



# **FOREST CARBON PARTNERSHIP FACILITY**

**REDD READINESS PREPARATION PROPOSAL -  
ASSESSMENT OF THE LIKELY SOCIAL AND  
ENVIRONMENTAL IMPACTS OF REDD STRATEGY  
OPTIONS AND IMPLEMENTATION FRAMEWORK  
(COMPONENT 2d)**

**FINAL DRAFT**

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## **List of Acronyms:**

EIA	- Environmental Impact Assessment
ESMF	- Environment and Social Management Framework
FCPF	- Forest Carbon Partnership Facility
FSSD	- Forest Sector Support Department
NEMA	- National Environment Management Authority
NFA	- National Forestry Authority
NGO	- Non Governmental Organisation
OP	- Operational Policy of the World Bank
REDD	- Reduction of Deforestation and Forest Degradation
R-PP	- Readiness Preparedness Proposal
SESA	- Strategic Environmental and Social Assessment
SEA	- Strategic Environmental Assessment
USD	- United States Dollars

## 1.0 Introduction

Uganda is a “REDD Country Participant” in the Readiness Fund of the Forest Carbon Partnership Facility (FCPF) and is in the process of developing a Readiness Preparation Proposal (R-PP). The R-PP will enable Uganda prepare itself for reducing emissions from deforestation and forest degradation (REDD) in order to become ‘ready for REDD’. The process of developing the R-PP entails, among others, preparation of an assessment of candidate activities for a REDD strategy and preparation of an assessment of the social and environmental impacts of candidate REDD strategy activities. The R-PP provides a framework for assessing deforestation and forest degradation and formulating actions that address the drivers of deforestation and forest degradation. Core components of ‘REDD readiness’ include the REDD strategy options, the REDD institutional and legal implementation framework, and the Assessment of Social and Environmental Impacts (Component 2d). This section is focused on Component 2d, Strategic Social and Environmental Assessment (SESA), and takes cognizance of all the other components of ‘REDD readiness’ particularly components 2b and 2c.

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 strategy options and implementation framework that have been identified in sections 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. The main output of this write up is terms of reference that include an action plan for the preparation of the ESMF that will be prepared later.

## 2.0 World Bank Safeguard Policies relevant to Uganda’s situation

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

**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.

**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+ strategies are largely in compliance with this policy given that they seek to protect or promote the sustainable use of natural forests.

**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.

**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+ 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.

**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.

**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.

### **3.0 Terms of Reference for Preparation of the ESMF**

#### **3.1 Objective of the proposed Action Plan for preparation of the ESMF**

The proposed action plan under these terms of reference is aimed at ensuring a systematic, inclusive and representative process of assessing social and environmental impacts of the proposed REDD plus strategy options. The process of assessing the social and environmental impacts of REDD strategy options will be done through preparation of an Environment and Social Management Framework (ESMF). The ESMF is prepared to ensure proper assessment and mitigation of potential adverse environmental and social impacts, likely to arise out of the implementation of REDD+. It will also be used to make adjustments to REDD+ 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”.

The action plan proposes a team of multi professional stakeholders – a Forest Biodiversity Specialist, a Legal Expert, an Environmental Systems Analyst and a Socio economist - in the development of the ESMF, given that environmental assessment covers a wide range of thematic areas.

#### **3.2 Process for developing the ESMF**

##### **3.2.1 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. Studies such as the recent consultations undertaken by IUCN with the Benet in the Mount Elgon region of eastern Uganda and by CARE with the Batwa in Southwestern Uganda will provide a useful input to development of the ESMF. Reference should also be made to 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”, among others. 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 could also be incorporated in the ESMF formulation process. The FACE project was initiated to offset emissions from a planned 600 MW coal- fired power station in the Netherlands by planting thousands of hectares of trees to absorb carbon dioxide. These credits were then to be sold to GreenSeat, a Dutch carbon-offset business with western clients, mainly airline companies (Inter Press Service News Agency, 2010).

### **3.2.2 Pilot ESMF formulation**

A preliminary ESMF will be developed through assessment of impacts at selected pilot sites, particularly those that were identified in component 2a of the R-PP as sites with great potential for REDD. A participatory approach will be adopted that involves forest dependent people, particularly the section of marginalized and vulnerable. The pilot sites should be geographically spread taking into account regional representation specifically the eastern, northern, western, southwestern and central regions of Uganda. An ESMF will be prepared for each of these regions that will later be integrated into a national ESMF. Each of the regional ESMFs will then be presented to fully representative regional stakeholder workshops to be held in each of the regions, in order to capture the views of all stakeholders. A minimum of 5 regional stakeholder consultative workshops will be organized. The national ESMF will then be prepared based on the refined regional ESMFs.

### **3.3 Required output**

The ESMF to be prepared will provide a summary of the environmental and social assessment of the REDD strategy options through which the potential impacts and their mitigation measures were identified. The framework 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.

## **4.0 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 1.

**Table 1: Action plan to develop the Environmental and Social Management Framework**

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 environment	2. Identify a team of multi-disciplinary professionals (preferably registered environmental practitioners) with experience in Social and Environmental assessment for the development of the ESMF	<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)</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-economist</li> <li>- A Legal Expert</li> <li>- An Environmental Systems Analyst</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



**Action plan to develop the Environmental and Social Management Framework**

Gap/Challenge Analysis	Action	Responsible	Method	Outcomes	M & E Indicators	Timing
			seeking for potential candidates to prepare the ESMF, followed by short listing, interviewing and selection			
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>	<ul style="list-style-type: none"> <li>↗ Tailored short courses coupled with field work and continuous on-the-job training</li> </ul>	<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>	<ul style="list-style-type: none"> <li>↗ Action plans for piloting, developing, implementing and monitoring the implementation of the ESMF developed</li> </ul>	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, Apline zones,	The SESA team of multi-disciplinary professionals working in conjunction with NFA, FSSD, the REDD Secretariat, the REDD Working Group, NEMA	<ul style="list-style-type: none"> <li>↗ Areas chosen as sample REDD+ sites will have to be ecologically spread to represent the respective ecological zones.</li> </ul>	<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>1</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</li> </ul>	4 <sup>th</sup> quarter of 2011 to first quarter of 2012

<sup>1</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)

**Action plan to develop the Environmental and Social Management Framework**

Gap/Challenge Analysis	Action	Responsible	Method	Outcomes	M & E Indicators	Timing
	<p>Savannah Woodlands) 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>			<p>➤ Sample REDD+ sites identified and preliminary Social and Environmental Assessment carried out at these sites for Category A and B Strategy options</p>	<p>and environmental impacts, corresponding mitigation measures/enhancements, monitoring indicators and responsible institutions for monitoring</p>	
<p>Need to share experiences on ESMF generated from the sample sites with other stakeholders in order to incorporate their views</p>	<p>5. Organize 1 stakeholder workshop per ecological zone to refine the pilot ESMF</p>	<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>	<p>Second to Third quarters of 2012</p>

**Action plan to develop the Environmental and Social Management Framework**

<b>Gap/Challenge Analysis</b>	<b>Action</b>	<b>Responsible</b>	<b>Method</b>	<b>Outcomes</b>	<b>M &amp; E Indicators</b>	<b>Timing</b>
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+ 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

## 5.0 Budget Summary for preparation of Environmental and Social Management Framework for REDD+

Activity	Estimated Cost in USD (Actual)			
	2011	2012	2013	Total
Develop a coordination mechanism to oversee the development and implementation of the ESMF	10,000			10,000
Identify a team of multi-disciplinary professionals (preferably registered environmental practitioners) with experience in Social and Environmental assessment for the development of the ESMF	10,000			10,000
Capacity building conducted on SEA in general and REDD+ SESA principles and practice in particular	30,000			30,000
Identify sample sites where SESA will be conducted (based on existent ecological zones in Uganda)	60,000	60,000		120,000
Organize 1 stakeholder workshop per ecological zone to refine the pilot ESMF		60,000		60,000
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		15,000		15,000
Participatory Monitoring and Evaluation at specified periods through out the ESMF development process	20,000	20,000	20,000	60,000
<b>Total</b>	<b>130,000</b>	<b>155,000</b>	<b>20,000</b>	<b>305,000</b>

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