus conference for Technical and opinion leaders at the national, Regional and local levels (150)</p> <p>Plan and organize regional workshops for opinion leaders ((Including East African regional meetings for trans-boundary learning and experience sharing) (150)</p> <p>Plan and organize community level meetings (240)</p> <p>Hold meetings of Parliamentarians (30)</p>	<p>National Facilitator</p>	<p><b>210</b></p>	<p>205</p>	<p>205</p>	<p>620</p>

<p>4. <b>Action 3:</b> Public information program (targeting relevant local, indigenous and forest dependent communities)</p>	<ul style="list-style-type: none"> <li>✓ Produce information materials, advertorials, radio and TV infomercials (20) REDD-plus Website (30)</li> <li>✓ Coordinate media placement (10) Place advertorials in the print and electronic media (100)</li> <li>✓ Radio/TV shows for target audience (50) Music, Dance and Drama (production and performance) (70)</li> <li>✓ Social media (20)</li> <li>✓ Community meetings (560)</li> <li>✓ Promotional material printed in local languages (50)</li> <li>✓ Public events (30)</li> <li>✓ Novel ideas (30)</li> </ul>	<p>National Facilitator</p>	<p>350</p>	<p>320</p>	<p>300</p>	<p>970</p>
<p>5. <b>Action 4:</b> Capacity building for media</p>	<ul style="list-style-type: none"> <li>✓ Produce and disseminate media kits on REDD-plus (30)</li> <li>✓ Organize national and regional media training workshops (75)</li> <li>✓ Editorial briefings, Press briefing notes and releases (30)</li> <li>✓ Radio and TV Programs (25)</li> <li>✓ News items on TV and radio (25)</li> <li>✓ Articles in the print media (50)</li> <li>✓ Case studies of Successful REDD-plus management initiatives in Uganda and Africa (50)</li> </ul>	<p>National Facilitator</p>	<p>100</p>	<p>100</p>	<p>85</p>	<p>285</p>

6. <b>Action 5:</b> Capacity strengthening	<ul style="list-style-type: none"> <li>✓ Capacity needs assessment (30)</li> <li>✓ Hold orientation workshop for top sector management (15)</li> <li>✓ Strengthen communication offices in sister institutions (50)</li> <li>✓ Use the P&amp;C Taskforce to create a national ‘REDD-plus Communications sub-taskforce’ to provide guidance on flow of information (10)</li> <li>✓ Workshops and seminars for Institutions and ministries with a responsibility on REDD-plus; Public relations and information offices in ministries; and ENR CSOs working on climate change and REDD-plus (75)</li> <li>✓ Meetings of the REDD-plus Communications sub-taskforce (15)</li> <li>✓ Development of Communication guidelines and manuals, including communication planning templates (30)</li> <li>✓ Field visits and study tours by Institutions and ministries with a responsibility on REDD-plus; Public relations and information offices in ministries; and ENR CSOs working on climate change and REDD-plus (75)</li> <li>✓ Cross link relevant websites to portray REDD-plus in Uganda (30)</li> </ul>	National Facilitator	130	100	100	330	
7. Monitoring effectiveness of awareness and communication strategy	✓ Develop and apply M&E tools (40)	Secretariat together with C&P task force	15	10	15	40	
<b>Total</b>			<b>897.5</b>	<b>795</b>	<b>765</b>	<b>2,458</b>	
Domestic Government			US\$	US\$ 2	US\$ 2	US\$ 2	US\$ 6
FCPF			US\$	US\$ 28	US\$ 5	US\$ 5	US\$ 38

UN-REDD Programme (if applicable)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 1 (name)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 2 (name)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 3 (name)		US\$	US\$	US\$	US\$	US\$
<b>Summary Activity Plan and Schedule for Implementation of the REDD-plus Conflict Resolution and Grievances Management System (CRGMS) and Budget</b>						
Main Activity	Sub-Activity	Estimated Cost (US\$ "000")				
		Lead	2012	2013	2014	Total
1. Identify and recruit and retain a National Facilitator for Implementation the Conflict Resolution and Grievances Management System Strategy	<ul style="list-style-type: none"> <li>✓ Develop Terms of Reference for the National Facilitator for Implementation of the Conflict Resolution and Grievances Management System Strategy (2);</li> <li>✓ Recruit National Facilitator for Implementation the Conflict Resolution and Grievances Management System Strategy (5);</li> <li>✓ Commission National Facilitator for Implementation the Conflict Resolution and Grievances Management System Strategy (2);</li> <li>✓ Retain the National Facilitator for Implementation the Conflict Resolution and Grievances Management System Strategy (75)</li> <li>✓ Supervise National Facilitator for Implementation the Conflict Resolution and Grievances Management System Strategy (12)</li> </ul>	FSSD/REDD-plus Secretariat	28	34	34	96
2. Identify existing and potential conflict and grievances that may hinder successful implementation of R-PP and REDD-plus activities	<ul style="list-style-type: none"> <li>✓ Carry out a baseline survey and document causes and nature of conflicts and grievances (24)</li> <li>✓ Carry out periodic (annual) assessments to detect and identify conflicts and grievances (30)</li> <li>✓ Consultative Workshops with vulnerable stakeholders on the potential C&amp;G (150)</li> </ul>	FSSD/REDD-plus Secretariat	74	65	65	204

<p>3. Identify and utilize mechanisms that can detect, prevent and minimize the escalation of conflicts and grievances.</p>	<ul style="list-style-type: none"> <li>✓ Develop and implement a robust communication strategy (done under the communication)(0)</li> <li>✓ Develop a consultative and participation (done under the C&amp;P)(0)</li> <li>✓ Develop and disseminate the complaints procedure (30);</li> <li>✓ Designate an institutional administrative office for the conflicts and grievances mechanism (30);</li> <li>✓ Operationalize the national and sub-national forestry stakeholder’s consultative forum and organize annual forums (120)</li> <li>✓ Operationalize the Forest Committees with clear TOR (560)</li> </ul>	<p>FSSD/REDD-plus Secretariat</p>	<p>740</p>			<p>740</p>
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<p>4. Strengthen policy and institutional framework for managing grievances and Conflicts that may inhibit REDD-plus implementation</p>	<ul style="list-style-type: none"> <li>✓ Carry out comprehensive legal and policy analysis to establish the gaps and inconsistencies (30)</li> <li>✓ Develop and strengthen existing policy and legal instruments- support the finalization of the Land Policy (45);</li> <li>✓ Develop and strengthen existing policy and legal instruments-support the preparation of Benefit Sharing in the ENR (forestry) sector (90);</li> <li>✓ Train judicial officers and non-judicial staff of institutions that manage conflicts and human right violations (50);</li> <li>✓ Use the P&amp;C Taskforce to create a to establish an expert consultation team as part of the thematic task force (50);</li> <li>✓ Encourage and support civil society initiatives that support REDD-plus activities (50);</li> <li>✓ Review the strategy for compliance with requirements for Conflict Resolution and Grievances Management System (15);</li> <li>✓ Establish a functional and independent multi-stakeholder Conflict Resolution and Grievances Management System (30)</li> </ul>	<p>FSSD/REDD-plus Secretariat</p>	150	100	100	350
<p>5. Monitoring effectiveness of Conflict Resolution and Grievances Management System</p>	<ul style="list-style-type: none"> <li>✓ Develop and apply M&amp;E tools (40)</li> </ul>	<p>FSSD/REDD-plus Secretariat</p>	15	10	15	40
<b>Total</b>			<b>\$1,007</b>	<b>\$209</b>	<b>\$214</b>	<b>\$1,430</b>
Domestic Government			US\$ 0	0	0	0
FCPF			US\$ 139	0	0	US\$ 139
UN-REDD Programme (if applicable)			US\$	US\$	US\$	US\$
Other Development Partner 1 (name)			US\$	US\$	US\$	US\$
Other Development Partner 2 (name)			US\$	US\$	US\$	US\$

Other Development Partner 3 (name)		US\$	US\$	US\$	US\$	US\$
<b>Summary of Activity Plans and Schedule for carrying out Assessment of Land Use, Forest Policy and Governance Activities and Budget</b>						
Main Activity	Sub-Activity	Lead	Estimated Cost (US\$ "000")			
			2012	2013	2014	Total
Updating inventory data on status of forests (biomass inventory)	Carry out forestry mapping and inventory	NFA	200	200	100	500
Review community benefit sharing arrangements and fund channelling arrangements for REDD	Conduct review of ongoing benefits sharing arrangements	National Focal Point	20	0	0	20
	Design and gazette benefit sharing and fund channelling mechanisms	MWE	0	15	0	15
Review of CRM/CFM approaches to improve effectiveness, efficiency and community empowerment	Carry out review	NFA	0	25	0	25
		UWA				-
	Implement recommendations of review on a pilot basis	NFA		10	15	25
		UWA				-
Review policies & laws relevant to REDD-Plus	Carry out review	MWE	5	0	0	5
	Develop Policy reforms paper	MWE	0	15	0	15
Review likley impacts of human settelemnts, urbanization and oil exploration/production on REDD-Plus	Carry out review	MWE/NEMA	0	0	25	25
<b>Total</b>			<b>225</b>	<b>265</b>	<b>140</b>	<b>630</b>
Government			25	65	15	US\$ 105
FCPF			US\$	US\$	US\$	US\$
UN-REDD Programme (if applicable)			US\$	US\$	US\$	US\$
Other Development Partner 1(name)			US\$	US\$	US\$	US\$
Other Development Partner 2 (name)			US\$	US\$	US\$	US\$
Other Development Partner 3 (name)			US\$ 200	US\$	US\$	US\$ 525

			200	125		
<b>Summary Activity Plans and Schedule for Developing REDD-Plus Strategies and Budget</b>						
Main Activity	Sub-Activity	Estimated Cost (US\$ "000")				
		Lead	2012	2013	2014	Total
Assign the task of developing the REDD-Plus Strategy to the relevant task forces	Develop the terms of reference for the task force	REDD Focal Point	2	-	-	2
	Designate task force membership and lead person	REDD Steering	0	-	-	-
Initiate work of the task force	Hold initial task force meetings, develop the work plan for the task force for the R-PP period leading to completion of the task	REDD Focal Point	6	-	-	6
	Assess potential strategic options proposed in the R-PP and assess needs for additional information required to inform the design of the strategy, including proposals for early implementation of pilot or demonstration activities	REDD Focal Point	5	-	-	5
	Designate experts and collect additional information and perform the analyses required	REDD Steering	50	-	-	50
	Select strategies and activities for piloting and testing.	REDD Steering	8	-	-	8
Hold consultative workshops to ensure stakeholder involvement	Hold consultative workshops to ensure stakeholder involvement	REDD Focal Point	30	30	30	90
Begin early implementation of pilot strategies	Finalise plans for early implementation activities and carry SESA on the proposed activities	REDD Focal Point	0	-	30	30
	Approval by National REDD+ Steering Committee for implementation of the activities proposed	REDD Steering	0	5	5	10
	Establish the mechanisms on the ground for coordination and management of the proposed activities to ensure appropriate accounting, oversight, and transparency in the implementation of the activities	REDD Focal Point	35	40	50	125



	Implement activities in the Strategy (to be cross-linked with other component budgets but may include: addressing drivers, assuring co-benefits, setting appropriate SMF standards, law enforcement, institutional support, and integration in other sectoral programs)	Implementing Agencies	210	250	250	710
Evaluate and monitor outcomes of early implementation activities	a. Design a TOR and contract an external consultant to the Task Force to evaluate the outcomes and lessons learned	REDD Focal Point	0	-	40	40
	b. Generation of progress reports from implementation activities, and in due course final reports assessing the impacts (cross-linked with the Focal Point costs)	REDD Focal Point	0	-	-	-
Develop and finalise the National REDD-Plus Strategy	a. Carry out economic analysis to determine cost effectiveness of the proposed REDD-Plus strategies on a national scale	REDD Focal Point	20	-	20	40
	b. Carry out evaluation and consultation workshops, incorporate feedback	REDD Focal Point	20	30	40	90
	c. Review the institutional structures for suitability for implementing the proposed strategies	REDD Focal Point	5	-	-	5
	d. Finalise the Draft Strategy for review by the National Steering Committee and stakeholder groups (cross-linked with the Focal Point costs)	REDD Focal Point	0	-	-	-
	e. Endorsement of the Strategy by REDD-Plus Steering Committee (cross-linked with other REDD Steering Committee Costs)	REDD Steering committee	0	-	-	-
Publicise the approved strategy	Publicity and awareness activities to inform the public and stakeholders of the approved REDD+ Strategy for Uganda	REDD Focal Point	0	-	-	-
Assign the task of developing the Risk Assessment and management Framework	Finalize the terms of reference for the task force	REDD Focal Point	2	-	-	2
	Designate Task force membership and lead person	REDD Steering	0	-	-	-
Undertake the assessment and develop mitigation	Assessment of Risks and define mitigation	TaskForce	20			

measures and implementation requirements	measures			20	50	90
	Define Implementation requirements (including integration into ESMF)	TaskForce	0	-	15	15
<b>Total</b>			413	375	530	1,318
Domestic Government		US\$	0	0	0	0
FCPF		US\$	US\$ 161	US\$ 205	US\$ 185	US\$ 461
UN-REDD Programme (if applicable)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 1 (name)		US\$	US\$ 250	US\$ 250	US\$ 290	US\$ 790
Other Development Partner 2 (name)		US\$	US\$ 22	US\$ 20	US\$ 65	US\$ 107
Other Development Partner 3 (name)		US\$	US\$	US\$	US\$	US\$
<b>Summary Activity Plan and Schedule for developing REDD Implementation Framework and Budget</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (US\$ "000")</b>				
Develop REDD Implementation Framework		Lead	2012	2013	2014	Total
	Situational analysis – policy legal and institutional set up	REDD Focal Point	5			5
	Consultation scoping and analysis of changes needed	REDD Focal Point	0	10	-	10
	Assessment of options for fund management	REDD Focal Point	0	30	-	30
	Consolidation and writing of the strategic and detailed vision	REDD Focal Point	0	-	5	5
	Writing of draft texts of reform	REDD Focal Point	0	-	5	5
	Study on required management capacity and skills	REDD Focal Point	25	25	-	50
	Supporting the first implementation phase of the programme	REDD Focal Point	0	-	100	100
	Training and lobbying	REDD Focal Point	0	30	30	60
	Consultations and completion of legal texts	REDD Focal Point				

				30	30	60	
	Institutional administrative costs	REDD Focal Point	20				
				20	20	60	
	Monitoring of the implementation	REDD Focal Point	0	-			
					30	30	
<b>Total</b>			<b>50</b>	<b>145</b>	<b>220</b>	<b>415</b>	
Domestic Government		US\$	0	0	30	30	
FCPF		US\$	US\$ 50	US\$ 145	US\$ 190	US\$ 385	
UN-REDD Programme (if applicable)		US\$	US\$	US\$	US\$	US\$	
Other Development Partner 1 (name)		US\$	US\$	US\$	US\$	US\$	
Other Development Partner 2 (name)		US\$	US\$	US\$	US\$	US\$	
Other Development Partner 3 (name)		US\$	US\$	US\$	US\$	US\$	
<b>Summary Activity and Schedule for Developing the ESMF and budget</b>							
	<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (US\$ "000")</b>				
Develop ESMF		Develop a coordination mechanism to oversee the development and implementation of the ESMF	REDD Focal Point	10	-	-	10
		Identify a team of multi-disciplinary professionals (preferably registered environmental practitioners) with experience in Social and Environmental assessment for the development of the ESMF	REDD Focal Point	10	-	-	10
		Capacity building conducted on SEA in general and REDD+ SESA principles and practice in particular	REDD Focal Point	30	-	-	30
		Identify sample sites where SESA will be conducted (based on existent ecological zones in Uganda)	REDD Focal Point	60	60	-	120
		Organize 1 stakeholder workshop per ecological zone to refine the pilot ESMF	REDD Focal Point	0	60	-	60
		Develop actual REDD+ ESMF that incorporates multi-stakeholder views (especially those of vulnerable and marginalized groups) in conformity to national and international policy and legislation as well as relevant WB policies	REDD Focal Point	0	15	-	15

	Participatory Monitoring and Evaluation at specified periods throughout the ESMF development process	REDD Focal Point	20	20	20	60
<b>Total</b>			<b>\$130</b>	<b>155</b>	<b>20</b>	<b>305</b>
Domestic Government		US\$	0	0	0	0
FCPF		US\$	US\$ 130	US\$ 155	US\$ 20	US\$ 305
UN-REDD Programme (if applicable)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 1 (name)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 2 (name)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 3 (name)		US\$	US\$	US\$	US\$	US\$
<b>Summary Activity Plan and Schedule for developing Reference Level and Budget</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (US\$ "000")</b>				
		<b>Lead</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>Total</b>
Design and Coordination		REDD Focal Point	5	5	5	15
Capacity building		REDD Focal Point	20	20	-	40
Evaluate and modify the NBS	Accuracy assessment of NBS	REDD Focal Point	5	-	-	5
	Methodology modification to match REDD-Plus requirements	REDD Focal Point	25	25	-	50
Remote sensing data (gather and process activity data)	Acquisition of equipment (hardware & software)	REDD Focal Point	0	100	-	100
	Acquisition of remote sensing data	REDD Focal Point	0	250	-	250
	Data processing, analysis & interpretation	REDD Focal Point	0	-	70	70
	Accuracy assessment	REDD Focal Point			10	10
Field inventory (gather and evaluate emission data)		REDD Focal Point	50	30	20	100

Historical emissions	Combination of activity and emission data	REDD Focal Point	0	-	5	5
Reference level including peer review	National Reference level	REDD Focal Point	0	10	-	10
	Selection of hot spots and develop 1-2 sub-national reference scenarios	REDD Focal Point	0	-	10	10
<b>Total</b>			<b>\$105</b>	<b>440</b>	<b>120</b>	<b>665</b>
Domestic Government		US\$	0	0	0	0
FCPF		US\$	US\$ 105	US\$ 190	US\$ 120	US\$ 415
UN-REDD Programme (if applicable)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 1 (name)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 2 (name)		US\$	US\$	US\$ 250	US\$	US\$ 250
Other Development Partner 3 (name)		US\$	US\$	US\$	US\$	US\$
<b>Summary Activity Plan and Schedule for developing MRV and Budget</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (US\$ "000")</b>				
Coordination			2012	2013	2014	Total
			5	5	-	10
Objectives and standards of the monitoring system			20		20	40
Capacity building	Monitoring at district level		50		-	50
	Training on evaluation of high resolution remote sensing data		25	25	-	50
	Pilot projects for community monitoring			20	-	20
	Training on data management		10	10	40	60
Development of monitoring plan	Develop set of indicators and measurement methodologies for monitoring of emissions and removal		50	50	-	100

	Selection of methodology and tools		0	30	-	30
	Development of procedures and work plans		0	20	-	20
Development of reporting system	Design of data management system		0	40	20	60
	Integration of REDD+ projects		0	-	20	20
System review	Equipment		0	30	40	70
<b>Total</b>			<b>\$160</b>	<b>230</b>	<b>140</b>	<b>530</b>
Domestic Government		US\$	0	0	0	0
FCPF		US\$	US\$ 160	US\$ 230	US\$ 140	US\$ 530
UN-REDD Programme (if applicable)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 1 (name)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 2 (name)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 3 (name)		US\$	US\$	US\$	US\$	US\$
<b>Summary Activity Plans and Schedule for developing Monitoring plan for Multiple benefits, other Impacts and Governance</b>						
Main Activity	Sub-Activity	Estimated Cost (US\$ "000")				
		Lead	2012	2013	2014	Total
Establish and facilitate Taskforce		Implementing Institution	5	5	-	10
Define Objectives and standards of the monitoring Multiple benefits, Other impacts and Governance		National Technical Committee	20	0	20	40
Capacity building for developing and applying the monitoring system	Assess and develop capacity building programmes for the district	Implementing Institution	50	0	0	50
	Capacity building for districts	Implementing Institution	25	25	0	50
	Capacity building for community monitoring	Implementing Institution	0	20	0	20

	Training on data management	Implementing Institution	10	10	40	60
Development of monitoring plan	Assessing and reviewing any existing monitoring systems of multiple benefits & Selecting multiple benefits to include in the Monitoring system	Implementing Institution	50	50	0	100
	Describe how the monitoring system will address key governance issues pertinent to REDD-plus implementation	Implementing Institution	0	30	0	30
	Development of procedures Stakeholder participation and for assessing social and environmental impacts	Implementing Institution	0	20	0	20
Development of reporting system	Design procedures for reporting	Implementing Institution	0	40	20	60
	Define measures and procedurs for integration of REDD+ projects	Implementing Institution	0	0	20	20
Installing systems	Equipment	Implementing Institution	0	30	40	70
<b>Total</b>			<b>160</b>	<b>230</b>	<b>140</b>	<b>530</b>
Domestic Government		US\$	0	0	0	0
<b>FCPF</b>		US\$	US\$ 160	US\$ 230	US\$ 140	US\$ 530
UN-REDD Programme (if applicable)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 1 (name)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 2 (name)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 3 (name)		US\$	US\$	US\$	US\$	US\$
<b>Summary of Programme M&amp;E Activities and Budget</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (US\$ "000")</b>				

		Lead	2012	2013	2014	Total
Finalize and adopt the M&E Framework	Convene meeting to adopt the M&E	National Focal Point	1	0	0	1
	Design M&E Integration framework and systems/tools into Implementing Institutions M&E Systems	National Focxal Point	5			5
M&E Framework Implemenation/enforcement	Conduct Capacity building for M&E	National Focal Point	5			5
	Install systems for M&E	National Focal Point	20			20
	Implement the M&E	National Focal Point	5	5	5	15
Reporting and Feedback	Prepare and issue semi-annual and annual Programme reports	National Focal Point	1	1	1	3
	Convene Forums for sharing/learning and feedback into the R-PP Process – national level	National Focal Point	5	5	5	15
	Convene Forums for sharing/learning and feedback into the R-PP Process – regional level	National Focal Point	5	5	5	15
	Participate in Forums out of Country	National Focal Point	3	5	10	18
<b>Total</b>			<b>50</b>	<b>21</b>	<b>26</b>	<b>97</b>
Domestic Government		US\$	0	0	0	0
<b>FCPF</b>		US\$	US\$ 50	US\$ 21	US\$ 26	US\$ 97
UN-REDD Programme (if applicable)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 1 (name)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 2 (name)		US\$	US\$	US\$	US\$	US\$
Other Development Partner 3 (name)		US\$	US\$	US\$	US\$	US\$
<b>TOTAL</b>						<b>10,617</b>



## COMPONENT 6: DESIGN A PROGRAMME MONITORING AND EVALUATION FRAMEWORK

### Design a Program Monitoring and Evaluation Framework

The R-PP adequately describes the indicators that will be used to monitor program performance of the Readiness process and R-PP activities, and to identify in a timely manner any shortfalls in performance timing or quality. The R-PP demonstrates that the framework will assist in transparent management of financial and other resources, to meet the activity schedule.

The R-PP implementation monitoring aims at providing a regular overview of the progress of implementation of activities in terms of in-put delivery, work schedules and planned outputs/targets. It also involves routine information gathering, analysis and reporting to Lead Ministry and Implementing institutions, development partners, communities and other stakeholders. Evaluation will represent a systematic and objective assessment of R-PP activities in terms of their design, implementation and results.

The R-PP Monitoring and Evaluation Framework focus on:

- a) Promoting accountability for the achievement of R-PP objectives through the assessment of actions, results, effectiveness, processes, and performance of the Implementing institutions involved in R-PP implementation.
- b) Promoting learning, feedback, and information sharing on results and lessons learned among the R-PP Implementing institutions.

The specific objectives for applying a monitoring and evaluation framework are to:

- a) Provide key stakeholders with the information needed to guide the R-PP implementation towards achieving its goals and objectives.
- b) Provide early contingency plan for the likely problematic activities and processes that need collective action.
- c) Help empower Implementing Institutions by creating opportunities for them to reflect critically on the R-PP direction and interventions.
- d) Provide a basis for systematically collecting and analyzing information on the changes arising from R-PP activities.
- e) Ensure accountability and value for money (upward accountability to the Government/donor) and downward accountability to the beneficiary local communities and implementing

### 6.1 M&E Framework implementation modalities and responsibilities

The day to day responsibility for implementing the R-PP M&E Framework will be undertaken by the REDD-Plus National Focal Point. This task will be assisted by:

- a) REDD-Plus Steering Committee which shall oversee the implementation of M&E Framework.
- b) Implementing Institutions who shall be responsible for monitoring the progress of R-PP component activities and giving feedback to REDD-Plus National Focal Point.

- c) Beneficiary communities' representatives who shall be responsible for supporting communities in implementing community level monitoring indicators in collaboration with REDD-Plus National Focal Point

## **6.2 Information management system and procedures**

Information and experiences on R-PP performance will be disseminated internally – among REDD-Plus Implementing Institutions – and through additional dissemination workshops/meetings arranged as necessary and through relevant, media and publications. R-PP partners, participating communities and donor(s) will receive summaries of reports to keep them abreast about work progress. They will also receive other publications whenever available. Wider audiences will be reached through additional dissemination achieved by posting of pertinent information on relevant websites.

## **6.3 Reporting and accountability**

On a semi-annual basis, REDD-Plus National Focal Point, in collaboration with REDD- Plus Steering Committee, shall prepare and submit to the Lead Ministry progress reports on activities and targets. The second semi-annual report will also comprise the annual status report for the concluding year.

R-PP implementation progress is liable to face challenges and shortcomings that may affect achievement of the set targets qualitatively and quantitatively. The REDD-Plus Steering Committee shall, based on the monitoring results and responses from the Lead Ministry and implementing institutions, cause adjustments of the M&E framework to reflect realities on the ground.

## 6.4 The Monitoring and Evaluation Framework

Table 39: The M&E Framework

Component	Activity/ Undertaking	Output	Key Indicator(s)	MoV	2012	2013	2014
Component 1a	Establish and operationalize R-PP implementation structures.	R-PP Implementation Structures in place and functioning well by end of 1 <sup>st</sup> quarter 2012 and throughout the entire R-PP implementation.	<ul style="list-style-type: none"> <li>✓ Confirmed R-PP Implementation Structure with clearly defined roles</li> <li>✓ Composition of the Coordination and Supervision structures representing stakeholders</li> <li>✓ R-PP Secretariat in place at FSSD</li> <li>✓ Equipments and facilities availed to the R-PP Secretariat</li> </ul>	<ul style="list-style-type: none"> <li>✓ Appointment letters (and terms of reference) for members to the Steering Committee, National Technical Committee</li> <li>✓ Number of and quality of outputs from business sessions</li> <li>✓ Composition of R-PP Secretariat</li> <li>✓ Observations of facilities and equipments availed to Secretariat</li> </ul>	x		
	Facilitating functioning of the Coordination and supervision processes	Well Coordinated and Supervised R-PP implementation  Stakeholder ownership and participation in R-PP implementation	<ul style="list-style-type: none"> <li>✓ Level and quality of services and inputs provided by the Coordination and supervisions processes</li> <li>✓ Letters assigning responsibilities and tasks</li> </ul>	<ul style="list-style-type: none"> <li>✓ REDD-Plus National Focal Point reports and other records</li> <li>✓ REDD-Plus Implementing Partners reports and other</li> </ul>	x	x	x

Component	Activity/ Undertaking	Output	Key Indicator(s)	MoV	2012	2013	2014
			<p>issued to various Implementing institutions</p> <p>✓ Progress and Financial reports submitted to National Focal Point by Implementing Institutions</p> <p>✓ Progress and financial reports submitted by National Focal Point to REDD Steering Committee</p>	records			
Component 1c	Develop Consultations and Participation Strategy	Strategies and actions for conducting consultations and facilitating participation of stakeholders by end of 1 <sup>st</sup> Quarter 2012	<p>✓ Quality of Strategies and actions describe in the Strategy</p>	✓ Strategy Document	x		
	Awareness and Communication Strategy	Strategies, actions, messages and tools for raising awareness and communicating about REDD-Plus and R-PP implementation by end of 1 <sup>st</sup> Quarter 2012	<p>✓ Quality of awareness and communications actions described in the Strategy</p> <p>✓ Communication messages disseminated</p>	✓ Strategy Document	x		

Component	Activity/ Undertaking	Output	Key Indicator(s)	MoV	2012	2013	2014
	Stakeholder Consultations and Participation	Stakeholder engagement in R-PP implementation  Stakeholders aware of REDD-Plus and R-PP implementation process	<ul style="list-style-type: none"> <li>✓ Types and levels of Stakeholder participation</li> <li>✓ Quality of engagement and inputs from Stakeholders</li> <li>✓ Extent of integrating Stakeholder inputs into REDD – Plus Strategy</li> </ul>	<ul style="list-style-type: none"> <li>✓ Reports on Stakeholder participation</li> <li>✓ Reports on responses and inputs from Stakeholders</li> <li>✓ REDD-Plus and R-PP messages disseminated</li> <li>✓ REDD-Plus Strategy Document</li> </ul>	x	x	x
	Develop Conflicts Resolution and Grievances Management Strategy	Strategies and actions for addressing conflicts and grievances arising out of REDD-Plus and R-PP implementation by end of 1 <sup>st</sup> Quarter 2012	<ul style="list-style-type: none"> <li>✓ Quality of Strategies and mechanisms for managing conflicts and grievances</li> </ul>	<ul style="list-style-type: none"> <li>✓ Strategy Document</li> </ul>	x		
Component 2a	Complete assessment of Land use, Forest Policy and Governance	Updated Status report on trends in Land use, Forest Policy and Governance	<ul style="list-style-type: none"> <li>✓ Quality of information in the assessment report</li> </ul>	<ul style="list-style-type: none"> <li>✓ Report of trends in Land use, Forest Policy and Governance</li> </ul>			x

Component	Activity/ Undertaking	Output	Key Indicator(s)	MoV	2012	2013	2014
Component 2b	Development of REDD-Plus Strategies	Approved REDD-Plus Strategies for Uganda by end of 2014	<ul style="list-style-type: none"> <li>✓ Quality and adequacy of the REDD-Plus Strategies</li> <li>✓ Extent of ownership and knowledge of the Strategies countrywide</li> </ul>	<ul style="list-style-type: none"> <li>✓ Uganda REDD-Plus Strategy Document</li> <li>✓ Media reports and other forms of reporting on Uganda's preparedness for REDD-Plus</li> </ul>			x
Component 2c	Develop REDD Implementation Framework	Approved Implementation Framework by end of 2014	<ul style="list-style-type: none"> <li>✓ Description of Implementation Framework</li> </ul>	<ul style="list-style-type: none"> <li>✓ Records of Steering Committee decision on Implementation Framework</li> </ul>		x	x
		National Capacity for implementing REDD –Plus Strategy (Institutional, Policy, facilities, personnel, systems and procedures)	<ul style="list-style-type: none"> <li>✓ Institutional structures and processes established for REDD-Plus implementation</li> <li>✓ Tools, systems and procedures for implementation</li> <li>✓ Capacity within REDD-Plus National Focal Point and Implementing Institutions to implement REDD –Plus Strategy</li> </ul>	<ul style="list-style-type: none"> <li>✓ Documents and Reports of approved Tools, Systems and procedures</li> <li>✓ Record of decisions approving institutional processes and structures,</li> <li>✓ Staff and institutional capacities built and Facilities provided for REDD-Plus implementation</li> </ul>	x	x	x
Component 2d	Develop ESMF	ESMF for Uganda's REDD –Plus Strategy by end of 1 <sup>st</sup> quarter 2012	<ul style="list-style-type: none"> <li>✓ Description of the Environmental and Social issues and safeguards</li> </ul>	<ul style="list-style-type: none"> <li>✓ Approved ESMF document</li> </ul>	x		

Component	Activity/ Undertaking	Output	Key Indicator(s)	MoV	2012	2013	2014
		Capacity to implement ESMF	<ul style="list-style-type: none"> <li>✓ Capacity to apply ESMF</li> <li>✓ Monitoring and Evaluation systems for ESMF</li> </ul>	<ul style="list-style-type: none"> <li>✓ Documents containing approved Tools, Systems and procedures for monitoring and evaluating ESMF</li> <li>✓ Staff and institutional capacities built and Facilities provided for ESMF implementation</li> </ul>		x	x
Component 3	Develop Reference Levels for Uganda	Data/information on Uganda's Future Scenario by end of 2013	<ul style="list-style-type: none"> <li>✓ Data sets</li> </ul>	<ul style="list-style-type: none"> <li>✓ Document containing data/information on Reference Scenario</li> </ul>	x	x	
		Capacity and facilities for establishing and measuring/monitoring future scenario	<ul style="list-style-type: none"> <li>✓ Human and institutional capacity/facilities</li> </ul>	<ul style="list-style-type: none"> <li>✓ Staff and institutional capacities built and Facilities provided for Measuring and monitoring Future /Reference Scenario</li> </ul>		x	x
Component 4	Design a REDD-Plus Monitoring System (Monitoring, Reporting and Verification)	System and procedures for Monitoring, Reporting and Verifying REDD -Plus activities by end of 2014	<ul style="list-style-type: none"> <li>✓ Quality and adequacy of the MRV System and procedures</li> </ul>	<ul style="list-style-type: none"> <li>✓ Approved MRV Document containing baseline, procedures and systems for MRV</li> </ul>		x	x
		Capacity and facilities for MRV implementation	<ul style="list-style-type: none"> <li>✓ Human and institutional capacity/facilities</li> </ul>	<ul style="list-style-type: none"> <li>✓ Staff and institutional capacities built and Facilities provided for implementing</li> </ul>		x	x

Component	Activity/ Undertaking	Output	Key Indicator(s)	MoV	2012	2013	2014
				MRV Systems and procedures ✓ Information generated from MRV application			
	Design Monitoring System for Multiple benefits, Other impacts and Governance	System and procedures for Monitoring and Reporting by 2-14	✓ Quality and adequacy of the Monitoring System and procedures	✓ Approved Monitoring Document containing baseline, procedures and systems		x	x
Component 5	Develop Implementation Schedule and Budget	R-PP Implementation Schedule and budget prepared by end of 1 <sup>st</sup> quarter 2012	✓ Funding proposals, levels and sources of funding to R-PP implementation ✓ Activity schedules	✓ Funding proposals Documents ✓ R-PP Budget	x		
Component 6	Design Monitoring and Evaluation framework for R-PP implementation	Monitoring and evaluation system and procedures prepared by end of 2012	✓ Quality and adequacy of the M&E System	✓ Approved M&E Framework ✓ Staff and institutional capacities built and Facilities provided for implementing M&E Framework	x		
		Baseline information on R-PP implementation issues and requirements for informing indicators by 2 <sup>nd</sup> half of 2012	✓ Quality and adequacy of the baseline information	✓ Information generated from M&E application	x		



**Table 40: Summary of Programme M&E Activities and Budget**

Main Activity	Sub-Activity	Estimated Cost (US\$ "000")				
		Lead	2012	2013	2014	Total
Finalize and adopt the M&E Framework	Convene meeting to adopt the M&E	National Focal Point	1	0	0	1
	Design M&E Integration framework and systems/tools into Implementing Institutions M&E Systems	National Focal Point	5			5
M&E Framework Implementation/enforcement	Conduct Capacity building for M&E	National Focal Point	5			5
	Install systems for M&E	National Focal Point	20			20
	Implement the M&E	National Focal Point	5	5	5	15
Reporting and Feedback	Prepare and issue semi-annual and annual Programme reports	National Focal Point	1	1	1	3
	Convene Forums for sharing/learning and feedback into the R-PP Process – national level	National Focal Point	5	5	5	15
	Convene Forums for sharing/learning and feedback into the R-PP Process – regional level	National Focal Point	5	5	5	15
	Participate in Forums out of Country	National Focal Point	3	5	10	18
<b>Total</b>			<b>50</b>	<b>21</b>	<b>26</b>	<b>97</b>
Domestic Government		US\$	0	0	0	0
FCPF		US\$	US\$ 50	US\$ 21	US\$ 26	US\$ 97

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## ANNEXES

### 8.1 Annex 1: Composition of Uganda's REDD-Plus Working Group

The REDD Working Group was comprised of the following persons/institutions.

Organization	Name
Government	
Climate Change Unit/Ministry of Water and Environment	Paul Isabirye
Directorate of Water Resources Management	Benon Lwanga
Meteorology Department	Muwembe Khalid
Ministry of Tourism, Trade and Industry	George Owoyesigire
Ministry of Lands, Housing and Urban Development	Muyambi Jotham Zaribwe Julius
Department of Environment Affairs	Mugabi Stephen David
	Byaruhanga Charles
National Environment Management Authority	Kitutu M Goretti
Climate Change Association Network	Kiza Wandera
National Environment Management Authority	Ronald Kagwa
Uganda Timber Growers Association	Robert Nabanyumya
National Forest Authority	Fiona F. Driciru
	Xavier Mugumya
	Rukundo Tom
	IbrahimAbdul
	Rugambwa Dismas
	Elungat Eduke David
Uganda Wildlife Authority	Muhimbura Apophia
Ministry of Energy and Mineral Resources	Ahimbisibwe Michael
Parliamentary Forum on Climate Change-Uganda	Martha M. Bbosa
	David Ebong
	Sauda Mugerwa
	Banyenzaki Henry
	Kubeketerya.J
	Milton Muwuma
	Kubeketerya James
Non –Government (NGOs)	
Advocate Coalition for Development and Environment	Mugenyi Onesmus
African Energy Governance Institute	Akankwasa Sarah
Albertine Rift Conservation Society	Cecily Kabagumya
CARE Uganda	Edith Kabesiime
Climate Change Conference	Benard Namanya

Climate and Development Initiatives	Edward Nyakana
Environmental Alert	Christine Nantongo
Tree Talk	Kiyingi Gaster
Africa Water Governance Institute	Bazira Henry
COFSA	Tabura John
CODCA	Ombedra Jese
UNETCOFA	Brenda Mwebaze
Environment Conservation Trust of Uganda	Kairu Gerald
Environmental Management for Livelihoods Improvements (EMLI)/Bwaise Facility	Bakiika Robert
International union of Conservation of Nature and Natural Resources	Barbara Nakangu
Katoomba Group	Sara Namirembe
Nature Harness Initiative	Richard Mwesigwa
National Association of Professional Environmentalists	Kureeba David
Nature Palace Foundation	David Kintu Nkwanga
Nature Uganda	Achilles Byaruhanga
SWAGEN	Gertrude K. Kenyangi
Uganda Coalition for Sustainable Development	Mwayafu David
Uganda Forestry Association	Ambrose Kyaroki
Uganda Media Trust for Environment	Pathias Karekona
Wildlife Conservation Society	Akweteireho Simon
	Juraj Ujhazy
Worldwide Fund for Nature	David Duli
Academia and Research	
Faculty of Forestry and Nature Conservation, Makerere University	Justine Namaalwa
	Patrick Byakagaba
National Forestry Resources Research Institute	Epila Otara
	Mujuni Dennis
Makerere University Institute of Environment and Natural Resources	John R.S Tabuti
Private Sector	
CADMA	Steve Amooti Nsita
UNIQUE Forestry Company	Kai Windnorist
	Wathum Gilbert
Uganda Carbon Bureau	Bill Farmer

## **8.2 Annex 1(b): Terms of Reference for Strengthening National Capacity and Readiness for REDD-Plus.**

Uganda has completed the preparation of REDD-Plus Readiness Proposals (R-PP) for implementation during 2012-2014. The Proposals identifies capacity gaps within national and local institutions, legal and policy framework as well as specialized skills within the country. Capacity need or gaps encompass systems, tools and procedures for REDD-Plus, information and data, policy guidelines and provisions for certain elements of REDD –Plus (e.g., Carbon rights) and regulations, legal, manpower skills, among others, under respective components of the R-PP.

The R-PP proposes actions to strengthen these capacities as part of the over-all national strategy for becoming ready for REDD-Plus. Actions are described under respective components. However, the following capacity needs are of cross-cutting in nature.

- a) Systems/Tools and procedures for coordinating REDD Plus activities.
- b) Monitoring and evaluating REDD-Plus implementation.
- c) REDD-Plus implementation compliance measures.
- d) Designing and implementing pilot activities.
- e) Assessment of Social and Environmental costs, benefits and implications/impacts of REDD-Plus.
- f) Human skills in REDD-Plus philosophy and practice.
- g) Communicating and messaging REDD and REDD-Plus.
- h) Consultations and participation.
- i) Grievances and Conflicts management.

Uganda government, represented by the Lead Ministry, will mobilize resources and undertake the following actions seeking to address these cross-cutting gaps during the R-PP implementation as follows:

- a) Undertaking Capacity needs assessment and designing Capacity building programme targeting all actors
- b) Outsourcing training and skills development experts to training and impart skills on targeted manpower.
- c) Outsourcing experts to facilitate development of tools, systems and procedures for REDD-Plus implementation, monitoring, coordination and compliance to REDD Standards and requirements.
- d) Outsourcing experts to facilitate development of Awareness and Communications strategy, Consultations and participation Strategy, Grievances and Conflict management Strategy, SESA.

Additionally, the capacity needs associated with development of data and information about Deforestation and forest degradation, Forests Reference Scenario, MRV, Carbon financing and market system, etc. will be during implementation of respective components.



### **8.3 Annex 1(c): Terms of Reference for developing Conflict Resolution and Grievances Management System for REDD-Plus.**

In Uganda, there are grievances and conflicts associated with natural resources management among and between institutions and policies as well as site specific grievances and conflicts usually associated to access, use and control. Broadly, there are conflicts or grievances at different level and scales encompass:

- a) Field level: existing conflicts and grievances relate to control, use and access to forest resources within protected areas. It is probable that conflicts or grievances relating to ownership of carbon credits, tenure of trees, benefit sharing and participation in REDD-Plus activities may arise.
- b) Institutional level: conflicts or grievances relate to participation and sharing of roles and tasks in R-PP implementation among government Agencies and between government agencies and Civil Society organizations and Private Sector. Institutional level conflicts arise due to need to control or acknowledge access, use and interpretation of data and information held by various institutions or whose interpretation infringes on the credibility of some institutions.
- c) Policy level: policy and legal related conflicts arise because of policy/legal gaps related to key REDD-Plus issues such as tenure and ownership of Carbon in Protected Areas, licensing Carbon Trade, Funds channelling, among others.

Several natural resources management based conflicts resolution and grievance management systems are practiced in Uganda. They include the following among others:

- a) Legal and Policy provisions for environment management, forestry, wildlife and wetlands that provide to stakeholder participation in planning and management of these resources; e.g., Collaborative Resources management (under UWA and NFA) or Community-Protected Areas Institutions (under UWA), Guidelines for management planning for Central Forest Reserves (under NFA), among others.
- b) Policy and legal provisions for regulating access and use of resources from protected areas e.g., Guidelines for Concessions in Wildlife Protected Areas, and Permit systems under NFA.
- c) Policy and legal provisions for benefits sharing between protected areas agencies and stakeholders/communities e.g., the 20% benefit sharing under Uganda Wildlife Authority.
- d) Land Tribunals established under the Land Act to arbitrate land disputes and conflicts.
- e) Judicial system that provides for individuals or communities/stakeholders to seek legal redress where their rights and entitlements to environmental quality, goods and services are affected.

The REDD-Plus implementation strategy seeks to build on coordination and supervision provisions entrenched in component 1a, ( Policy harmonization and coordination by the National Policy Committee on Environment; REDD-Plus Steering Committee; National Technical Committee ; Participation on Non-government agencies), develop and apply a Grievances and Conflict Management Strategy to address the following issues of concern, among others:

- a) Ensuring that all factors that may hinder successful implementation of REDD-Plus in Uganda are pointed out and remedies identified.

- b) Putting in place and enforcing measures for detecting and predicting, preventing emergence or minimizing escalation of conflicts and grievances.
- c) Building capacity and systems for conflicts resolution and grievances management, including options for strengthening the application of existing conflict resolutions and grievances management systems.
- d) Safeguarding REDD-Plus investments.
- e) Establishing a multi-stakeholder neutral or independent conflict resolution mechanism.

Under the Over-all guidance and coordination by the REDD Steering Committee, the National Focal Point will commission an undertaking to develop a CGMF, preferably, before the onset of R-PP implementation.

## 8.4 Annex 2: Relationship between R-PP and Forestry Policies and Programmes in Uganda

### 1.1 Relationship between R-PP implementation and Climate Change initiatives and programmes

R-PP focuses on those aspects of Climate Change that relate to forest conservation, sustainable management of forests and enhancement of carbon stocks, non-conversion of natural forests to plantations, rights of indigenous people and effective participation of local people and all stakeholders in planning and management of forestry resources in Uganda. These aspects compliment the principles of the National Forest Policy (2003) and National Forestry and Tree Planting Act (2004). Therefore, the R-PP provides an additional planning tool and source of funding for advancing forestry management in Uganda in this regard.

The R-PP recognizes and seeks to collaborate with a variety of Climate Change initiatives and programmes of government, NGOs, CSOs, Private Sector and general public so as to ensure that appropriate strategies for reducing emissions from deforestation and forest degradation are developed and effectively implemented. The R-PP also seeks to interact with and utilize areas of synergy and complementarities with ongoing and future programmes (Table 1).

Table 1: Relationship between REDD and other Climate Change related programmes (as of December 2010)

Programme area/Category	Location/Scope	Relationship with REDD
Forestry related programmes and activities		
National Development Plan (NDP)	Nationwide	Maintaining Permanent Forest Estate Exploitation of Uganda's natural resources for sustainable development
National Agricultural Advisory Services (NAADS)	Nationwide	Farm forestry Environmental management
Water, Environment and natural Resources Sector Investment Plan (WENR SIP)	Nationwide	Sustainable Forest management Afforestation and forest restorations
National Forest Plan (NFP)	Nationwide	Sustainable Forest Management Improved Forest utilization Development of forest resources endowment
Climate Programmes and Initiatives/Carbon related projects		
National Climate Change Initiative (Coordinated by CCU)	National	Integration of REDD Strategies and actions within over-all national Climate Change Initiative
Parliamentary Climate Change Forum	National	Integration of REDD Strategies and actions of the Parliament and Africa wide network of Parliamentarians
Uganda Carbon Bureau	National, Western	Development of Carbon trade capacity and tools
Nature Harness Initiatives	Western Uganda	Development of Carbon trade capacity....methodologies and tools Research and development in Carbon Demonstration of Carbon trade initiatives at farmer levels
UWA/FACE carbon projects in Kibale and Mt Elgon National	Western Uganda,	Development of Carbon trade capacity (methodologies and tools)

Parks	Eastern Uganda	Capacity and skills enhancements and training Research and development in Carbon Demonstration of Carbon trade initiatives in Protected Areas/National parks
Uganda Coalition for Sustainable Development/ REDD-net Project	National	National Research, Awareness, Advocacy and networking
Environmental Conservation Trust for Uganda (ECOTRUST)	National, Western, Eastern	Demonstration of Carbon trade initiatives at farmer levels
International Union for Conservation of Nature (IUCN)	Eastern/Mt Elgon Regional	Development of Carbon trade capacity....methodologies and tools Capacity and skills enhancements and training
Environmental Alert	West Nile, Central	Demonstration of Carbon trade initiatives at farmer levels Awareness and advocacy
Katoomba Group/Forest Trends	National	Development of Carbon trade capacity (methodologies and tools)
Wildlife Conservation International (WCS)	Northern, Western	Methodologies Data Monitoring
Institute of Tropical Forest Conservation (ITFC)/Mbarara University		Research and development in Carbon

## 1.2 Relationship between R-PP implementation and Forestry Policy for Uganda

### 1.2.1 Relationship with the Forestry Policy

The R-PP derives its legitimacy from the National Forestry Policy (2002) and National Forest Plan (2003) (under revision) (Table 2). Specifically, the R-PP will contribute to the following National Forestry Policy Objectives

Table 2: Relationship with National Forestry Policy Objectives

National Forestry Policy Objective	R-PP linkages/Areas of Contribution
Goal: An integrated forest sector that achieves sustainable increases in the economic, social and environmental benefits from forests and trees by all the people of Uganda, especially the poor and vulnerable.	<i>Increase economic benefits from Carbon market and deliver social and environmental benefits</i>
The Permanent Forest Estate (PFE) will be set aside permanently for the conservation of biodiversity, the protection of environmental services, and the sustainable production of domestic and commercial forest produce.	<i>Sustainable management of forestry estates in protected areas (FRs and NPs)</i>  <i>Partnerships and stakeholders participation in management of PAs and benefit sharing</i>
Government will promote the sustainable management of natural forests on private lands as to maintain the existing national levels of such forest cover. These private forests would be managed within the context of wider integrated land use and expanding agricultural needs for the sustainable production of	<i>Building Carbon stock</i>  <i>Facilitating private land owners to invest for Carbon market</i>

forest resources.	
The private sector will play a major role in developing and managing commercial forest plantations either through large-scale industrial plantations on government or private land, or through small-scale plantations on farms.	<i>Using Carbon market to provide incentives for investment in establishing plantations forests.</i>
A modern, competitive, efficient and well-regulated wood and non-wood processing industry will be promoted in the private sector. They will play the major role in developing and managing the forest products processing industries, and will capture the potential for value addition through high quality processing.	<i>Regulatory framework for key drivers of deforestation and forest degradation (Charcoal, firewood)</i>
Collaborative partnerships with rural communities will be developed for the sustainable management of forests. Government will promote innovative approaches to community participation in forest management and private forest lands, addressing related concerns.	<i>Facilitating local communities to invest for Carbon market</i>
Tree growing on farms will be promoted in all farming systems, and innovative mechanisms for the delivery of forestry extension and advisory services will be developed. Government will promote and support farm forestry in order to boost land productivity, increase farm incomes, alleviate pressures on natural forests and improve food security. Government recognizes the strong unmet demand for farm forestry advice across the country and the need for professional services, to be developed within the national framework	<i>Facilitating local communities/farmers to invest for Carbon market</i>
Uganda's forest biodiversity will be conserved and managed in support of local and national socio-economic development and international obligations. Government's biodiversity conservation strategy will continue to be based on a system of protected areas, including Forest Reserves, National Parks and Wildlife Reserves. Government is a signatory to a number of inter-national agreement and conventions relevant to the forest sector.	<i>Sustainable management/conservation of forestry estates</i>
Watershed protection forest will be established, rehabilitated and conserved. Government will promote the rehabilitation and conservation of forests that protect the soil and water in the country's key watersheds and river systems. Achievements in watershed protection through forestry will result from the adoption of appropriate farm forestry methods on degraded private lands, from the improved management of natural forests on hilly private lands, and from restoration of degraded hills on government (public) lands	<i>Sustainable management/conservation of forestry estates</i>
Government is committed to improving the livelihoods and well-being of urban people by supporting urban forestry and improving the urban landscape and environment. The private and non-governmental sectors will be encouraged to play a major role in the development of urban forestry and be given adequate support and incentives in collaboration with urban authorities	<i>Facilitating private land owners to invest for Carbon market</i>
Government will support sustainable forest sector development through appropriate education, training and research. Government will promote and implement public education programmes to increase awareness and role of forest and trees in the national economy and local livelihoods and the crucial environmental services they provide.	<i>Capacity building for REDD+ and Carbon Market</i>
Innovative mechanisms for the supply of high quality tree seed and improved planting stock will be developed. Government will promote the development of adequate supplies of high quality tree planting material to meet the needs of	<i>Building Carbon Stock</i>

small-scale farmers and large-scale commercial tree growers.	
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### 1.2.2 Relationship with National Forest Plan beneficiaries and targets

The REDD strategy supplements the National Forest Plan by focusing on reducing deforestation and forest degradation through performance-based financing. It aims at designing activities that address deforestation and forest degradation, monitoring of emission reduction, marketing REDD Carbon credits, distributing benefits equitably among stakeholders including the poor and vulnerable, and, engaging partners to implement these activities (Table 3).

Table 3: Relationship with National Forest Plan beneficiaries and targets

NFP targets/beneficiaries	R-PP relationship
Small scale rural producers and users	<i>Facilitating private land owners to invest for Carbon market</i>
Large scale commercial producers and users	<i>Facilitating private land owners to invest for Carbon market</i>
Wood processors	<i>Improve forestry utilization technologies</i>
Institutional producers and consumers	<i>Improve forestry utilization technologies</i>

### 1.3 Relationships with National Development Plan (NDP)

Uganda's 2010-2019 NDP aims to increase forest cover from 3,604,176ha to 4,933,746ha by 2015. It commits to enhance capacity for: i) enforcing forestry law; ii) private tree planting and, iii) farm forestry. The R-PP activities which will involve tree planting and development of tools and methodologies for monitoring impact of REDD-Plus on forestry resources in Uganda contribute to the aims of NDP on forestry and capacity building for forestry resources development and management.

### 1.4 Relationship with Forestry conservation and management programmes

The Uganda REDD-Plus Readiness strategies and actions will seek to add value to following ongoing forestry programmes as shown in Table 4 below.

Table 4: Relationship with Forestry conservation and management programmes

Institution	Forestry Programme	Relationship
National Forest Authority	Management of Central Forest Reserve	Reducing deforestation and forest degradation => maintenance of Performance Forest Estate
	Forestry Resources inventory and mapping	Data /information on trends of deforestation and deforestation

		Data on impact of REDD-Plus on forestry resources
	Technical services to forestry resources management	Tools and methodologies for measuring Carbon and for Carbon Trade
	Plantation development	Investments in Carbon trees
Uganda Wildlife Authority	Protection of Forestry habitats	Reducing deforestation and forest degradation => maintenance of Performance Forest Estate
	Habitat Restoration	Investments in Carbon trees
District Forest Sector Support Department	Enhancing Farm Income from Forestry resources development	Investments in Carbon trees
	Forest conservation	Reducing deforestation and forest degradation => maintenance of Performance Forest Estate
District based Programmes	Management of Local Forest Reserves	Reducing deforestation and forest degradation => maintenance of Performance Forest Estate
	Forestry Resources Development/Extension Services	Investments in Carbon trees
National Agricultural Research Organization (FORRI)	Research and development of forestry resources	Data /information on trends of deforestation and deforestation
		Data on impact of REDD-Plus on forestry resources
MWE/Saw Log Production Grant Scheme (SPGS)	Establishment of Saw log plantations	Investments in Carbon trees

### 1.5 Policy, institutional and legal provisions and requirements for R-PP implementation in Uganda

A conducive policy, legal and institutional framework that is consistent with the emerging international REDD-Plus principles is essential for successful implementation of REDD - Plus Readiness Preparation Proposal in Uganda

The Uganda's policies and legislation are adequate for R-PP implementation. Specifically, they provide the following foundations of successful R-PP:

- a) Commitment to sustainable forest management and maintenance of Permanent Forest Estate.
- b) Stakeholder participation (private sector, academia, and communities, forest dependent people).

The following policy and legal frameworks support the R-PP implementation (Table 5)

Table 5: Policy and legal framework for R-PP implementation

Framework	Provisions Relevance to R-PP
Legal	
The Constitution of Republic of Uganda (amended 2005)	Provides for management of Uganda's natural resources, forestry resources inclusive.
Forestry and Planting Act (8/2003)	Legal framework for management of forest resources Stakeholder participation
Wildlife Act cap 200	Incentives including sharing of benefits from conservation Stakeholder participation
Local Government Act	Stakeholder participation Decentralised (devolved) management of central forest reserves
National Environment Act cap 153	Incentives including sharing of benefits from conservation Stakeholder participation
Land Act cap 227	Stakeholder participation
Policy	
Forest Policy (2001)	Stakeholder participation Maintenance of Permanent Forest Estate sustainable forest management
National Environment Policy (1995)	Stakeholder participation sustainable forest management
Wildlife Policy (1999)	Stakeholder participation Conservation of forests
Development Plans	
National Development Plan (2009)	Sustainable development through preservation of natural resources such as forests
National Forest Plan (2002)	Sustainable forest management Maintenance of Permanent Forest Estate
Regulations	
Collaborative Forest Management Guidelines.	Community participation in forest management Benefit sharing between NFA and the communities



	Development of community regulations
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### 1.6 Institutional framework for R-PP implementation (2012-2014)

The following institutions (Table 6) that have mandate over respective activities of REDD-Plus shall be prominently engaged in the preparation of REDD Strategy for Uganda.

Table 6: Institutional mandates supporting development of Uganda REDD Strategies

Institution	Mandate
Ministry of Water and Environment (MWE)	R-PP implementation coordination and supervision
Forest Sector Support Department (FSSD)	Advice and support to define policies, standards and regulations for the forestry sector.
National forest Authority (NFA)	Technical support in pilot activities Provision of Expertise and data
Uganda Wildlife Authority (UWA)	Technical support in pilot activities Provision of Expertise and data
National Environment Management Authority (NEMA)	Technical support in pilot activities Provision of Expertise and data
Ministry of Energy and Minerals Development (MEMD)	Technical support in pilot activities Provision of Expertise and data
Local Government (Districts)	Technical support in pilot activities Provision of Expertise and data Mobilizing communities and Stakeholders
National Agricultural Research Organization (NARO) (National forestry Resources Research Institute (NaFORRI)	Technical support in pilot activities Provision of Expertise and data
Universities	Technical support in pilot activities Provision of Expertise and data
Community	Participation Information Implementation of Pilot activities

NGOs/CSO	Mobilizing Stakeholders to participate Monitoring quality and adherence to REDD principles Technical support in pilot areas
Private Land Owners	Participation Information Implementation of Pilot activities
Private Forest Owners	Participation Information Implementation of Pilot activities

For effective implementation of the R-PP, the above institutional landscape could be enhanced as follows.

- a) Mobilize Private sector institutions to participate in R-PP Implementation
- b) Initiate Community and individual farmer's capacity to pilot projects.
- c) Develop and apply binding procedures, systems and tools for stakeholder participation in Strategy development.

### **1.7 Policy and legal frameworks likely to hinder R-PP implementation**

The likely weakness or constraint that has potential to negatively affect R-PP implementation is policy and legal gaps due to the fact the REDD-Plus is recent approach. The following are the identified gaps that would require to be plugged.

- a) Licensing trade in Carbon markets.
- b) Definition of Carbon rights.

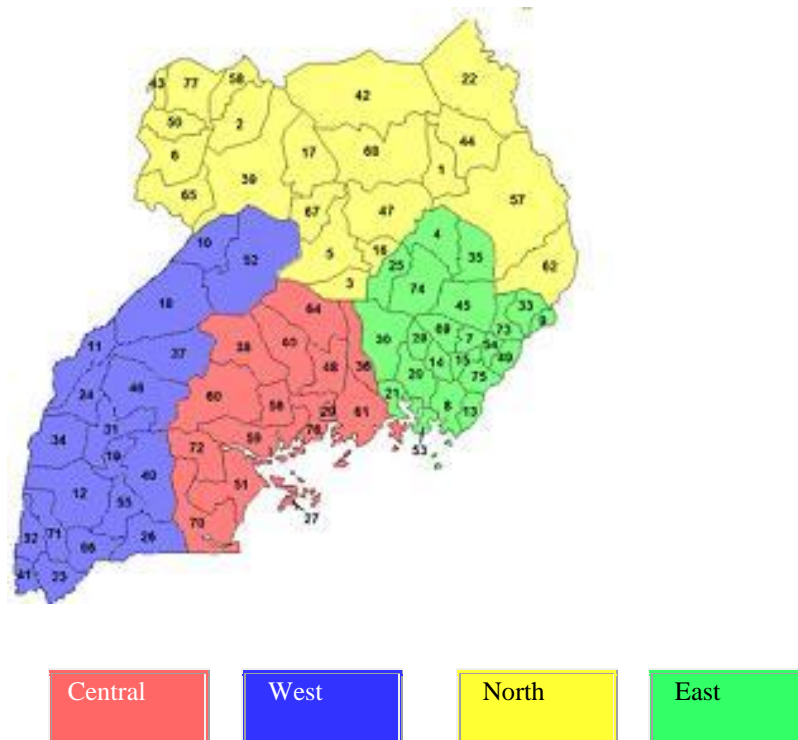
## 8.5 Annex 3: Outreach and Participation Plan (March 2010)

### Outline of the Regional Consultation and Participation Process

#### Introduction:

Uganda is embarking on the formulation of the REDD Readiness Preparation Proposal (R-PP) which requires a multi-stakeholder consultation and participation process to sensitize the various relevant stakeholders on REDD+ and its concepts, solicit their views and understanding of REDD+, capture their presumed expectations anticipated roles and responsibilities in the REDD+ process. For the purpose of these regional consultations the districts of Uganda are divided into 4 administrative regions namely: Northern, Eastern, Western and Central as adopted by the Uganda Bureau of statistics and NEMA (Emwanu et al., 2007).

Uganda's Regions



The economic and social development of Uganda largely depends on the exploitation of its natural resources, including climate. However, the increasing degradation of these natural resources coupled with increasing climate variability and climate changes is beginning to have a serious negative impact on Uganda's social and economic development and the livelihoods of millions of its people indeed the degradation is threatening Uganda's attainment of development targets including the Millennium Development Goals (MDGs). Past experience in Uganda shows that El Nino and Lanina episodes are the principal causes of the most severe climate change related disasters in Uganda.

For instance, the recommended level of national forest cover for Uganda to have stable ecological system is 30 per cent. The national forest cover as of 2005 was however at 18% having dropped from 24 % by 1990. This decline which is estimated at 2.13 % per annum is largely attributed to increasing demand for agricultural land and fuel wood by the rapidly growing population. Between 1990 and 2005 alone, a total of 1,329,570 ha (27% of original forest cover) was lost. The breakdown of the forest cover affected by type is summarized in Table below. The most affected districts in this regard in magnitude of percentage loss include Mayuge (100 %),

Wakiso (86.7 %), Mubende (79 %), Mityana (59.6 %), Kibaale (48.9%), Mpigi 32.6%), Hoima 21.6 %) and Masindi (12.2%).

*Table showing percentage change by forest cover*

Forest type	Area (Ha) 2005	Area 1990 (Ha)	Change (Ha)	Annual change (Ha)	Percentage change	Percentage annual change
Broad leaved	14,786	18,682	(3,896)	(260)	(21)	(1.4)
Conifer	18,741	16,384	2,357	157	14	1.0
TMF well stocked	600,957	651,110	(50,154)	(3,344)	(8)	(0.5)
TMF low stocked	191,694	273,061	(81,367)	(5,424)	(30)	(2.0)
Woodland	2,777,998	3,974,508	(1,196,510)	(79,767)	(30)	(2.0)
Total forest cover	3,604,176	4,933,746	(1,329,570)	(88,638)	(27)	(1.8)

There is a remarkable difference in the degree of deforestation inside protected areas as compared to forests on private land. Forest estate outside protected areas (PA) reduced from 70% in 1990 to 64% in 2005. Forests outside PA reduced from 3.46 million ha to 2.3 million ha; a difference of about 1.2 million ha. Inside PAs, forests reduced from 1.47 million ha to 1.3 million ha; a difference of about 0.20 million ha. The total (inside and outside PAs) deforestation rate per year is 1.8%. Inside protected areas the deforestation rate is 0.7% while outside protected areas; it is 2.27 % almost double the rate in PAs.

However, there are deliberate efforts being made by the government, private sector, development partners, local communities and civil society to conserve and restore degraded forest areas throughout the country.

In line with these, REDD+ is a multi-sectoral program which the government is in the process of developing in order to address the challenges faced within the forestry and other natural resource management sectors in Uganda. The REDD+ program will look into the drivers and underlying causes of deforestation and degradation, as well as promote sustainable forest management for improved livelihoods.

#### **Outline of the Consultation and Participation Plan:**

During the participation working group meeting held on 11th March, 2010 it was agreed upon that the group conduct the consultations on the basis of the 4 regions in such a way that solicit participation and engagement of communities and other stakeholder groups with diverse interest in the REDD+ process.

#### **Identification of Stakeholders to consult with:**

The consultation processes will involve the following stakeholders:-

- Selected representatives of Local communities and indigenous peoples

- Selected representatives of Civil and community society organizations
- Selected representatives of Religious and cultural institutions ( including Kingdoms of Buganda, Bunyoro, Toro, Busoga, etc)
- Selected representatives of Private business persons and companies
- Selected representatives of Government ministries, department, agencies, and institutions
- Selected representatives of Research, educational and academic institutions
- Selected representatives of Multilateral and bilateral, development agencies

#### **Contents of the consultation workshops**

- Introduction to REDD+
- The REDD+ process in Uganda.
- Expectations: roles and responsibilities.
- Opportunities and challenges : social and environment issues

#### **Implementing agencies -**

- National Forestry Authority.

#### **Methodology for Consultations**

1. Information dissemination through use of the developed brochure, background notes & R-PP template to the various Stakeholders
2. Organized workshops within the various regions as indicated in the table below:

**Timeline and budget estimate for consultations**

<b>REGION</b>	<b>TARGET STAKEHOLDERS</b>	<b>VENUE</b>	<b>Nature of Consultations</b>	<b>DATES</b>	<b>BUDGET REQUEST</b>
Central	<p>a) National stakeholders workshop:</p> <p>Targeted Stakeholders include;</p> <ul style="list-style-type: none"> <li>- Selected representatives of Local communities and indigenous peoples</li> <li>- Selected representatives of Civil and community society organizations</li> <li>- Selected representatives of Religious and cultural organizations</li> <li>- Selected representatives of Private business persons and companies</li> <li>- Selected representatives of Government ministries, department, agencies, and institutions</li> <li>- Selected representatives of Research, educational and academic institutions</li> <li>- Selected representatives of Multilateral and bilateral, development agencies</li> </ul>	Kampala	One workshop	April 15, 2010	
	<p>b) Hold a 5<sup>th</sup> Stakeholders Workshop in Central Region</p> <p>Targeted Stakeholders include;</p> <ul style="list-style-type: none"> <li>- Selected representatives of Local communities and indigenous peoples</li> <li>- Selected representatives of Civil and community society organizations</li> <li>- Selected representatives of Religious and cultural organizations</li> <li>- Selected representatives of Private business persons and companies</li> <li>- Selected representatives of Government ministries, department, agencies, and institutions</li> </ul>	Kampala	One workshop	May 13, 2010	
	<p>c) Hold a special Stakeholder groups of local communities/indigenous peoples, disabled persons, and other vulnerable/or disadvantaged groups</p> <p>Targeted Stakeholders include;</p> <ul style="list-style-type: none"> <li>- Selected representatives of Local communities and indigenous peoples</li> </ul>	Kampala	One workshop	May 14, 2010	
	<p>d) National Validation workshop</p> <p>Targeted Stakeholders include;</p> <ul style="list-style-type: none"> <li>- Selected representatives of Local communities and indigenous peoples</li> <li>- Selected representatives of Civil and community society organizations</li> </ul>	Kampala	One workshop	July 20, 2010	

	<ul style="list-style-type: none"> <li>- Selected representatives of Religious and cultural organizations</li> <li>- Selected representatives of Private business persons and companies</li> <li>- Selected representatives of Government ministries, department, agencies, and institutions</li> <li>- Selected representatives of Research, educational and academic institutions</li> <li>- Selected representatives of Multilateral and bilateral, development agencies</li> </ul>				
Eastern	<p>e) Hold a 2<sup>nd</sup> Stakeholders Workshop in Eastern Region</p> <p>Targeted Stakeholders include;</p> <ul style="list-style-type: none"> <li>- Selected representatives of Local communities and indigenous peoples</li> <li>- Selected representatives of Civil and community society organizations</li> <li>- Selected representatives of Religious and cultural organizations</li> <li>- Selected representatives of Private business persons and companies</li> <li>- Selected representatives of Government ministries, department, agencies, and institutions</li> </ul>	Mbale	One workshop	April 22, 2010	
Western	<p>f) Hold a 3<sup>rd</sup> Stakeholders Workshop in Western Region</p> <p>Targeted Stakeholders include;</p> <ul style="list-style-type: none"> <li>- Selected representatives of Local communities and indigenous peoples</li> <li>- Selected representatives of Civil and community society organizations</li> <li>- Selected representatives of Religious and cultural organizations</li> <li>- Selected representatives of Private business persons and companies</li> <li>- Selected representatives of Government ministries, department, agencies, and institutions</li> </ul>	Hoima	One workshop	April 29, 2010	
Northern	<p>g) Hold a 4<sup>th</sup> Stakeholders Workshop in Northern Region</p> <p>Targeted Stakeholders include;</p> <ul style="list-style-type: none"> <li>- Selected representatives of Local communities and indigenous peoples</li> <li>- Selected representatives of Civil and community society organizations</li> <li>- Selected representatives of Religious and cultural organizations</li> <li>- Selected representatives of Private business persons and companies</li> <li>- Selected representatives of Government ministries, department, agencies, and institutions</li> </ul>	Gulu	One workshop	May 06, 2010	

## **Strategy for Implement Expanded Consultation programme funded by Norway**

### **1. Introduction**

In June 2010, The Royal Norwegian Government/Embassy approved funding amounting US\$ 183,500 from Norway-GoU Programme “Support to Sustained National Forestry Authority with Enhanced Focus on Northern Uganda” to provide additional financial and technical support for an expanded program for REDD+ consultations and communications strategy in the context of the Readiness Preparation Proposal (R-PP). The approval was in response to a proposal submitted by NFA on 18<sup>th</sup> May 2010 titled “Request for financial and technical support for an expanded program for REDD+ consultation in the context of the R-PP process” in Uganda.

The approval by Norway was granted with the following conditions:

- a) NFA shall enter implementation contract/agreement with selected NGOs, not exceeding three in number. Further that the selected NGOs could sub-contract the tasks to other entities.
- b) Funding will be disbursed by Ministry of Finance Planning and Economic Development directly to implementing NGOs
- c) The Consultations shall pay attention to Special forest dependent people such as Batwa around the forests in south western Uganda.

### **2. Rational for Support**

Regional Consultations concluded in May and early June 2010 have been found not to have involved the vulnerable and marginalized members of Uganda’s forest dependent communities. Further, it was found out that the Consultations and outreach programme did not cater for national level policy actors in the processes and neither did it cater for communication and awareness rising.

Hence, it has been proposed to:

- a) Undertake an expanded consultation to include the following interests, among others.



- I. Commercial and artisan Timber harvesting and dealers groups;
- II. Major Firewood gatherers and users such as brick burners, etc.;
- III. Charcoal burners and charcoal dealers;
- IV. Forest Resource Users i.e. Herbalists, Hunters and Gatherers;
- V. Communities with Collaborating agreements with NFA and UWA;
- VI. Associations of Watershed Management Areas
- VII. Forest-dependent Communities i.e. Communities within or surrounding forest resources etc;
- VIII. Commercial forest owners;
- IX. Individual forests owners;
- X. Commercial and allied agricultural companies and associations, such as Uganda Farmer’s Association, Uganda Coffee growers and processors, Uganda Rancher’s Association;
- XI. Community land owners;

b) Develop Communication messages targeted different stakeholders to enhance awareness and with time stimulate attitude change and enlist their participation and support for REDD+.

### 3. Objectives

The objectives of this undertaking are:

- a) Objective #1: To expand the consultation required for the formulation of the Readiness Preparation Proposal (R-PP)
- b) Objective #2: To sustain awareness and understanding of REDD+ among Ugandans in preparation for the formulation of the National REDD+ Strategy.

### 4. Implementation modalities

#### 4.1 The Assignment

In accordance with the Approval Conditions, NFA shall enter implementation agreement with three NGOs/Institutions as follows:

Institution	Assignment	Mode of Engagement
IUCN	Conduct High-level consultations with national level actors (executives and Legislature)	The NGO to prepare methodology and budget for the allocated US\$ 9,000 basing

		on the generic Terms of Reference (section 4.2). NFA shall approve the submission and enter Implementation Agreement with the NGO.
CARE	<p>Conducting consultations meetings for south western Uganda (Kabale) targeting Indigenous people/Forest dependants, Private tree farmers and wood industry/ planters, small scale tree farmers etc.</p> <p>Conducting consultations meetings for western Uganda (Hoima) targeting Indigenous people/Forest dependants, Private tree farmers and wood industry/ planters, small scale tree farmers etc.</p> <p>Conducting consultations meetings for northern-western Uganda (Arua) targeting Indigenous people/Forest dependants, Private tree farmers and wood industry/ planters, small scale tree farmers etc.</p> <p>Conducting consultations meetings for northern Uganda (Gulu) targeting Indigenous people/Forest dependants, Private tree farmers and wood industry/ planters, small scale tree farmers etc.</p> <p>Conducting consultations meetings for eastern Uganda (Mbale) targeting Indigenous people/Forest dependants, Private tree farmers and wood industry/ planters, small scale tree farmers etc.</p> <p>Conducting consultations meetings for Kalamoja region (Moroto) targeting Indigenous people/Forest dependants, Private tree farmers and wood industry/ planters, small scale tree farmers etc.</p> <p>Conducting consultations meetings for Central Uganda (Mpigi/Entebbe) targeting Indigenous people/Forest dependants, Private tree farmers and wood industry/ planters, small scale tree farmers, etc.</p>	The NGO to prepare methodology and budget for the allocated US\$ 145,000 basing on the generic Terms of Reference (Section 4.3). NFA shall approve the submission and enter Implementation Agreement with the NGO.
Uganda Media Trust for Environment	<p>To organize and facilitate Radio and T.V Talk shows</p> <p>Undertake Video footage for the consultations and air the relevant footages with TV stations</p>	The NGO to prepare methodology and budget for the allocated US\$ 22,500 basing on the generic Terms of Reference (Section 4.3). NFA shall approve the submission

		and enter Implementation Agreement with the NGO.
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### **4.3 The Terms of Reference/Tasks**

#### **4.3.1 IUCN**

The following are broad tasks

- a) Sensitize High-level actor's communities about REDD+ and REDD+ R-PP process for Uganda.
- b) Sensitize High-level actor's communities about REDD+ and REDD+ R-PP process for Uganda.
- c) Prepare a report on the consultations highlighting among others, key concerns in respect to REDD+ goals, objectives and targets, drivers and views on their likely participation and benefits from REDD R-PP.

#### **4.3.2 CARE**

The Following are the broad tasks:

- d) Sensitize targeted categories for communities/interest groups per region about REDD+ and REDD+ R-PP process for Uganda.
- e) Engage the targeted communities /interest groups in identifying their concerns with regards the REDD+ objectives, targets and approaches.
- f) Solicit their views on drivers for deforestation and forest degradation in their locality.
- g) Prepare a report on the consultations highlighting among others, key concerns in respect to REDD+ goals, objectives and targets, drivers and views on their likely participation and benefits from REDD R-PP.

#### **4.3.3 UMTE**

The following are the broad tasks

- a) Organize and facilitate Radio and T.V Talk shows with sufficient national coverage
- b) Undertake Video footage on the REDD+ consultations process (including the regional consultations under the Expanded programme) and cause to have relevant footages aired with TV stations.

- c) Prepare a report on the undertaking including the materials generated during the undertaking.

## **5. The Role of NFA**

The NFA takes responsibility for the implementation of this programme activities and delivery of products. In this regards, the contracted NGOs shall report to NFA on all technical and administrative matters. Specifically, NFA shall:

- a) Enter Implementation agreement with each Institution using NFA formats. The Implementation agreement shall specify the roles and obligations, time frame, reporting and outputs/deliverables, accountabilities requirements, among others.
- b) Approve the scope of work and budget and authorise MoFPED to disburse funds to the NGOs.
- c) Approve the reports/deliverables.
- d) Consolidate reports of the tree NGOs and make final report to the Norwegian Embassy.

## **6. Next Steps:**

The following steps are envisaged.

1. NFA to communicate to the three NGOs about the intention to engage them. The communication should specify the proposed assignment and general conditions/terms.
2. In response, the NGO should prepare methodology and work plans and budget for NFA approval.
3. Based on the two steps above, NFA shall apply for a no-objection to the proposed Implementation agreement from the Norwegian Embassy before committing the implementation agreement.
4. Upon receipt of the no-objection, NFA shall enter Implementation agreement with the respective NGOs and authorise MoFPED to disburse funds to the NGOs.

## **8.7 Annex 2(a): Terms of Reference for completing the Assessment of relationship between Land Use, Forest Policy and Governance and REDD - Plus Strategy**

Uganda has completed the preparation of REDD-Plus Readiness Proposals (R-PP) for implementation during 2012-2014. The Proposal identifies information gaps at national and local levels regarding the relationship between Land Use, Forest Policy and Governance and REDD - Plus Strategy. Specifically, there is no reliable information on status of forestry resources in Uganda and emission level **as well as impacts on human settlement, urbanization and oil exploration/production activities.** Likewise, the available information on other aspects related to REDD-Plus are insufficiently analyzed to provide the information required to complete the design of REDD-Plus Strategies.

The R-PP proposes the following actions to address these gaps as part of the over-all national strategy for becoming ready for REDD-Plus.

- a) Update the inventory data on status of forests and forestry resources (biomass inventory) in Uganda
- b) Review ongoing Community approaches and analyze their suitability for fund channelling arrangements for REDD
- c) Review of CRM/CFM approaches to improve effectiveness, efficiency and community empowerment
- d) Review policy, legal and institutional arrangements in relation to REDD-Plus issues and needs.
- e) **Review the likely impacts of human settlement, urbanization and oil exploration/production activities on REDD-Plus.**

## **8.8 Annex 2(b-i): Terms of Reference for Taskforce to finalize the REDD-Plus Strategy Options and develop REDD-Plus Strategy for Uganda**

Uganda has completed the preparation of REDD-Plus Readiness Proposals (R-PP) for implementation during 2012-2014. The Proposal includes candidate Options for addressing emissions from deforestation and forest degradation. However, these options require to be strengthened and ensure that they are relevant and feasible. This process will culminate in finalizing the REDD Strategy for Uganda.

Under the over-all guidance of the REDD-Plus Steering Committee, a REDD -Plus Strategy.

1. Assessment of REDD-Plus Strategy Options
  - a. Assess potential strategic options proposed in the R-PP and assess needs for additional information required to inform the design of the strategy, including proposals for early implementation of pilot or demonstration activities.
  - b. Designate and recommend to the Steering Committee the scope of studies and technical expertise/ requirements for undertaking the study(s) to collect additional information and perform the analyses required.
2. Facilitating early implementation of pilot strategies.
  - a. Select strategies and activities for piloting and testing and recommend implementation requirements/arrangements for the pilot studies.
  - b. Identify Social and Environmental issues pertaining to the Pilot activities and recommend them for SESA.
  - c. Develop mechanisms for coordinating and managing the proposed activities to ensure appropriate accounting, oversight, and transparency in the implementation of the activities.
3. Evaluating and monitoring outcomes of early implementation activities.
  - a. Design and recommend to the REDD-Plus Steering Committee TORs for an external consultant to the Task Force to evaluate the outcomes and lessons learned.
  - b. Generate progress reports from implementation activities, and in due course final reports assessing the impacts.
4. Design and recommend to the REDD-Plus Steering Committee TORs for an external consultant to the Task Force to:
  - a. Carrying out socio-economic analysis of the proposed REDD-Plus strategies to determine cost, effectiveness and relevance on a national scale.
  - b. Undertake a "Risk Assessment and Management process" and develop mitigation measures as appropriate.
  - c. Review the policy, legal and institutional framework for suitability for implementing the proposed REDD-Plus strategies.
5. Develop and finalise the National REDD-Plus Strategy, based on those strategies that are deemed suitable for inclusion in national strategy.



## **8.9 Annex 2(b-ii): Terms of Reference for developing Risk Assessment and Management Framework**

Uganda has completed the preparation of REDD-Plus Readiness Proposals (R-PP) for implementation during 2012-2014. The Proposal includes candidate Options for addressing emissions from deforestation and forest degradation. During the R-PP implementation (2012-2014), the proposed options will be further strengthened and ensure that they are relevant and feasible, prior to their approval. This process will culminate in finalizing the REDD Strategy for Uganda.

REDD-Plus Strategy options may have inherent risks that need to be understood at onset and their mitigation measures described for implementation alongside the implementation of REDD-Strategy for Uganda. In this regards, it is intended to develop a Risk Assessment and Management Framework for Uganda REDD-Plus Strategy that will address the following likely risks, among others.

- a) Meeting stakeholder's expectations of REDD-Plus.
- b) Domestic political risks for REDD-Plus being a new approach towards addressing deforestation and forest degradation.
- c) Environmental, financial, operational, organizational, regulatory and strategic risks potentially associated with some of strategy activities.
- d) Domestic leakage caused by the REDD-Plus Strategy options through shifting deforestation and forest degradation, suppressing "livelihoods based causes of deforestation and forest degradation" instead of offering solutions.

Working through a Risk Assessment and Management Taskforce, an undertaking to assess the likely risks of the approved Strategies will be undertaken and mitigation measures proposed. Under the over-all guidance of the REDD-Plus Steering Committee, The Taskforce will carry out the following tasks.

- a) Assessment of risks of implementing approved REDD-Plus Strategy Options
  - i. Assess potential risks associated with REDD-Plus Strategies.
  - ii. Define measures for mitigating the identified risks.
- b) Develop and finalise the National REDD-Plus Strategy (Risk Assessment and Management Framework" for Uganda.
- c) Recommend Strategy to implementing the Risk Assessment and management Strategy, including measures for its integration into the ESMF.

## **8.10 Annex 2(c): Terms of Reference for developing REDD-Plus Strategy Implementation Framework**



Uganda has completed the preparation of REDD-Plus Readiness Proposals (R-PP) for implementation during 2012-2014. The Proposal defines the framework for R-PP implementation (2012-2014) and proposes to develop/finalize the Implementation framework for Uganda REDD Strategy during the R-PP implementation. This is primarily due to the need to tailor the implementation framework to the approved REDD-Plus Strategies so that most suitable arrangements can be defined at that point.

The process of defining Uganda's National REDD-Plus implementation framework will be spearheaded by the REDD-Plus Steering Committee. The process will be consultative in nature and shall involve stakeholders with relevant mandates on the strategies that will be developed. It will define among others, institutional mandates, coordination and monitoring systems, reporting and accountability, financing mechanisms and funds channelling, conflicts resolution and grievances management procedures among others issues.

Working through a designated Taskforce, the following tasks shall be carried out:

- a) Carrying out a Situational analysis of policy legal and institutional set up in reference to REDD-Strategies.
- b) Carrying out Consultation with Stakeholders on suitable institutional set up. Consultations shall be guided by the Consultations and Participation Strategy.
- c) Conducting an Assessment of the options for provision of incentives for REDD-Plus action including the delivery mechanism e.g., financial management and accounting system for Carbon funding).
- d) Designing and publishing the Implementation framework and budget. The Implementation framework shall also describe a Monitoring and Evaluation system and accountability measures.

The following areas of concern shall be considered during the process of defining the Implementation framework.

- a. Which forest areas, of what type of forests and of what size, are considered for involvement in the REDD-plus strategy in each major region?
- b. Who owns the forest under statutory or customary law? Is there regulatory or legal clarity on and who owns carbon benefits generated by REDD-plus activities? Is there a relationship between carbon ownership and land tenure? How would any land tenure, or carbon ownership, issues that arise be resolved or mediated?
- c. What is the government or other institutions that have capacity and authority to plan, implement and monitor REDD-plus activities? Who is authorized to participate in domestic and/or international transactions based on GHG emissions reductions following reductions in deforestation and/or forest degradation?
- d. What would be the role of the national government in these transactions? Are the respective roles of government, landowner and other participants in potential REDD-plus transactions spelled out in regulations or law?
- e. What would the financing mechanisms be for REDD-plus activities and transactions in the country, if that is known at this time? Present a synthesized discussion of anticipated co-financing which could potentially include potential donor or partner agencies, type of support such as technical, or financial, and amount of contribution for the R-PP implementation.

- f. Benefit sharing arrangements: How would the REDD-plus revenues generated by these transactions be assigned and/or shared? What methodology (studies, workshops, pilots etc) would the country intend to follow, that recognizes previous experience and expected obstacles to design such a benefit sharing system? How will transparency and accountability be ensured?
- g. If the REDD-plus strategy options involve interventions at the sub-national level, how will the carbon, land use, and emissions accounting of these interventions be reconciled with the national MRV system?
- h. Is the country considering development of a national carbon tracking system or registry for REDD-plus activities and transactions? If so, what would be the arrangements for such a system or registry, and would it be integrated with the MRV system design?
- i. How will the performance of the implementation framework be monitored and reported, and who will be responsible for it? Are there any independent institutions with the capacity to monitor and verify information? This may be a separate activity from the MRV system or incorporated within it. (This may be addressed in component 6.)
- j. Will the envisaged arrangements enable the country to comply with possible obligations under a future UNFCCC REDD-plus mechanism, e.g., with respect to reporting?
- k. What could be the checks and balances to be included in the implementation framework to ensure transparency, accountability and equity?
- l. How could stakeholders be engaged in the implementation framework and the establishment of robust mechanisms for independent monitoring, assessment and review?
- m. What other institutional and governance reforms might be needed (e.g., anti-corruption laws and measures, national best practices for fiscal transparency, clarifying roles and responsibilities within a decentralized forest management system, role and the capacity of governmental and non-governmental institutions, including the local and traditional institutions etc.)?
- n. Assess what options exist for an accessible, affordable and effective grievance redress mechanism for issues arising under a REDD-plus regime, and how existing grievance redress mechanisms can be modified to ensure that they are more accessible, affordable and effective in responding to challenges in REDD-plus implementation.

## 8.11 Annex 2(d): Terms of reference for developing ESMF

### Terms of Reference for Preparation of the Environment and Social Management Framework

#### 1. Objective of the ESMF

The over-all objective of this undertaking is to develop a comprehensive Environmental and Social Management Framework (ESMF) for REDD Plus for Uganda.

The Uganda ESMF will be prepared to ensure proper assessment and mitigation of potential adverse environmental and social impacts, likely to arise out of the implementation of REDD –Plus Strategy. The process of preparing the ESMF will also be used to make adjustments to REDD - Plus Strategy Options that are considered to have adverse negative impact on forest dependent people, particularly the marginalized and vulnerable groups amongst them, in the spirit of “doing no harm” and “enhancing good”.

#### 2. Process for developing the ESMF

##### 2.1 Reference to previous studies and initiatives

Development of the ESMF will require a review of previous studies and initiatives undertaken especially with respect to forest dependent people. The following are recommended, among others:

- a) Studies such as the consultations undertaken by IUCN with the Benet in the Mount Elgon region of eastern Uganda and by CARE with the Batwa in South-western Uganda during R-PP formulation.
- b) The background paper for a forest governance workshop held in Kampala, Uganda in June 2010 and titled: “In Search of Forest Governance Reform in Uganda”.
- c) Lessons learnt from the “Forests Absorbing Carbon-dioxide Emissions Foundation (FACE) Project that is being implemented in the Mount Elgon National Park area in Eastern Uganda and Kibale Forest National Park in western Uganda.
- d) August 2010 version of the SESA Report for component 2(b) that was prepared by this consultant and that contains a generic ESMF.
- e) The REDD-Plus Environmental and Social Standards developed by the Climate, Community and Biodiversity Alliance (CCBA) and CARE International, through a consultative process and carried out in selected REDD-Plus potential countries (<http://www.climate-standards.org/REDD+/>).

##### 2.2 Principles to be applied

The following is the set of principles as stated in the guidelines and customized to fit Uganda’s context:

- a) Rights to lands and resources therein (including trees and physical cultural resources) are recognized and respected by the REDD-Plus Strategy.
- b) The benefits of the REDD-Plus program are shared equitably among all relevant rights holders and stakeholders.
- c) The REDD–Plus Strategy improves long-term livelihood security and well-being of Indigenous Peoples and local communities with special attention to the most vulnerable people.
- d) The REDD-Plus Strategy contributes to broader sustainable development, respect and protection of human rights and good governance objectives.
- e) The REDD-Plus Strategy maintains and enhances biodiversity system services.
- f) All relevant rights holders and stakeholders participate fully and effectively in the REDD-Plus Strategy and implementation.
- g) All rights holders and stakeholders have timely access to appropriate and accurate information to enable informed decision-making and good governance of the REDD-Plus program.
- h) The REDD-Plus program complies with applicable local and national laws and international treaties,

conventions and other instruments.

### 3. Piloting ESMF formulation

A preliminary ESMF will be developed through assessment of impacts at selected pilot sites, particularly those that will be developed under component 2a. A participatory approach will be adopted that involves forest dependent people, particularly the section of marginalized and vulnerable. The pilot sites are expected to be developed using a Criteria defined under Component 2b. An ESMF will be prepared for each of these regions that will later be integrated into a national ESMF. Each of the ESMFs will then be presented to fully representative stakeholder workshops in order to capture the views of all stakeholders. The national ESMF will then be prepared based on the refined ESMFs from Consultations at the lower levels.

### 4. Methods of assessing Environmental and Social Impact

Social and Environmental Impacts will be carried out using a combination of analytical and consultative/participatory methods. The analytical methods will draw from direct observation, trend analysis and review of literature among others. On the other hand the participatory methods will include Key informant interviews, and interviews with identified and prioritized stakeholders especially forest dependent people such as the Benet in Eastern Uganda (Mount Elgon National Park) and the Batwa in South Western Uganda (Bwindi and Mgahinga National Parks)

### 5. Linking SESA to MRV system

The MRV system should include a spatial representation of indicators of anticipated impacts that are measurable and quantifiable in space and time. Previous time series data on deforestation and forest degradation trends (without REDD-Plus interventions) could be used as the baseline for purposes of comparing projected scenarios with the past and present. Validation of projected impacts would be done using real time geo referenced points to determine the extent to which projected impacts reflect the actual impacts and whether suggested mitigation measures were appropriate.

### 6. Required output

The ESMF to be prepared will provide a summary of the environmental and social assessment of the REDD-Plus Strategy options through which the potential impacts and their mitigation measures were identified. The ESMF will indicate the impacts of each Strategy option, the required mitigation measures and/or methods for enhancing identified positive impacts, the applicable WB Safeguard Policies, indicators for monitoring, and the responsible entities for implementation, supervision and monitoring of the mitigation measures. It will also categorize the Strategy Options (i.e. Category "A", "B" or "C") based on results of the screening process carried out in accordance with World Bank Environmental Policy. The ESMF will then be used by the concerned responsible persons or institutions during the implementation, supervision and monitoring of the mitigation measures. A template of an ESMF in which information collected will be input is provided in below.

### ESMF Template

Strategy Option	Activities	Project Category (A, B, C)	Impact		Applicable WB Safeguard(s)	Mitigation/ Enhancement	Monitoring Indicator	Responsible Institution (monitoring and supervision)
			Environment	Social				
<b>Goal:</b>								
			-	-		-	-	-

## 8.12 Annex 3 (a): Terms of Reference for Reference level

Uganda has completed the preparation of REDD-Plus Readiness Proposals (R-PP) for implementation during 2012-2014. Under Component 3, the proposal provides for the mechanisms for measuring the effect of REDD -Plus Strategy activities that reduce emissions from deforestation and forest degradation and provide carbon uptake or removals from atmosphere through conservation of forest carbon stocks. These measurements focus estimating trends in forest cover and other land uses over time, in absence of REDD –Plus interventions.

Uganda's tool to monitor REDD-Plus activities will focus on measurable, reportable and verifiable (MRV) emissions and removals of GHG due to avoided deforestation and forest degradation, and enhancement of forest carbon stocks due to conservation and sustainable management of forests as well as monitoring multiple benefits, other impacts and governance

Procedures for developing Reference levels are still under development. However, Uganda's R-PP proposes:

- a) Work plan and methodology for developing the MRV. The methodologies will be progressively improved upon or upgraded as guided by UNFCCC and IPCC.
- b) Data and methods or approaches to use in establishing a Reference level at national and sub-national levels.
- c) Development future projections of forest cover changes and GHG emissions.
- d) Actions for capacity building, data collection, piloting analysis through demonstration.
- e) Defining the MRV for Uganda as part of REDD-Plus package for Uganda.

The process of defining Uganda's Reference Level will be spearheaded by a Taskforce set up by the REDD-Plus Steering Committee. The process will be consultative in nature and shall involve stakeholders with relevant mandates and information relevant to trends in forest and land use.

The Taskforce will undertake the following specific tasks.

1. Reviewing historical data available on drivers of deforestation and/or degradation and other REDD-plus activities, and identifying data gaps that need to be filled to estimate past and recent land use change and GHG emissions/removals from deforestation and/or forest degradation and any of the other REDD-plus activities. The task will include assessment of national forest and other key land use data availability, and any gaps in data and in capacity, e.g., forest inventory data and its potential use for carbon density estimation; remote sensing data and interpretation, among others.
2. Reviewing "national circumstances" that might adjust the reference level proposed. These are national socio-economic and/or climatic conditions that could lead to Uganda to offer a justification for why past deforestation or other land use trends should not be considered as the basis of future trends of GHG emissions.
3. Assessing the feasibility of Uganda being able to implement potential approaches to developing a reference level:
  - a) Historical: Developing a Reference Level based on historical trends in emissions/removals over the last decade or so, using various data sources (forest inventory data, previous land

cover change studies using a variety of remote sensing imagery, other spatial data and analysis/GIS, etc. Data will be needed on the key drivers specified in Component 2a.

- b) Projections: Projections involve quantifying forest land uses and carbon stock under current conditions, and then introducing a set of assumptions about how land cover change drivers and macroeconomic trends (e.g., increased demand for bio-fuels) and national development plans could change land uses and carbon stock over the next few decades. Assess the country's current human, resource, etc. capacity and capacity needs for each approach being considered:
4. Assessing the institutional roles, mandates and capacities during RL of both government and non-government institutions involved in this activity.
  5. Assessing technical support required and levels of collaboration to develop the Reference Level.
  6. Developing a work plan identifying the major steps and studies envisioned, in a stepwise manner, moving from current capabilities towards more sophisticated capacity in the years ahead.
  7. Defining mechanisms for integrating RL with Component 2a (assessment of deforestation drivers) and Component 2b (REDD-plus strategy activities) as well as national GHG inventory and reporting process
  8. Defining linkages with the monitoring system design, in particular the land use change and emissions parameters that will need to be built into the monitoring system to ensure that comparable data are available in future years to compare to the RL.

### 8.13 Annex 3(b): Terms of Reference for designing Monitoring Plan (MRV)

Uganda has completed the preparation of REDD-Plus Readiness Proposals (R-PP) for implementation during 2012-2014. Under Component 4a, the proposal provides for the designing a monitoring system for measuring, reporting and verifying emissions and removals of greenhouse gases due to avoided deforestation and forest degradation, and enhancement of forest carbon stocks due to conservation and sustainable management of forests. The monitoring system will measure and monitor emissions and removals of GHGs caused by key drivers of deforestation, forest degradation, and enhancement of carbon stocks as identified in the Components 2a and 2b. Additionally, the MRV system will facilitate comparison of land area and GHG emissions estimates for the reference level under component 3.

The process of designing Uganda's MRV will be spearheaded by a Taskforce set up by the REDD-Plus Steering Committee. The process will be consultative in nature and shall involve stakeholders with relevant mandates and information relevant to trends in forest and land use.

The Taskforce will undertake the following specific tasks.

- a) Design system that will address forest land use change, carbon stock change assessment, and which carbon pools will be included.
- b) Describe the criteria and processes to be used for designing the monitoring system, including, identifying targeted IPCC tier level, and intended level of precision for the system, if known at present, both in the: (a) near term (roughly next 3 years), and (b) longer term (say 3-10 years).
- c) Assess technological options and choice of methods to be used for measuring, reporting and verifying carbon stock changes.
- d) Assess existing capacities and future capacities required for the MRV system.
- e) Define the roles and responsibilities for design and implementation of measuring, reporting and verifying, including those for national institutions.
- f) Identify capacity building, training, and hardware and software needs, including possibility of scaling up existing initiatives and collaborations, and renewing previous agreements with relevant institutions.
- g) Assess systems/structures required for monitoring and review, transparency, accessibility and sharing of data both nationally and internationally.
- h) Assess the financial support required and the sources of funding.
- i) Assess potential benefits of designing the system to be built around logical sub-national political or ecological regions, e.g., provinces, islands or eco-regions.
- j) Design measures for integrating MRV system design with components 2a and 2b and national communications report.
- k) Conduct analytic or other activities to determine how to address displacement and propose how to integrate this into selection of REDD-plus strategy options
- l) Design a reporting and verification framework.





#### 8.14 Annex 4(b): Terms of Reference for designing Monitoring Plan for Multiple benefits, Other Impacts and Governance

Uganda has completed the preparation of REDD-Plus Readiness Proposals (R-PP) for implementation during 2012-2014. Under Component 4B, the proposal provides for the designing a monitoring system to incorporate into the MRV system the monitoring of multiple benefits other social and environmental impacts, and governance, in addition to MRV of GHG emissions and removals. The benefits, impacts and governance variables to be selected for monitoring in Uganda are not yet developed. However, they are deemed to include the following, among others: rural livelihoods, biodiversity conservation, ecosystem services, and other environmental and social benefits. The monitoring system shall also include, among other things, safeguards indicators (taking into consideration the linkages to component 2b (REDD-plus strategy), component 2c (implementation framework), component 2d (social and environmental impacts), and the -/CP.16 COP text on safeguards).

The process of designing Uganda's MRV will be spearheaded by a Taskforce set up by the REDD-Plus Steering Committee. The process will be consultative in nature and shall involve stakeholder.

The Taskforce will undertake the following specific tasks.

- a) Assess and review any existing monitoring systems of multiple benefits. Identify existing national data gathering systems that could be used to obtain data on water, biodiversity, socio-economic indicators, and infrastructure (e.g., transportation system).
- b) Conduct a process to select which multiple benefits to include in the MRV system. It is envisaged that multiple benefit will include rural livelihoods, biodiversity conservation, ecosystem services, and other environmental and social benefits.
- c) Describe how the monitoring system will address key governance issues pertinent to REDD-plus implementation (e.g. land tenure, law enforcement), and what will be the role of relevant stakeholders in this process.
- d) Determine how it will monitor social and environmental impacts and other multiple benefits (rural livelihoods, biodiversity conservation, ecosystem services), and how it will build on the existing environmental and social monitoring systems of the country.
- e) Provide mechanisms for establishing independent monitoring and review, involving civil society, indigenous peoples and other forest dwellers as appropriate and other stakeholders, to enable feedback of findings to improve REDD-plus implementation.
- f) Assess existing capacities and future capacities required by defining the roles and responsibilities for designing and implementing measuring, reporting and verifying, including those for national institutions.
- g) Define capacity building, training, and hardware and software needed, including possibility of scaling up existing initiatives and collaborations.
- h) Assess the scope and role for local communities, NGOs, various government agencies or institutes, and the private sector in the MRV system.

- i) Assess systems/structures required for monitoring and review, transparency, accessibility and sharing of data both nationally and internationally.
- j) Assess the financial support required and the sources of funding.
- k) Describe how the system will integrate across sub-national regions based on your ecological, institutional and economic context.

## **9. APPENDICES**

Attached as separate Documents/file