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REDD Readiness Preparation Proposal for Uganda

SUBMITTED TO THE FOREST CARBON PARTNERSHIP FUND

10th January 2011

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
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

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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 (*Annex 2: Composition of Uganda's REDD - Plus Steering Committee*).

Summary of the R-PP

Dates of R-PP preparation (beginning to submission):	March 2010 - January 2011
Expected duration of R-PP implementation (month/year to month/year):	January 2012-December 2014
Total budget estimate:	<i>To be completed</i>
Anticipated sources of funding:	<p>from FCPF: <i>to be completed</i></p> <p>from UN-REDD: <i>to be completed</i></p> <p>National government contribution: <i>to be completed</i></p> <p>other source: <i>to be completed</i></p> <p>other source: <i>to be completed</i></p>
Expected government signer of R-PP grant request (name, title, affiliation):	<p>.....</p> <p>Minister of Finance, Planning and Economic Development</p>
Expected key results from the R-PP implementation process:	<p><u>Result 1:</u> Institutional arrangements for implementing Uganda’s REDD – Plus Strategy.</p> <p><u>Result 2:</u> Procedures and guidelines for REDD- Plus implementation.</p> <p><u>Result 3:</u> Capacity for REDD-Plus implementation.</p> <p><u>Result 4:</u> Strategies for addressing deforestation and forest degradation, the role of conservation, sustainable management of forests and enhancement of Carbon Stock.</p> <p><u>Result 5:</u> Future Reference Scenario of forestry resources in Uganda.</p> <p><u>Result 6:</u> Tools and system for Measurement, Reporting and Verifying REDD.</p> <p><u>Result 7:</u> Framework for assessing likely environmental and social impacts of REDD Plus (ESMF).</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 Working Group and supervised by the REDD 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.

The R-PP for Uganda demonstrates Uganda's commitment to the UNFCCC and other international policy regimes towards addressing causes and effects of Climate Change through sustainable management of forestry resources in Uganda. The R-PP also demonstrates Uganda's commitment to the FCPF as a participating Country.

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

- 1) **Objective #1:** To develop and elaborate on 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 assessing and monitoring the contribution of REDD-Plus activities to sustainable forest management in Uganda.
- 5) **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 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 operational procedures and guidelines for REDD- Plus implementation.
- c) Capacity building for REDD-Plus implementation.

- d) Defining strategies for addressing deforestation and forest degradation, the role of conservation, sustainable forest management and building 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 actions
- g) Developing framework for assessing likely social and environment impacts of REDD-Plus.

The following outputs are envisaged:

- a) Institutional arrangements for implementing Uganda's REDD - Plus Strategy.
- b) Procedures and guidelines for REDD- Plus implementation.
- c) Capacity for REDD-Plus implementation.
- d) Strategies for addressing deforestation and forest degradation, the role of conservation, sustainable forest management and building Carbon Stock.
- e) Future Scenario of forestry resources in Uganda.
- f) Tools and a national system for Measuring, Reporting and Verifying REDD-Plus actions.
- g) Framework for assessing likely environment and social impacts of REDD-Plus.

The description of these outputs will be in form of a National REDD 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 Steering Committee which will supervise the R-PP implementation and draw on technical support from a National Implementation 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.

Uganda seeks US\$ **12,052,000** to finance its readiness activities, to be implemented over three years (2012 – 2014). (Funding to the implementation budget is expected to be drawn from Government sources (US\$.....), Development partners (US\$.....) and FCPF (US \$.....)).

The R-PP document is prepared following the FCPF format (Ver 4 of January 2010). The proposal documents incorporate some FCPF format (Ver 5 of December 2010) ideas and will be made fully compliant to this format before formal submission in second quarter of 2011.

Component 1: Organize and Consult

1a. National Readiness Management Arrangements

1. THE REDD - PLUS READINESS PROPOSAL (R-PP) FORMULATION

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 te forest sector.
- b) Fulfil Uganda commitment to the FCPF as a participating Country.

1.1 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. (*Annex 2: Composition of the REDD – Plus Steering Committee*. The business conducted by both the Working Group and Steering Committee is reported in Section 1.5). 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 between April –December 2010. Consultations are ongoing until March 2011 (Section 1.6)

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 scenario (*Component 3; Appendix 4*)
- vi) Systems to Measure, Verify and Report (MRV) the effect of REDD+ strategies on sustainable forest management in Uganda (*Component 4; Appendix 4*).
- vii) Implications of evictions on REDD - Plus implementation in Uganda (*Appendix 5*).

c) Administration and Documentation

The National Forestry Authority established a 3 - person R-PP Secretariat between May-December 2010 under the leadership of the National REDD -Plus Focal Point.

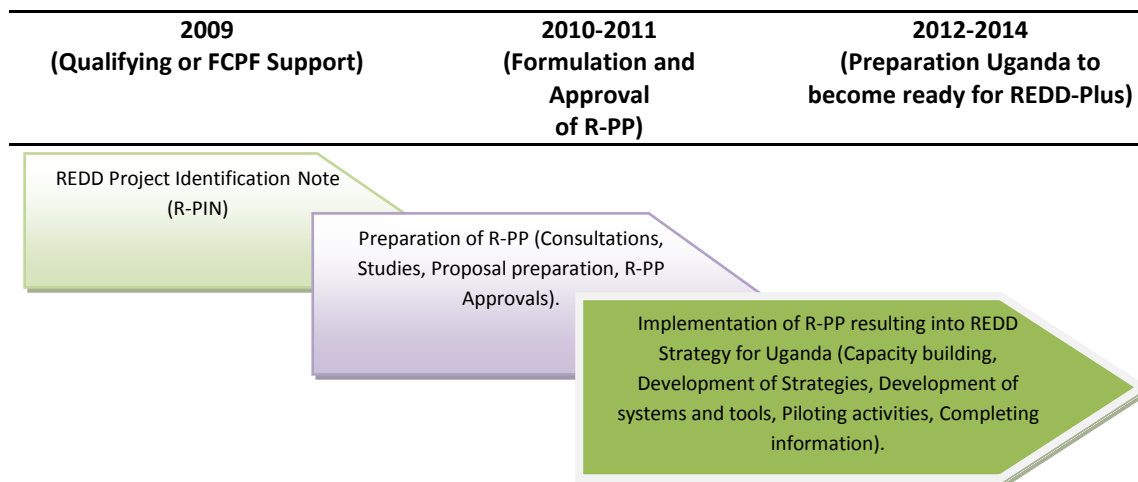
d) Approval

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 Activities during the R-PP implementation

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 operational procedures and guidelines for REDD- Plus implementation.
- c) Capacity building for REDD-Plus implementation.
- d) Defining strategies for addressing deforestation and forest degradation, the role of conservation, sustainable forest management and building Carbon Stock.
- e) Developing Future Scenario of forestry resources in Uganda.
- f) Developing tools and system for Monitoring, reporting and Verifying REDD - Plus.
- g) Developing framework for assessing likely environmental and social impacts of REDD-Plus.

1.4 Outputs from R-PP implementation

The following outputs are envisaged:

- a) Institutional arrangements for implementing Uganda's REDD – Plus Strategy.
- b) Procedures and guidelines for REDD- Plus implementation.
- c) Capacity for REDD-Plus implementation.
- d) Strategies for addressing deforestation and forest degradation, the role of conservation, sustainable forest management and building Carbon Stock.
- e) Future Scenario of forestry resources in Uganda.
- f) Tools and system for Measuring, Reporting and Verifying REDD.
- g) Framework for assessing likely environmental and social impacts of REDD- Plus.

1.5 The Lead agencies and their mandates during R-PP Formulation and R-PP implementation

The following section describes the involvement of government ministries and agencies and stakeholders in the R-PP formulation process and during R-PP implementation.

1.5.1 Mandates of Key Government ministries and agencies during R-PP formulation (2009-2011)

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 Steering Committee between March 2010 and January 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.
- 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 (Annex 3).

1.5.2 Participation by non-government institutions during R-PP formulation (2009-2011)

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 (Annex 3).

1.5.3 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(b)). Stakeholders will participate in:

- a) Piloting sustainable forest management through initiatives such as Collaborative Forest Management (CFM), Collaborative Resources Management (CRM) and Ecotourism.
- b) Establishing carbon stocks.
- c) Promotion of forest resources utilization technologies.
- d) Monitoring R-PP implementation.
- e) Providing technical support and inputs into various aspects of R-PP implementation.

1.5.3.1 Institutional mandates during R-PP implementation (2012-2014)

The following sections provide detail on institutional arrangements for R-PP implementation and coordination and definition of institutional roles. 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. 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 policies pertaining to REDD - Plus with sectoral ministries.
- ii. Liaise with the Cabinet on issues affecting the smooth implementation of REDD-Plus Strategy.
- 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 shall designate the Forestry Sector Support Department (FSSD) to serve as **National REDD-Plus Focal Point** to undertake the day-to-day tasks of implementation 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:

i. 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.

ii. 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.

iii. 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.
- 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 other than the Ministry of Water and Environment, selected from within and outside government. Implementing institutions shall be selected taking into account their mandates in relation to aspects of R-PP implementation, capacities and capability to deliver the tasks. The National Steering Committee shall select and recommend eligible institutions to the Ministry of Water and Environment to be assigned. Activities assigned to the Implementing Institutions shall be eligible for budget allocation from the R-PP implementation budget.

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.

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 action; iii) Social and Environmental Safeguards; iv) Demonstration activities, and; v) Participation and Consultation.

Membership to the taskforce shall consider 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 Taskforce. Each theme shall be housed within one of the Implementing institution.

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.

1.5.3.2 R-PP implementation Coordination, Supervision and Monitoring (2012-2014)

R-PP implementation seeks to involve multiple institutions whilst ensuring compliance to national policies and REDD – Plus procedures and standards. This requires an effective coordination, supervision and monitoring mechanisms. The following section describes coordination and supervision mechanisms while the monitoring aspects are presented in section 6.

a) Coordination and supervisions 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) Policy level Coordination and supervision by REDD-Plus Steering Committee

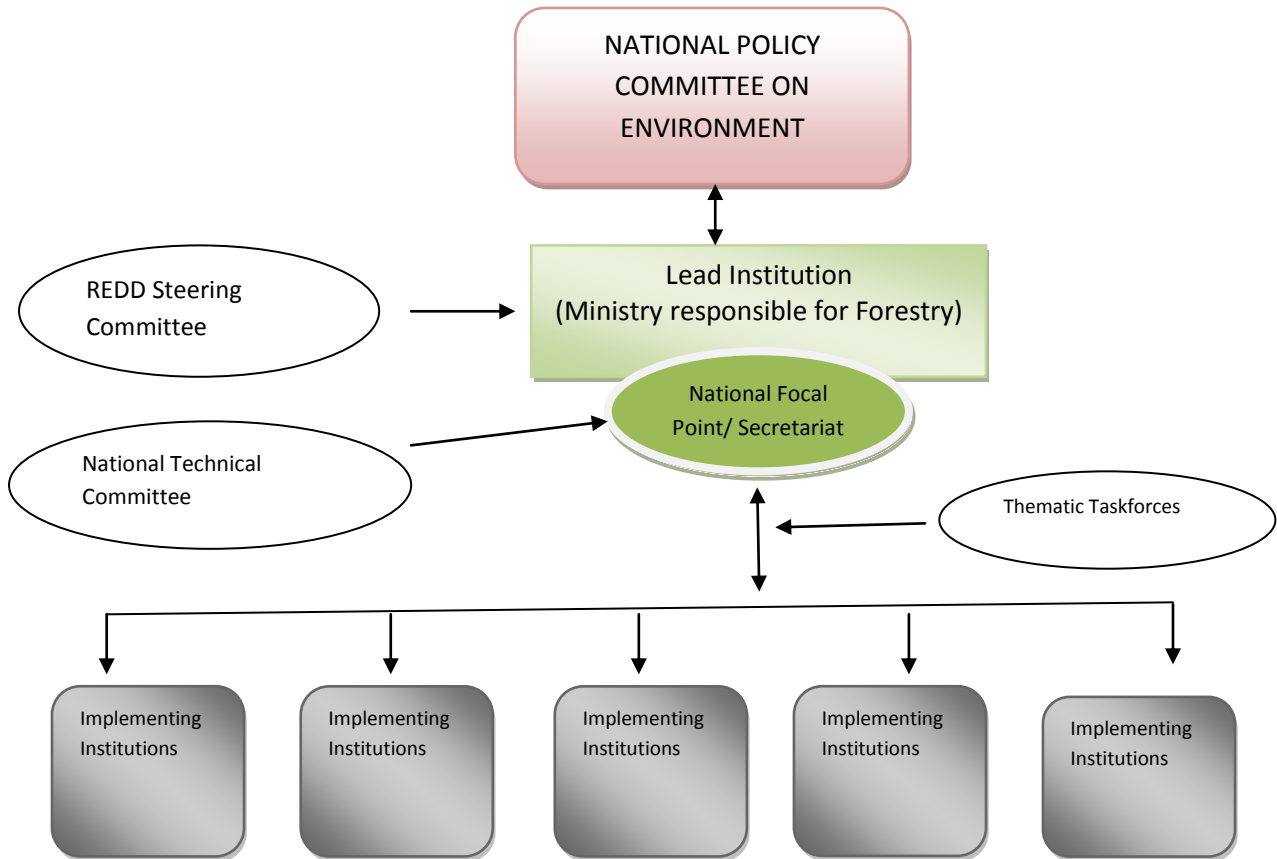
A national REDD – Plus Steering Committee shall serve as an advisor to the Lead Ministry. It shall be established by the Ministry of Water and Environment and comprised of Central Government ministries and agencies, Local Governments, NGOs, Academia, and Private Sector agencies¹ (Annex 2). Implementing Institutions shall serve as advisors to the REDD-Plus Steering Committee.

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 to Ministries, Lead agencies, Implementing Institutions, Districts and Non-government actors (NGOs, Private Sector, Cultural institutions, Indigenous people, etc.).
- c) Approve work plans/activity plans and budgets.
- d) Recommend establishment of National Technical Committee and thematic Task Forces.
- e) Recommend establishment of mechanisms for resolving institutional conflicts or disagreements during the 2012-2014 implementation period.
- f) Recommended the National REDD –Plus Strategy to government for approval.

¹ The proposed Steering Committee may inherit both membership and responsibilities of the R-PP Formulation Steering Committee

Figure 2: Implementation Coordination and Supervision Structure



Note: The REDD-Plus Steering Committee shall recommend Implementing institutions and tasks and budget to be assigned.

1.5.4 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.

1.5.4.1 Policy and legal frameworks supporting R-PP implementation (2012-2014)

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 policy and legal frameworks that support the R-PP implementation are described in Appendix 2.

1.5.4.2 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).

1.5.5 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 4.

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 4.

1.5.6 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 4.

1.5.7 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 Annex 4.

1.5.8 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 Annex 4.

1.5.9 Addressing likely environmental and social risks

The R-PP recognizes the need to minimize or eliminate negative impacts or duly compensate 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 addressed under Component 2(d). This will be undertaken alongside designing measures for ensuring compliance to the World Bank Safeguard Policies.

1.6.0 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 such as dealers in forest produce as elaborated in (Section 1B) and Appendix 6 (a) and 6(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)).
 - iv. Stakeholder mapping (Component 2(a)).
- f) R-PP implementation, coordination and supervision are consistent with national policies and procedures for such undertakings.

Table 1: National Readiness Management Arrangements Activities and Budgets (US\$)						
Main Activity	Sub-Activity	Estimated Cost (US\$)				
		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
Total			\$62	65	68	195
Domestic Government		\$	\$	\$	\$	\$
FCPF		\$	\$	\$	\$	\$
UN-REDD Programme (if applicable)		\$	\$	\$	\$	\$
Other Development Partner 1 (name)		\$	\$	\$	\$	\$
Other Development Partner 2 (name)		\$	\$	\$	\$	\$
Other Development Partner 3 (name)		\$	\$	\$	\$	\$

1 b. Stakeholder Consultation and Participation

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 have been extensively carried out at national and regional levels, with special groups and forest dependent people (Section 1.6). By end of 2010, there are ongoing countrywide consultations targeting stakeholders at community level, forest dependent people and forest resources user groups, among others (Section 1.6 and Annex 5). It is expected that the results of these consultations will be integrated in the R-PP before Uganda makes formal submission in 2nd quarter of 2011.

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.
- 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 (Section 1.7).

1.6 Stakeholder Consultations and Participation during R-PP formulation (2009-2011)

Uganda's process of formulating the REDD Readiness Preparation Proposal (R-PP) underwent a nationwide multi-stakeholder consultation and participation process. As described in Component 1a, the process was coordinated by the MWE and overseen by REDD -Plus Working Group through a Consultations' Methodology developed by RWG at the onset of R-PP (Annex 3). Stakeholder consultations were facilitated by the R-PP Secretariat as well as volunteer organizations (IUCN and CARE) and Contracted NGOs.

Uganda's stakeholder consultations process was facilitated by funding from FCPF through the World Bank and the Norwegian Government. CARE and IUCN provided in kind support to this process. The results of the Consultations have been utilized to feed into this R-PP.

1.6.1 The R-PP Steering and Coordination during R-PP Formulation

1.6.1.1 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.

1.6.1.2 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 5 meeting sessions of RWG and 5 RWG Subgroup meetings were convened to formulate the R-PP (Table 2).

Table 2: RWG meetings and outputs

Date	Level of Participation	Purpose	Key Outputs
REDD Working Group Sessions			
25th – 26th March, 2010	60	<ul style="list-style-type: none"> ➤ Bring relevant stakeholders up to speed ➤ To provide an update about the process in Uganda ➤ Provide background information about the WB FCPF and R-PP requirements ➤ Reach agreement on a process, timeline and budget for the way forward - Including required commitments and contributions of WG 	<ul style="list-style-type: none"> ➤ Times lines and activities were set to kick start preparation of the R-PP
17 th June 2010	10	<ul style="list-style-type: none"> ➤ Second REDD working finalize the Consultations Process ➤ Defining methodologies ➤ Defining Terms of Reference for Studies ➤ Define Compositions ➤ Define working modalities ➤ Setting up Sub-groups Redefining Compositions ➤ Setting R-PP Structures 	<ul style="list-style-type: none"> ➤ Consultations process Guidelines ➤ Working Groups (Consultations, Methodology, MRV)
24 th June 2010	15	<ul style="list-style-type: none"> ➤ Resumed session of the REDD – Plus Working Group of the second working group meeting 	<ul style="list-style-type: none"> ➤ R-PP Structure ➤ RWG Compositions ➤ Modalities for engagement
22 nd September	24	<ul style="list-style-type: none"> ➤ REDD – Plus Working Group Meeting ➤ To review and discuss component 2(a), 2 	<ul style="list-style-type: none"> ➤ Comments about the reports were received

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2010		<ul style="list-style-type: none"> ➤ b) and 2(c) ➤ To review and discuss of reference scenario and MVR (component 3 and 4) ➤ To review and discuss SESA report 	and consultants integrated the comments in the final reports
29 th November 2010	46	➤ Reviewing the draft R-PP	➤ R-PP reviewed by the REDD working
REDD Sub-RWG Sessions			
15 th April 2010	24	➤ Meeting of the leaders of the REDD working sub groups to forge a way forward for the formulation of the R-PP	<ul style="list-style-type: none"> ➤ Way forward was forged ➤ The secretariat established to run the R-PP process
1 st July 2010	10	➤ To review the strategies for component 2a,b and c	➤ Comments about the component were received
13 th July 2010	14	➤ To review component 3 and 4 for developing measuring reporting and verification	➤ Comments about the component were received
29 th 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 th November 2010	28	➤ Awareness creation and information sharing	<ul style="list-style-type: none"> ➤ Clear understanding of REDD-Plus ➤ Raising interests of participants on REDD-Plus
R-PP Steering Committee			
9 th December 2010	21	<ul style="list-style-type: none"> ➤ Commissioning of the R-PP Steering committee ➤ Information sharing and generation 	<ul style="list-style-type: none"> ➤ The R-PP Steering Committee was commissioned ➤ Guidance was given on the R-PP formulation
10 th January 2011	12	➤ Reviewing and endorsing the draft R-PP	➤ Draft R-PP endorsed for "informal" Submission.
National Stakeholders meeting to Validate the R-PP			
17 th December 2010	125	<ul style="list-style-type: none"> ➤ Disseminate draft R-PP and awareness creation and information sharing about the R-PP for Uganda ➤ Validate the draft R-PP 	<ul style="list-style-type: none"> ➤ 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).

1.6.1.3 Consultations and Outreach plan during R-PP formulation

The Consultations and Outreach plans mentioned under Section 1.6) and Annex 3 (March 2010 Consultations and Participation Plans) and Annex 5 (Expanded Consultations Plan) provided sufficient coverage of issues and stakeholders for purposes of completing the formulation of the R-PP for Uganda. Additionally, the SESA study has provided additional inputs in form of proposals to

develop a comprehensive Environment and Social Management Framework (Component 2(d)). The Consultation and Outreach Plan during R-PP implementation is described under Section 1.7 below.

1.6.1.4 Stakeholder consultations and participation during R-PP formulation

The Stakeholder Consultations and participation during the R-PP formulation were guided by the Outreach Strategy developed by the REDD- Plus Working Group in March 2010 (Annex 3). Consultations were conducted by the R-PP Secretariat. CARE and IUCN facilitated consultations with the forest dependent people – Batwa and Benet, respectively.

Under the ongoing Expanded Consultations process, the R-PP is working with Environmental Alert, IUCN and Trust Media as elaborated in Annex 5. The outputs of this process shall be incorporated into the R-PP in first quarter of 2011.

The following sections provide the details about the process.

a) Coverage

The Country wide consultations covered the following regions of Uganda (Table 3).

Table 3: Coverage of Stakeholder Consultations per region

Region and Area of Focus	Lead
a) National	R-PP
b) Regional (Eastern, Northern Western, Central)	Secretariat
c) Special Groups	
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 ²
National (Policy, Development partners)	IUCN
Media and Publicity	Media Trust

b) Participation

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, forest dependent communities, forest resource user groups or associations, private sector, academia. 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.

² 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

All in all, 630 people representing 7 different categories of stakeholders were directly consulted as shown in Table 4. below:

Table 4: Summary of consultations per category of stakeholders

Category	Number of participants*
Policy /Ministries	16
Development Partners	6
NGOs/CSO	66
Private Sector	7
Forest Dependent People/Communities	525
Academia	5
Research Institutions	3

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

c) Outputs from the Consultations (drivers of Deforestation and Forest degradation)

The following section presents a synthesis of responses from stakeholder’s consultations to date (Table 5). Detailed reports on Consultations are presented as Appendix 6 (a) – 6(d).

Table 5: Outcomes of Stakeholder Consultations

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

	↗ Reproductive health and environment factors	↗ High demand for forests resource	
Land tenure/Tree tenure	↗ Change of land use ↗ Poor Land use policy	↗ Forest cover destruction ↗ Resistance land policy/Law	↗ National Land policy in formulation ↗ Amendment of Land Act

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 strategy options presented in Component 2B. However, as indicated above, there is an ongoing consultations process that 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. There is also concern that public consultations at this stage may not have generated sufficient information to inform the REDD Strategies.

The consultations and participation process revealed that the diversity of interest countrywide necessitated adequate financial and time resources. It further revealed that the R-PP formulation required a process – oriented approach characterized of learning and reflecting. This approach enabled improvements in understanding of the REDD -Plus process. It also enabled modulation of expectation of REDD-Plus.

However, REDD-Plus and other initiatives for tackling Climate change continue to evolve both at international and national levels. This necessitates continued communication and sensitization about the REDD -Plus and its “niche” within the over-all Climate Change debates and actions. Therefore, the REDD -Plus Readiness for Uganda should envisage strategies for continued Stakeholder engagement in order to address emerging issues and trends. Structures or processes that bring stakeholders together are envisaged in future.

It is against this background that an intention to develop Consultations and Outreach plan is recommended (Section 1.7) to guide further consultation during R-PP implementation.

1.6.2 Awareness and Communications Strategy applied during R-PP formulation (2009-2011)

Consultations with stakeholders were facilitated by an awareness strategy (Appendix 7). 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 8), REDD -Plus Banner (Appendix 9), 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, E-mail address.

An Awareness Strategy for implementation during R-PP implementation is proposed to be developed under section 1.7 below.

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

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 coordinate by the MWE and overseen by REDD –Plus Steering Committee. To facilitate this process, R-PP Implementation Consultation and Outreach Strategy and R-PP Implementation Awareness and Communications Strategy will be developed as elaborated in following sections.

1.7.1 Development of Consultations and Outreach Plan (REDD-C&P).

Uganda R-PP implementation provides for further consultations and outreach with stakeholder's. 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 Outreach 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.** *This objective shall seek to collect and analyse information and views from Stakeholders at different stages of R-PP implementation and use the information to input into the Strategy development. Various tools for conducting consultations and outreach shall be developed and utilized. The Awareness and Communication Strategy (section 1.7.2) will form integral components of the tools to be used.*
- b) **Objective #2: REDD – Plus implementation progress known and monitored by stakeholders.** *This objective seeks to ensure that stakeholders are regularly informed of the R-PP implementation progress. It also seeks to engage Stakeholders in monitoring the implementation progress and in development of REDD-Plus MRV and other tools.*
- c) **Objective #3: REDD – Plus benefits accessible by stakeholders across sectors and at all levels.** *This objectives seeks to publicise opportunities for stakeholder benefits from REDD –Plus e.g., dissemination of Carbon market information and processes. The objective also aims at identifying constraints and challenges for stakeholder participation and advocate for their redress.*
- d) **Objective#4: REDD –Plus Strategy contributes towards national development priorities and the MDGs.** *This objectives seeks to engage policy makers with the view to integrate applicable national development priorities and Uganda's targets for the MDGs into the REDD – Plus Strategy.*

Uganda REDD - C&P is expected to generate the following benefits/outputs.

- a) Objective #1: REDD –Plus Strategies and implementation framework informed by stakeholder's views and contributions.

Outputs:

- i. Enhanced understanding of REDD – Plus and stakeholder benefits, roles and responsibilities.
- ii. Enhanced undertaking of REDD - Plus Strategy Options, risks and challenges that may arise from the implementation of a REDD - Plus Strategy.
- iii. A final REDD - Plus Strategy based on broad consultation with stakeholders.

b) Objective#2: REDD -Plus implementation progress known and monitored by stakeholders.

Outputs:

- i. Involvement of stakeholders in development of REDD-Plus implementation tools and methodologies e.g., MVR.

c) Objective#3: REDD - Plus benefits accessible by stakeholders across sectors and at all levels

Outputs:

- i) Development of an appropriate Communications Strategy and Communication tools.

d) Objective #4: REDD - Plus Strategy contributes towards national development priorities and the MDGs.

Outputs:

- i. Interventions for integrating national development priorities and Uganda’s targets for the MDGs into the REDD -Plus Strategy.
- ii. Policy level buy – in into the REDD – Plus Strategy.

Uganda shall seek to engage services of experts in Communications and Public engagement to design suitable REDD – Plus Consultations and Outreach Plan (REDD –C&P) (Table 6). The REDD-C&P shall be reviewed and validated by stakeholders at national level before it is applied. Uganda’s REDD - C&P will seek to address the diversity of stakeholders and their uniqueness in terms of relevant REDD - Plus issues and languages.

Table 6: Activity Plan and schedule for developing REDD – C&P

Table 6: Activity Plan and Schedule for Developing REDD-plus Consultation and Out-reach Plan and Budget						
Main Activity	Sub-Activity	Lead	Estimated Cost (US\$)			Total
			2012	2013	2014	
Identify and recruit Experts	Develop Terms of Reference	REDD Focal Point	1	-	-	1
	Recruit Consultant/experts	REDD Focal Point				-
Prepare REDD-COP	Commission Consultants	REDD Focal Point	8	-	-	8
	Supervise Consultants	REDD Focal				-

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		Point				
Validate REDD-COP	Convene Stakeholders platform/workshop to review and provide input into the draft REDD-COP and communications tools	REDD Focal Point	12	-	-	12
Disseminate the REDD-COP	Publish and disseminate REDD-COP	REDD Focal Point	2	3	-	5
Integrate REDD-COP into R-PP	Revise the R-PP document	REDD Focal Point				-
Stakeholder engagement in R-PP Finalization	Conduct Stakeholder consultations /facilitate Stakeholder participation in various aspects of R-PP	REDD Focal Point	80	120	100	300
Monitoring effectiveness of Stakeholder engagement	Develop and apply M&E tools	REDD Focal Point	2	4	6	12
Total			\$105	127	106	338
Domestic Government		\$	\$40	\$	\$	\$
FCPF		\$	\$70	\$	\$	\$
UN-REDD Programme (if applicable)		\$	\$	\$	\$	\$
Other Development Partner 1 (name)		\$	\$	\$	\$	\$
Other Development Partner 2 (name)		\$	\$	\$	\$	\$
Other Development Partner 3 (name)		\$	\$	\$	\$	\$

1.7.2 Develop R-PP implementation Awareness and Communication Strategy (RACS)

Building on the Awareness and Communications Strategy developed during R-PP formulation (Appendix 7) and the REDD Consultations and Outreach Plan (Section 1.7.1); this undertaking will develop a comprehensive R-PP implementation Awareness and Communications Strategy (RACS). The R-PP process emphasises 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. Hence, RACS that will facilitate communication and awareness rising about REDD-Plus and R-PP process within and outside the country and, will be developed and used as a tool to mobilize stakeholder's participation in the REDD-Plus processes and undertakings.

The overall Goal of the RACS is to mobilize Political, Executive and Stakeholders support and participation in the REDD-Plus Strategy and implementation. It is recognized that this goal requires multiple actions to be realized, and the Strategy will therefore be expected to contribute towards realizing this Goal. The following objectives will enable Uganda move towards realizing this Goal.

- a) Objective #1: To raise public and stakeholder awareness of REDD - Plus and R - PP Process.
- b) Objective #2: To mobilize stakeholder’s involvement in the REDD - Plus Strategy development and Implementation.
- c) Objective #3: To communicate to the Stakeholders on Uganda’s preparations for “becoming” Ready for REDD-Plus.

The following Outputs will be realized under each objective.

Objective #1: To raise public awareness of REDD-Plus and R-PP Process

Outputs:

- REDD-Plus and R-PP awareness messages and tools for disseminating messages.
- REDD-Plus and R-PP awareness messages disseminated.

Objective #2: To mobilize stakeholder’s involvement in the R-PP Process

Outputs:

- Stakeholder’s briefings and information about REDD-Plus and R-PP Process developed and disseminated.
- Stakeholders equipped with information about REDD-Plus and R-PP process.

Objective #3: To communicate to the FCPF and Stakeholders on Uganda’s preparations for becoming ready for REDD-Plus.

Outputs:

- FCPF and Global partners informed of Uganda’s process and progress on REDD-Plus.
- Stakeholders informed of Uganda’s process and progress on REDD-Plus and R-PP.
- Information on Uganda’s REDD -Plus Strategies and actions disseminated widely.

Successful implementation of the RACS will result into:

- a) Public and stakeholders aware of the Uganda REDD - Plus and R-PP process and progress.
- b) Stakeholders well informed of Uganda’s REDD - Plus Strategies and actions.
- c) Stakeholders actively supporting Uganda’s REDD - Plus Readiness Strategy and actions.

The development of the RACS activities will be based on the Consultations and Outreach Plan to be developed under Section 1.7.1. Uganda shall seek engage services of experts in Communications to design RACS (Table 7). The RACS shall be reviewed and validated by national level Stakeholders before its approval and application. Uganda’s RACS will seek to address the diversity of Stakeholders and their uniqueness in terms of relevant REDD-Plus issues and languages.

Table 7 Activity Plan and budget for developing RACS

Table 7: Activity Plan and Schedule for Developing REDD-plus Awareness and Communication Strategy (RACS) and Budget						
Main Activity	Sub-Activity	Estimated Cost (US\$)				
		Lead	2012	2013	2014	Total
Identify and recruit Experts	Develop Terms of Reference	REDD Focal Point	2			2

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	Recruit Consultant/experts	REDD Focal Point				-
Prepare RACS	Commission Consultants	REDD Focal Point	8			8
	Supervise Consultants	REDD Focal Point				-
Validate RACS	Convene Stakeholders platform/workshop to review and provide input into the draft REDD-RACS and communications tools	REDD Focal Point	12			12
Disseminate the RACS	Publish and disseminate RACS	REDD Focal Point	5			5
Integrate RACS into R-PP	Revise the R-PP document	REDD Focal Point	NIL			-
Stakeholder informed of REDD-Plus and R-PP	Implement RACS	Lead Institution	100			100
Monitoring effectiveness of Stakeholder engagement	Develop and apply M&E for RACS	REDD Steering	12			12
Total			\$139	-	-	139
Domestic Government		\$	\$	\$	\$	\$
FCPF		\$	\$	\$	\$	\$
UN-REDD Programme (if applicable)		\$	\$	\$	\$	\$
Other Development Partner 1 (name)		\$	\$	\$	\$	\$
Other Development Partner 2 (name)		\$	\$	\$	\$	\$
Other Development Partner 3 (name)		\$	\$	\$	\$	\$

COMPONENT 2: PREPARE THE REDD STRATEGY

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

2.1 Major historical land use trends in Uganda

The land cover types and changes in land cover from 1990 to 2005 are shown in Table 8.

Table 8 Land Cover change in Uganda 1990 and 2005

No.	Land cover type	Area 1990 (ha)	Area 2005 (ha)	Change over the period (ha)	% annual change	% change over the period
1	Broad leaved	18,682	14,786	-3,896	-1.39	-21
2	Conifer	16,384	18,741	2,357	0.96	-14
3	Tropical High Forest (well stocked)	651,110	600,957	-50,153	-0.51	-8
4	Tropical High Forest (low stocked)	273,062	191,694	-81,368	-1.99	-30
5	Woodland	3,974,508	2,777,998	1,196,510	-2.01	-30
6	Bush	1,422,193	2,968,675	1,546,482	7.25	109
7	Grassland	5,115,426	4,063,582	1,051,844	-1.37	-21
8	Wetland	484,030	753,041	269,011	3.71	56*
9	Small scale farmland	8,400,789	8,847,592	446,803	0.35	5
10	Large scale farmland	68,447	106,630	38,183	3.72	56
11	Built up area	36,572	97,270	60,698	11.06	166
12	Impediments	3741	7,804	4,063	7.24	109
	Open Water	3,689,603	3,706,489	16,886	0.03	0
	Total	24,155,246	24,155,347			-

Source: NFA 2009

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. Of these, approximately 15,500ha were of soft wood plantations. There is no reliable information since 2005.

In 1890, forest cover in Uganda was estimated to be 10,800,000 ha. By 1990 this area had reduced to 4,900,000 ha. The national forest cover declined from 24% of the land area in 1990 to 18% in 2005. The decline is estimated at 1.8 per cent per annum and is attributed mainly to increasing demand for agricultural land and fuel wood by the rapidly growing population. Between 1990 and 2005, a total of 1,329,570 hectares was lost. Bush lands, grasslands and wetlands, are not considered to be part of the forest cover, although they contain different forms of trees and shrubs. The area of bush land increased over the period 1990 to 2005 due to degradation of forest and woodland to bush land.

There is no updated data of forest degradation and destruction since 2005 but there is concern that forest loss is continuing unabated.

2.2 Management of forests in Uganda

Over 1,900,000 ha of the forest area is located in gazetted forest reserves managed by the National Forestry Authority (1,270,797 ha) or in National Parks managed by the Uganda Wildlife Authority (731,000 ha), and Local Forest Reserves managed by Local Governments (4,997 ha). A significant portion of these reserves were degraded especially those under Local Government management.

2.3 Sustainable forest management

2.3.1 Biodiversity in Uganda 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 Afromontane 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 Uganda³. However, many of the forest reserves are small in size with only nine of them exceed 50 sq km in 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.

³ Five of these are national parks and 79 are central forest reserves. In addition there are 21 local forest reserves managed by the districts.

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.

2.3.2 Land Tenure

Land tenure in Uganda is regulated under the Constitution of Uganda 1995 (amended 2005), the 1998 Land Act, the Registration of Titles Act and the Customary Land law. There are four forms of land tenure: a) Customary; (b) Freehold; (c) Leasehold and (d) *Mailo*; (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). The Land 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.

The various categories of land tenure have the following implications to deforestation and forest degradation (Table 9)

Table 9: 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. 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.

2.3.3 Forest resource rights and implications for REDD-Plus

According 1998 Land Act, a landowner owns the trees on the land. The landowner can enter agreements such as leases, concessions or licenses that confer rights to others. For example, collaborative management arrangements between local communities and forest authorities (NFA, LGs or UWA) provide access and user rights in forest reserves and protected areas. Forestry companies and individual investors that lease land for tree planting in forest reserves have

ownership of the trees under the terms of the lease. Ownership of carbon in such situations is not clear at present as it is not generally covered in the lease agreements and is not mentioned in the 2004 Forests and Tree Planting Act.

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' can 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.

2.3.4 Implications of deforestation and forest degradation on forest dependent people

The major groupings of forest dependent people in Uganda are the Batwa/Pygmies in the Kabale, Kisoro and Kanungu districts and Benet in the Mt Elgon area in the east. Their major concerns relating to REDD-Plus expressed during consultations were:

- a) Declining forest resources (quantity and diversity)
- b) Access and use of forest resources.
- c) Ownership of Carbon Stocks and participation in Carbon Trade.
- d) Land tenure requirements for participation in Tree planting.
- e) REDD –Plus implementation arrangements that deliver benefits directly to the forest dependent people.

Measures for safeguarding the livelihoods of these people are briefly introduced under section 2D. 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. The above notwithstanding, it is highly probable the measures to be developed under the ESMF will include the following:

- a) Legal provisions in the Constitution, Land Act, Local Government Acts, etc.
- b) Conservation/Protected Areas policies and laws that recognize existence of Forest dependent people within protected areas.
- c) Conservation measures and approaches such as CFM, CRM, which permit 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.

2.4 Forest policy and legal framework

The Government of Uganda carried out a comprehensive reform of the forest sector between 1998 and 2004. The reforms resulted in a new framework for development of the sector consisting of a new Forestry Policy (2001), a new law “The National Forestry and Tree Planting Act (2003)”, a comprehensive National Forest Plan (2002) and a new institutional framework for development of the sector.

A recent review of the new policy and Act carried out in 2010 found that the Policy and Act are comprehensive and relevant and provide the basis for future development of the forestry sector. The review however noted that many provisions in the Act have not been utilized and attributed this to slow progress in developing the regulations and guidelines required to operationalise the Act. The review recommended that development of these regulations and guidelines is an urgent priority and is necessary to effectively implement and operationalise the Act (LTS, 2010).

A number of related laws and policies are relevant to REDD-Plus and are listed in Table 10 below.

Table 10: Key policies and laws relevant to REDD – Plus

Framework	Provisions Relevance to R-PP
Legal frameworks	
The Constitution of Republic of Uganda	Protection of Uganda’s natural resources including Forests Ownership of natural resources by Ugandans and creation of trusteeship arrangements
Forestry and Tree Planting Act 2003	Legal framework for management of forest resources in Forest Reserves Stakeholder participation Sustainable forest management Promotion of farm forestry Establishes Joint management arrangements
Wildlife Act	Legal framework for management of forest resources in wildlife conservation areas Incentives including sharing of benefits from conservation of forests Stakeholder participation
Local Government Act	Stakeholder participation Decentralised (devolved) management of Local forest reserves Carrying out Forestry Extension services Regulating Private Forests and Community Forests
National Environment Act	Environmental standards Incentives including sharing of benefits from conservation Stakeholder participation
Land Act	Stakeholder participation Tenure of trees and Forests
Policy frameworks	
Forest Policy 2001	Stakeholder participation Maintenance of Permanent Forest Estate Sustainable forest management Promotes private sector Provides incentives for forest resources development
Guidelines and Regulations (developed under the National Forestry and Tree Planting Act)	
Private Forest Registration Guidelines	Regulates management of Private Forests Regulates management of Community Forests
Collaborative Forest Management Guidelines.	Community participation in forest management Benefit sharing between NFA and the communities

	Development of community regulations
Development Plans	
National Development Plan	Sustainable development through preservation of natural resources such as forests
National Forest Plan	Sustainable forest management Maintenance of Permanent Forest Estate

2.5 The forest sector institutional framework

The forest sector reform process in Uganda resulted in the creation of 2 new institutions to implement the forest management functions of the former Forestry Department while the regulatory functions remained with the Ministry under the FSSD. The National Forestry Authority (NFA) was set up to manage the Central Forest Reserves, and was given the flexibility and freedom to operate in a more business-like manner than the former Forestry Department. The management of Local Forest Reserves and other functions were decentralised to Local Governments (LGs) for implementation by the District Forest Services. Decentralisation was expected to increase local ownership and deepen democracy in line with the broader government decentralisation policy. The three institutions were designed to operate in a complimentary and programmatic way under the Directorate of Environment Affairs (DEA) in the Ministry of Water and Environment with clearly defined functions described in the 2003 Act and elaborated in the 2002 National Forest Plan.

The recent review of the sector (LTS 2010) found that despite the comprehensive reforms, the new institutions are not functioning to expectations and the sector still faces many challenges with continued destruction and degradation of forests, loss of forest cover, and failure to contribute to improving livelihoods and forest based development to the levels expected in the Forest Policy and the National Forest Plan. The 2010 review recommended a range of measures aimed at building capacity of the institutions, improving linkages and improving governance.

Other key institutions with linkages to the forest sector are Uganda Wildlife Authority (UWA) which is responsible for forests in National Parks, the National Environment Management Authority (NEMA) which coordinates and supervises all environment issues in the country, and the Ministry of Finance, Planning and Economic Development (MoFPED) which is responsible for setting the pace for national development and allocating the necessary financial resources.

Donors, NGOs and the private sector contribute strongly to the forest sector through funding programs and projects, technical assistance and advocacy. There is an estimated 200 CSOs working in the environment and natural resources sector (MWE, 2009).

Table 11: Summary of institutional mandates in relation to REDD-Plus

Institution	Responsibility
Ministry responsible for Forestry (MWE)	Policy development, coordination and supervisions Regulating the forest sector Monitoring and reporting on sector Mobilizing funds for the sector
Ministry responsible for Tourism and Trade	Administration of CITES Convention Licensing/regulating trade in Forestry produce Policy implementation with respect to forested National parks
NFA	Focal Point for REDD-Plus and responsible for formulation of REDD-Plus Strategy for Uganda Management of CFRs Monitoring Forestry Resources

	Capacity and technology development and transfer Stakeholder/community participation 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

2.6 Forest governance

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).

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.

2.7 Underlying causes of Deforestation and forest degradation in Uganda and assessment of measures to address the causes

Deforestation and degradation drivers are analysed in the following subsections laying out the extent of threat and levels of success of past interventions. The analysis is based on consultations carried out during the R-PP preparation and on reports of previous assessments.

1) Agricultural expansion into forested land

The key agents in clearance of forest land for agriculture are small-scale farmers (88 % of the population of Uganda), immigrants and private large scale monoculture farming (Palm Oil and Sugar Canes). 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 forests. The following are the direct agriculture based causes for the current rates and trends of deforestation and forest degradation in Uganda.

- a) Population growth - demand for more land to meet the increasing demand for food for a growing population (UFRIC 2002; Nagujja 2001).
- b) Commercialisation of agriculture - increase in agricultural specialization and commercialization, 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.
- c) Poor agricultural practices and resultant soil degradation.
- d) Weak agricultural extension system.
- e) Problem animal control – clearing forests to remove habitats of crop-destroying animals (mainly monkeys, baboons and wild pigs).
- f) A culture of prestige associated with agricultural land ownership and expansion

The measures implemented to address clearance of forest for agriculture are:

- a) The forest management authorities (NFA and UWA) have carried out many campaigns to evict farmers encroaching on Forest Reserves and National Parks, but with limited success as evictions are highly unpopular and do not have political backing.
- b) Nationwide tree planting campaigns to restore forest land.

2) Unsustainable cutting of trees for charcoal

Selective removal of trees for charcoal production at unsustainable levels is degrading forests and woodlands. Recent studies show consumption levels increasing at 6-7% per year. Forests and woodlands on private or community-owned land are most affected. Charcoal production is a major industry employing 200,00 people (Kayanja and Byarugaba 2001) and contributing US\$ 20m/yr to rural incomes (Knopfle 2008), and contributing millions of dollars in fees to Local Governments annually. Factors responsible for unsustainable levels of charcoal production are:

- a) Substantial urban demand for charcoal.
- b) Increased road access to forests and woodlands.
- c) Limited access to alternative sources of energy.
- d) Low price of charcoal.
- e) Weak regulation of the charcoal trade and of forest resources.
- f) Poor charcoal conversion technology.

The following measures have been implemented to address unsustainable charcoal production and marketing.

- a) Introduction of MBA-CASA kilns with charcoal yield efficiency between 30-35%. These were not adopted as they are expensive to construct and are not mobile resulting in high transport costs.
- b) Promotion of energy saving stoves. There are indications that efforts to improve wood/charcoal production and use efficiency have started to have an impact, although the impact on industrial consumers is not yet evident.
- c) Provision of alternative energy sources including 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 recently been established to enforce environmental laws but their operations are yet to start.

3) Unsustainable cutting of trees for firewood

Uganda consumes 16-18 million tonnes of firewood annually mainly in rural areas. This is equivalent to annual per capita consumption of 0.6 tonnes of air-dried wood (Kayanja and Byarugaba 2001).

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

- a) Income generation for rural households.
- b) Concentration of people in internally displaced camps.
- c) Growing energy demand by the small and medium industries.
- d) Weak enforcement of laws governing firewood harvesting especially from private forests.
- e) Wasteful utilization.

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

- a) Promotion of energy efficient stoves – adoption has been moderately successful.
- b) Tree planting and establishment of woodlots by farmers, government institutions and commercial users such as tea factories – results are encouraging.
- c) Rural electrification programmes by government – impact has been modest so far due to high costs involved.
- d) Promotion of alternative forms of household energy such as biogas. Adoption rates have not been encouraging.

4) Unsustainable harvesting of timber

The demand for timber is estimated at 750,000 m³/year (Kayanja and Byarugaba 2001) compared to the current sustainable timber harvesting levels of 53,000m³/year over the next 30 years from central forest reserves. Most timber is currently procured 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 m³/year), plantations (100,000 m³/year) and woodlands (19,300,000 m³/year) on government and private land (FAO, 2005).

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

- a) High demand and market for timber - there is a supply-demand imbalance.
- b) Wasteful methods of wood conversion.
- c) Lack of guidelines and standards on timber harvesting and processing.
- d) High operating costs for legal harvest of timber –a study found that legal pit sawing production costs exceed the sale price and that the majority of pit-sawyers, therefore, operate on private land or illegally (Adokonyero, 2005).
- e) Inadequate forest management planning – only 12 of 506 forest reserves under NFA have approved forest management plans.
- f) Pressure on District Forest Officers to generate revenue from timber production licenses.
- g) Unclear legislation regarding control harvesting timber from private forests.
- h) Mistrust of forest officials by local people.

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) A ban by NFA on use of chain saws to produce timber has been successful 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. They are potentially very useful in combating unsustainable and not used and are not readily accessible.
- e) The NFA and URA track timber by conducting impromptu operations on timber outlets in Kampala to capture 'illegal' timber. There have been difficulties in implementing this but the Green Police that has been established may be able to take over this role effectively.
- f) Certification targeting plantations is gaining momentum but has not been done yet for management in natural forests.
- g) Tree planting initiatives mainly supported by donors. The impact on unsustainable harvesting is long-term.
- h) Collaboration between NFA and NGOs on arresting transport trucks carrying illegal logs. This has been successful in a small number of cases.

5) Livestock grazing and bush burning

Nomadic herdsman, ranchers and hunters have a moderate impact on deforestation and degradation in Uganda through fires aimed at improving grazing or hunting or through pasture improvement by removing trees. The ongoing interventions seeking to address this problem include increasing access to water for livestock, development of bye-laws by local governments to regulate bush fires, and civic or environmental education. These interventions have not had a major impact on these long established practices.

6. Conclusions on drivers of deforestation and degradation

Previous efforts to address the drivers of deforestation and degradation have not been successful due to several factors including poor governance, weaknesses in the law enforcement, lack of regulations and guidelines, and lack of access to relevant information on the forest resources,

knowledge gaps and capacity constraints. These factors can be regarded as indirect drivers of deforestation and degradation.

Efforts to reduce deforestation and degradation in Uganda should therefore seek to address both the direct and indirect drivers including governance issues, political interests, institutional capacities and credibility, population pressures, benefits sharing, tenure of land and tree resources, alternatives to forestry resources, and law enforcement capacity.

The lack of up to date information on the status of forest resources is a significant knowledge gap. The most recent information is from 2005. Generation of this information during the R-PP period is a priority activity.

There have been some notable successes in addressing deforestation. The most notable is the expansion of tree growing by the private sector that has occurred over the past decade. As a response to the degraded status of many forest reserves, the NFA adopted a Public-Private Partnership approach to re-establish forest cover in these reserves, through leasing degraded forest and to both small private investors and large multi-national forestry companies. Most private investors in gazetted reserves are small to medium scale tree growers with up to 500 hectares. They have planted 15,104 hectares in CFRs since 2002. Besides the publicly managed forest reserves, there is a growing number of privately owned commercial forests. This indicates that tree growing is becoming a more attractive venture to small and medium-scale investors (NDP 2010) and well as to larger commercial forestry companies. Many of these growers have adopted sustainable forest management (SFM) standards.

7. Proposed activities and budget for the R-PP period

No activities or budget are proposed under 2a. Relevant activities such as additional information requirements will be covered in the budget in component 2b.

2B. REDD STRATEGY OPTIONS

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. 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 section 2.8 and elaborated in Annex 2. The process for developing and finalising the REDD-Plus Strategy is also provided in section 2.9 hereunder.

2.8 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:

- 6) **Objective #1:** To develop and elaborate on actions for addressing the direct drivers of deforestation and forest degradation in Uganda.
- 7) **Objective #2:** To develop practices for sustainable forest management and conservation.
- 8) **Objective #3:** To define and pilot test processes for stakeholder engagement in implementing Uganda's REDD-Plus Strategy.
- 9) **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.
- 10) **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 strategies are discussed in detail in Appendix 2 and summarized in the table below

Table 12: Potential options for inclusion in the REDD-Plus strategy

Driver	Issues	Potential Strategy	Potential Areas of Intervention
Agricultural Encroachment	✓ Largely subsistence and practicing bush clearing for expansion of agricultural land	Strategic Option #1: Strategies for addressing deforestation and forest degradation caused agricultural encroachment	Strengthening partnerships with Communities as neighbours to protected forest areas
	✓ Agricultural encroachment into protected areas		Clarification of property rights to forest and trees
	✓ Competition between trees and other crops for available land		Agricultural intensification
			Increasing land productivity
Charcoal Production	✓ Mostly responding to internal and out of country markets in Sudan, Rwanda and Kenya	Strategic Option #2: Addressing unsustainable charcoal production and utilization.	Regulating Charcoal production and Trade
	✓ Difficult to regulate because		Clarification on land and tree tenure rights in non-protected areas

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Driver	Issues	Potential Strategy	Potential Areas of Intervention
	<ul style="list-style-type: none"> of tenure of land and tree resources ✓ Poor charcoal production technologies that are wasteful ✓ Market prices influenced by unaffordable or lack of alternatives to charcoal energy 		<ul style="list-style-type: none"> Improving charcoal use efficiency Strengthening enforcement and compliance
Firewood harvesting	<ul style="list-style-type: none"> ✓ Mostly responding to large scale consumers – schools, hospitals, military and prisons installations, urban centres, building industry/brick making, tobacco curing ✓ Difficult to regulate because of tenure of land and tree resources ✓ Utilization technologies that are wasteful ✓ Market prices influenced by unaffordable or lack of alternatives to charcoal energy 	Strategic Option #3: Addressing unsustainable firewood harvesting and utilization	<ul style="list-style-type: none"> Increasing biomass on farmland Promotion of alternative and affordable clean energy sources
Timber harvesting	<ul style="list-style-type: none"> ✓ Mostly responding to internal and out of country markets in Sudan, Rwanda and Kenya ✓ Difficult to regulate because of tenure of land and tree resources ✓ Weak enforcement in forest reserved land ✓ Poor timber production technologies that are wasteful ✓ Market prices influenced by booming construction industry and general scarcity, especially of hard wood 	Strategic Option #4: Strategies for addressing unsustainable timber harvesting	<ul style="list-style-type: none"> Management planning Tracking timber movements and trade Improvements in forest utilization Increasing timber stocks Increasing forestry resources competitiveness
Livestock Grazing	<ul style="list-style-type: none"> ✓ Clearing of woodlands and grassland forests for pasture improvement 	Strategic Option #5: Strategies for addressing livestock and grazing	<ul style="list-style-type: none"> Study to assess and analyze the impact of livestock grazing on deforestation/forest degradation in the cattle corridor. Developing strategies for managing woodlands to avoid/minimize degradation from livestock use.
Plight of Forest		Strategic Option #1:	

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Driver	Issues	Potential Strategy	Potential Areas of Intervention
Dependent People		Strategies for reducing risks of deforestation and forest degradation on to vulnerable peoples	
	✓ Benefits to Forest dependent people	Strategic Option #2: Strategies for reducing risks of mitigation measures against deforestation and forest degradation on to vulnerable peoples	
Undefined modalities for stakeholder engagement	<ul style="list-style-type: none"> ✓ Stakeholder participation ✓ Cost effective approaches to community participation ✓ Cost effective approaches to private sector participation 	Develop and pilot test processes for stakeholder engagement in implementing REDD - Plus Strategies	Assessment of the CFM/CRM initiatives and policy guidelines with the view to strengthen benefit sharing issues, mapping out of potential CFM/CRM areas and identifying ways of ensuring a cost-effective negotiation process.
			Assessment of options for widening the private sector engagement e.g., in forest management, aggregating REDD carbon, brokering, or buying the REDD projects.
			Developing procedures and capacities for ensuring equitable and transparent implementation of REDD-Plus in partnership with CSOs.
			Developing procedures for socio-economic monitoring of REDD activities in partnership with universities and UBOS.
			Generating lessons and sharing experiences from NGO Carbon initiatives and projects in order to identify success stories to inform REDD-Plus.
Tools and methodologies for assessing and monitoring REDD-Plus	Inadequate Capacity Weak coordination among various actors	Strategic Option #1: Strategies for building capacity for assessing and monitoring REDD-Plus activities contribution.	Gap analysis of Information-management capacity and capacity to utilize the information to design and implement research; information management

Driver	Issues	Potential Strategy	Potential Areas of Intervention
contribution towards forestry management in Uganda			capacity building for REDD-Plus. Capacity building of lead agency (FSSD).
	Compatibility of REDD M&E and existing M&E Systems	Strategic Option #2: Strategies for integrating monitoring and evaluation of RED Plus activities into existing M&E systems and practices	Developing and testing-pilot community based REDD-Plus monitoring tools and capacities with relevant institutions and selected communities. Developing and testing-pilot procedures for monitoring of co-benefits of REDD-Plus implementation.
Policy, legal, institutional framework		Strategic Option #1: Legal, policy and institutional frameworks for REDD-Plus and regulating Carbon market in Uganda in place.	Law enforcement Addressing legal gaps in forest management
policy, legal, institutional and human capacities		Strategic Option #2: Strategies for building capacity for REDD-Plus Strategy	Capacity needs assessments of lead agencies; designing and implementing capacity building for REDD-Plus.
REDD information management		Strategic Option #3: Knowledge generation about REDD Plus and benefits of its implementation in Uganda	Information management and dissemination
			Information generation

2.9 Description of the process for developing and assessing the strategy options during 2011-2013.

The process for developing, validating and finalizing the REDD-Plus Strategy will involve assessment of the potential strategies outlines above, generating additional information as necessary to refine the strategies, prioritization and selection of strategies that are most likely to be successful and most cost effective, selection of strategies and sites for pilot testing as necessary during the R-PP period, consulting stakeholders on strategic choices, testing and evaluating results, evaluating social and environmental impacts of proposed strategies, and finalization of the REDD-Plus strategy through a consultative process. 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 1a.

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

1. Assign the task of developing the REDD-Plus Strategy to the relevant task forces
 - a. Develop the terms of reference for the task force
 - 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 economic analysis to determine cost effectiveness of the proposed REDD+ strategies on a national scale.
 - b. Carry out evaluation and consultation workshops, incorporate feedback.
 - c. Review the institutional structures for suitability for implementing the proposed strategies.
 - d. Finalise the Draft Strategy for review by the National Steering Committee and stakeholder groups.
 - e. Endorsement of the Strategy by REDD-Plus Steering Committee.
7. Publicity and awareness activities to inform the public and stakeholders of the approved REDD-Plus Strategy for Uganda

Table 13: Developing REDD-Plus Strategies						
Main Activity	Sub-Activity	Estimated Cost (US\$)				
		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	25	-	-	25
	Designate task force membership and lead person	REDD Steering	10	-	-	10
Initiate work of the task force	Hold initial task force meetings, develop the workplan for the task force for the R-PP period leading to completion of the task	REDD Focal Point	60	-	-	60
	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	135	-	-	135
	Designate experts and collect additional information and perform the analyses required	REDD Steering	210	-	-	210
	Select strategies and activities for piloting and testing.	REDD Steering	20	-	-	20
Hold consultative workshops to ensure stakeholder involvement	Hold consultative workshops to ensure stakeholder involvement	REDD Focal Point	60	30	30	120
Begin early implementation of pilot strategies	Finalise plans for early implementation activities and carry SESA on the proposed activities	REDD Focal Point	210	30	30	270
	Approval by National REDD+ Steering Committee for implementation of the activities proposed	REDD Steering	20	10	10	40
	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	135	60	60	255

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	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 intergration in other sectoral programs)	Implementing Agencies	210	2,000	2,000	4,210
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	210	135	135	480
	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	210	135	135	480
	b. Carry out evaluation and consultation workshops, incorporate feedback	REDD Focal Point	60	60	60	180
	c. Review the institutional structures for suitability for implementing the proposed strategies	REDD Focal Point	210	-	-	210
	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 Coosts)	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	300	300	300	900
Total			2,085	2,760	2,760	7,605
Domestic Government		\$	\$	\$	\$	\$
FCPF		\$	\$	\$	\$	\$
UN-REDD Programme (if applicable)		\$	\$	\$	\$	\$
Other Development Partner 1 (name)		\$	\$	\$	\$	\$
Other Development Partner 2 (name)		\$	\$	\$	\$	\$
Other Development Partner 3 (name)		\$	\$	\$	\$	\$

2C. REDD IMPLEMENTATION FRAMEWORK

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. The proposal is to define a more robust institutionalized structure and process that meets the implementation needs for the REDD – Plus Strategy.

The undertaking will aim at 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. The final description of this undertaking will be approved by an appropriate authority so as to accord it the necessary recognition.

2.10 Terms of Reference for designing a National REDD –Plus Implementation Framework in Uganda

The process of defined Uganda’s National REDD implementation framework will be spread headed by the R-PP implementation 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, among others issues.

The definition of the Framework will involve the following steps:

- a) Situational analysis – policy legal and institutional set up
- b) Consultation scoping and analysis of changes needed
- c) Assessment of options for fund management
- d) Consolidation and writing of the strategic and detailed vision
- e) Writing of draft texts of reform
- f) Study on required management capacity and skills
- g) Supporting the first implementation phase of the programme
- h) Training and lobbying
- i) Consultations and completion of legal texts
- j) Institutional administrative costs
- k) Monitoring of the implementation

Main Activity	Sub-Activity	Estimated Cost (US\$)				
		Lead	2012	2013	2014	Total
Develop REDD Implementation Framework	Situational analysis – policy legal and institutional set up	REDD Focal Point	30			30
	Consultation scoping and analysis of changes needed	REDD Focal Point		20		20

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Assessment of options for fund management	REDD Focal Point		30		30
Consolidation and writing of the strategic and detailed vision	REDD Focal Point			20	20
Writing of draft texts of reform	REDD Focal Point			100	100
Study on required management capacity and skills	REDD Focal Point	25	25		50
Supporting the first implementation phase of the programme	REDD Focal Point			200	200
Training and lobbying	REDD Focal Point	30	30	30	90
Consultations and completion of legal texts	REDD Focal Point		50	50	100
Institutional administrative costs	REDD Focal Point	20	20	20	
Monitoring of the implementation	REDD Focal Point			30	
Total		85	155	400	640
Domestic Government	\$	\$	\$	\$	\$
FCPF	\$	\$	\$	\$	\$
UN-REDD Programme (if applicable)	\$	\$	\$	\$	\$
Other Development Partner 1 (name)	\$	\$	\$	\$	\$
Other Development Partner 2 (name)	\$	\$	\$	\$	\$
Other Development Partner 3 (name)	\$	\$	\$	\$	\$

2 D. SOCIAL AND ENVIRONMENTAL IMPACTS

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 framework 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. 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.

2.11 The Social Environmental Impact Assessment process

2.11.1 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.
- f) 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.
- g) **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.

2.11.2 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 (Table15).

Table 15 Terms of Reference for the development of 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 to be defined under section 3.3.4. 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.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.

2.12 Action Plan for development of Environment and Social Management Framework (ESMF)

The following Table 16 presents an action plan to guide the process of formulating the ESMF.

Table 16: Action plan to develop the Environmental and Social Management Framework

Table 16 Budget for Developing the ESMF						
Main Activity	Sub-Activity	Estimated Cost (US\$)				
		Lead	2012	2013	2014	Total
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-Plus 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)	Implementing Institution	60	60		120
	Organize 1 stakeholder workshop per ecological zone to refine the pilot ESMF	Implementing Institution		60		60
	Develop actual REDD-Plus 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	Implementing Institution		15		15
	Participatory Monitoring and Evaluation at specified periods throughout the ESMF development process	REDD Focal Point	20	20	20	60
	Total		\$130	\$155	\$20	305
Domestic Government		\$	\$	\$	\$	
FCPF		\$	\$	\$	\$	
UN-REDD Programme (if applicable)		\$	\$	\$	\$	
Other Development Partner 1 (name)		\$	\$	\$	\$	
Other Development Partner 2 (name)		\$	\$	\$	\$	
Other Development Partner 3 (name)		\$	\$	\$	\$	

COMPONENT 3: DEVELOP A REFERENCE SCENARIO

3. THE REFERENCE SCENARIO

3.1 Definitions

There is no “best practice” to design REDD-Plus reference scenarios or forest monitoring systems. It is also neither believed that it makes sense to define respective practices in detail because the technical and organizational options are plenty. 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. Therefore, the outline of the structure of the reference scenario design refers to the IPCC (2006) Good Practice Guidance. Furthermore, it is important to avoid pitfalls and errors, and that is best done by consulting with experts in forest inventory, carbon accounting and those who have local expertise and can give practical advises. In the Appendix 4 some “to do’s” and “not to do’s” are listed. The list is not aiming to be comprehensive and it needs to be further elaborated.

Key principle criteria to which the design of the reference scenario and the forest monitoring system should conform to are:

- a) The system design and its implementation has to maintain overall credibility;
- b) Objectives should be clearly spelled out and considered.
- c) Adequate precision is required (adequate means: defined as a part of the overall REDD+ objectives and evolving international standards).
- d) Sound methodology based on scientific principles and following statistical sampling criteria.
- e) 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.
- f) Need for experts in the different fields.

A number of key terms need to be clearly and explicitly defined, such as activity data, emission factors, representativeness of collected data, precision requirements for the major attributes and products expected such as maps (most appealing but least precise), statistics etc. Last but not least, *each variable* that is been observed needs to be defined in terms of subject matter and measurement procedure. In the Appendix 4 key terms are defined. Appendix 4 provides procedures for measurement of variables relevant for remote sensing analysis and field inventories. In order to be able to determine the historical emissions from deforestation and forest degradation a forest definition is required, which has several implications:

- a) area eligible for REDD-Plus activities (e.g. areas under agroforestry with a comparatively low crown cover might be excluded or included).
- b) technical requirements to assess deforestation (the lower the crown cover threshold the more limited is the use of remote sensing data).

At the moment Uganda has two forest definitions. The UNFCCC CDM forest definition:

- a) 30 % tree crown cover (i.e. Percent of a fixed area covered by the tree crowns using a vertical projection based on a terrestrial inventory, remote sensing or aerial photo interpretation).
- b) 1 ha minimum forest area.

c) 5 m minimum tree height or able to reach this threshold.

And the FAO definition, which was used for the National Biomass Study:

- a) 10 % tree crown cover.
- b) 0.5 ha minimum forest area.
- c) 5 m minimum tree height or able to reach this threshold.

Unless defined differently by UNFCCC, Uganda will use the FAO forest definition for REDD+ in order to be consistent with the National Biomass Study.

3.2 Activity and Emission Data in Uganda

a) Activity data

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. However, the quality of the emission data is uncertain and needs to be assessed before it can be used to develop the reference scenario.

b) Carbon emission factors

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 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.

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 deforestation and forest degradation activity data and historic emission levels can be extracted. To determine historic emission levels three data points are recommended (GOFC-GOLD Sourcebook, 2009). This means an additional remote sensing analysis exercise needs to be conducted and for each land use class within the forest at least three data points of sufficient quality are required (the NFA is currently preparing to analyse Landsat data for 2010).

Unfortunately, the precision level of the remote sensing and the biomass field inventory is unknown or not according to IPCC standards and needs to be analysed. Depending on the precision level achieved data may have to be reanalysed and the inventory design modified.

With regards to the remote sensing analysis a national wall-to-wall mapping exercise may not be required. Sample based remote sensing analysis with e.g. Rapid Eye images around the field plots

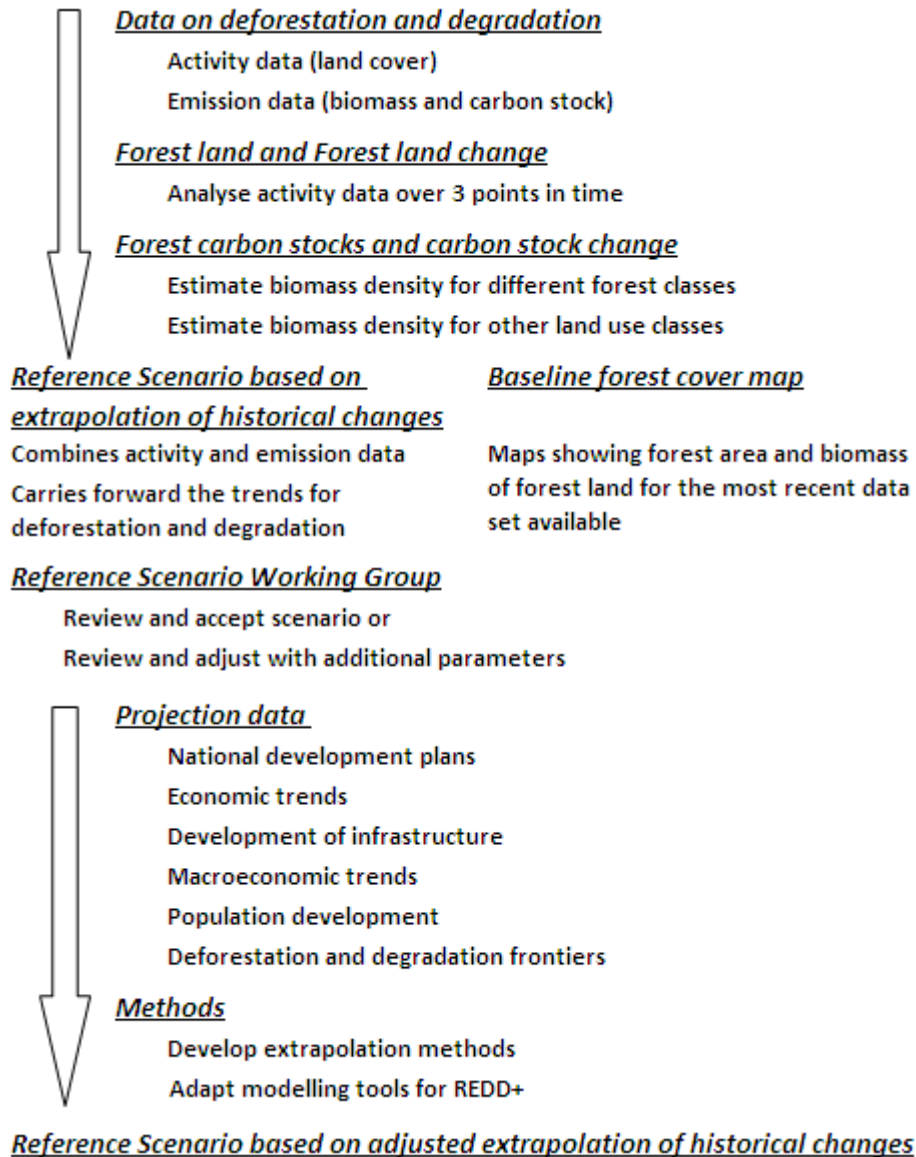
prove to provide statistically robust data at low costs. At sub-national REDD hot spot project areas wall-to-wall images should be used.

3.3 Future Scenarios

3.3.1 Developing the future trajectory

The reference scenario or future trajectory can be set in two ways. The first possibility determines the reference scenario based purely on the historical deforestation and forest degradation rates extending them linear into the future. The second approach is also based on historical emissions but takes future socio-economic changes into account. Modelling land use change with varying parameters will result in several possible future scenarios. The most likely of these scenarios will be set as future trajectory. Figure 3 provides an overview of the two possible approaches to setting a reference scenario and the necessary steps to be taken, which are outlined in more detailed below. Uganda's REDD-Plus working group decided to take the modelling approach which will reflect future emissions under a business as usual scenario better.

Figure 3: Approach and work flow for setting a Reference Scenario



3.3.2 Setting up a “Future Trajectory” working group

A special working group will be set up which will work closely with modelling experts helping to identify and select appropriate modelling methodologies and tools, provide input on parameters to be used for modelling and will select the future trajectory to be used for REDD-Plus in Uganda. The “Future Trajectory” working group will involve individuals from relevant government agencies and NGO’s. The actual composition of this group will be determined by the planning agency for REDD-Plus (National Forest Authority) and the current REDD-Plus working group.

3.3.3 Projection data for modeling

Unless historic emission levels are linear extrapolated in the future data is required to apply models that improve the estimate of the reference scenario. Possible parameters are population growth, national development plans, economic trends and the position of deforestation and degradation frontiers in relation to undisturbed forests. However, these parameters are not applicable equally in any situation. For example a number of studies indicated that population density is not always a good proxy to predict deforestation (e.g. Marcaux, 2000). Whereas, there is a high probability that frontiers of recently deforested areas will be deforested or degraded. It will be the task of the experts and the working group to determine the social, economic and political parameters to be used.

3.4 Capacity needs

During consultation meetings the institutional capacity for REDD-Plus inventory and monitoring of different governmental and non-governmental organizations at national level was evaluated (Appendix 4). The National Forestry Authority is considered to be the most suitable institution to develop the Reference Scenario 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 or options to outsource individual tasks should 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 scenarios a national framework should be established with the option to integrate higher resolution data or additional variables to be monitored at the sub-national level. Below a summary of the existing capacities is presented, while a detailed SWOT analysis can be found in Appendix 4.

3.4.1 Existing capacities

To determine data availability and gaps a survey of studies and projects concerned with land cover, land use and biomass of the aforementioned institutions was conducted. The results are outlined below.

Major gaps regarding know how and technology are can be found the analysis of high resolution remote sensing data and in the application of IPCC and UNFCCC guidelines and rules. Additionally some of the concerned agencies, in particular the Forestry Sector Support Department, are seriously understaffed.

Governmental 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.

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.

3.4.2 Capacities Gaps /Needs

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 (Appendix 4) 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.

3.4.4 Capacity building effort

Both the capacity of government agencies as well as of research institutions can be strengthened by fostering close cooperation with NGO's, especially WCS and WRI. 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 scenario (Appendix 4) on training for inventory, GIS and reporting teams).

In addition to that 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.

Data availability and gaps: To determine data availability and gaps a survey of studies and projects concerned with land cover, land use and biomass of the aforementioned institutions was conducted.

Table 17: Summary table of Reference Scenario Activities and Timelines

Table 17: Summary Table of Reference Scenario Activities, Schedule and Budget						
Main Activity	Sub-Activity	Lead	Estimated Cost (US\$)			Total
			2012	2013	2014	
Design and Coordination		National Focal Point	100	50	100	150
Capacity building		National Focal Point	20	20	0	20
Evaluate and modify the NBS	Accuracy assessment of NBS	Implementing Institution	20		0	-
	Methodology modification to match REDD+ requirements	Implementing Institution	25	25	0	25
Remote sensing data (gather and process activity data)	Acquisition of equipment (hardware & software)	Implementing Institution		100	0	100
	Acquisition of remote sensing data	Implementing Institution		600	0	600
	Data processing, analysis & interpretation	Implementing Institution			200	200
	Accuracy assessment	Implementing Institution			10	10
Field inventory (gather and evaluate emission data)		Implementing Institution	50	50	100	150
Historical emissions	Combination of activity and emission data	Implementing Institution			50	50
Reference Scenario including peer review	National Reference Scenario	Implementing Institution		40	0	40
	Selection of hot spots and develop 1-2 sub-national reference scenarios	Implementing Institution			40	40
Total			\$215	\$885	\$500	1,600
Domestic Government		\$	\$	\$	\$	\$
FCPF		\$	\$	\$	\$	\$
UN-REDD Programme (if applicable)		\$	\$	\$	\$	\$
Other Development Partner 1 (name)		\$	\$	\$	\$	\$
Other Development Partner 2 (name)		\$	\$	\$	\$	\$
Other Development Partner 3 (name)		\$	\$	\$	\$	\$

COMPONENT 4: DESIGNING A MONITORING SYSTEM

4. EMISSIONS AND REMOVAL

4.1 Scope of MRV in Uganda

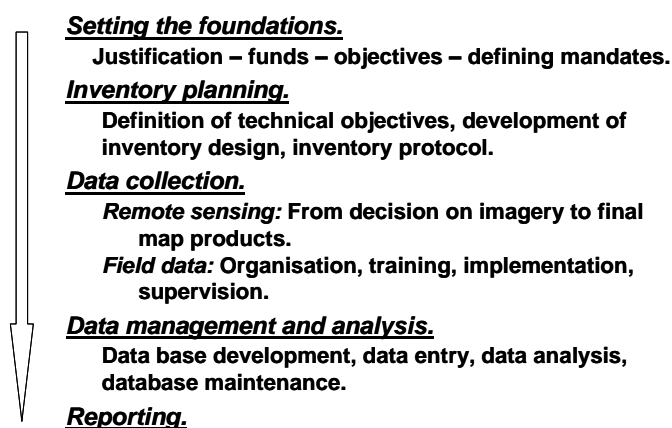
The design of a forest monitoring system requires thorough planning to be successful. Overall credibility of the methodology and the results is the major guiding principle for designing such a system. A monitoring system varies considerably as a function of the i) specific set of major objectives, ii) local biophysical and institutional conditions, iii) size of the inventory area and iv) data sources and v) overall resources available. Forest monitoring systems need to be methodologically sound – and economically feasible.

In conclusion an integrated national – sub-national monitoring system as outlined in Appendix 4 is considered the best option for REDD-Plus. The system should provide costly but highly accurate emission data for deforestation and forest degradation hot spots and less costly but reliable data on national level, permitting Uganda to claim credible emission reduction credits at comparatively low cost.

4.1.1 Procedure of Planning

The general monitoring system design principles to be applied are illustrated in Figure 4. 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 4: Procedure for designing the forest monitoring system



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.

4.1.3 Defining mandates

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 decided 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:

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

4.1.4 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 Appendix 4.

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 analyse 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.

4.1.5 Design of sub-national monitoring systems

The final design of the sub-national monitoring system (e.g. in a nested approach) 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 prioritisation 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. 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

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+ 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 should 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 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.

4B. MONITORING OTHER BENEFITS AND IMPACTS

Monitoring of co-benefits of REDD-Plus implementation will be an integral part of the monitoring system, among others to meet the monitoring requirements of the UN Convention on Biological Diversity. Furthermore, important forest and non-forest products, including ecosystem services will be monitored either in the framework of the national monitoring system, sub-national monitoring or dedicated research projects. Of course this requires additional funding which needs to be secured.

4.3 Budget for designing a Monitoring Plan

Table 18 Budget for designing Monitoring Plan

Table 18: Summary Table of MRV Activities, Schedule and Budget						
Main Activity	Sub-Activity	Estimated Cost (US\$)				
Coordination			50	50	-	100
Objectives and standards of the monitoring system			20		200	220
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 ecological and social co-benefits		50	50	-	100
	Selection of methodology and tools			30	-	30
	Development of procedures and work plans			20	-	20
Development of reporting system	Design of data management system			40	20	60
	Integration of REDD+ projects				20	20
System review	Equipment			30	40	70
MRV implementation	Acquiring remote sensing data				-	-

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	Acquiring field inventory data				105	105
	Data processing and analysis				100	100
	QC and QA				125	125
	Verification				100	100
	Total		\$205	\$275	\$750	1,230
	Domestic Government	\$	\$	\$	\$	\$
	FCPF	\$	\$	\$	\$	\$
	UN-REDD Programme (if applicable)	\$	\$	\$	\$	\$
	Other Development Partner 1 (name)	\$	\$	\$	\$	\$
	Other Development Partner 2 (name)	\$	\$	\$	\$	\$
	Other Development Partner 3 (name)	\$	\$	\$	\$	\$

**COMPONENT 5: DESIGN A PROGRAMME MONITORING AND
EVALUATION FRAMEWORK FOR R-PP**

5. MONITORING SYSTEM FOR R-PP IMPLEMENTATION (2012-2014)

The R-PP implementation monitoring will aim 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 will also involve routine information gathering, analysis and reporting to Lead Ministry and Implementing institutions, development partners, communities and other stakeholders. Evaluation shall represent a systematic and objective assessment of R-PP activities in terms of their design, implementation and results.

An M & E framework and strategy will be prepared by the REDD – Plus National Focal Point and agreed upon by the R-PP Steering Committee at the beginning of implementation of the R-PP. The R-PP Monitoring and Evaluation Framework will 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 strategy 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

5.1 M&E implementation modalities and responsibilities

The day to day responsibility for implementing the R-PP M&E Strategy 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

5.2 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.

5.3 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.

COMPONENT 6: SCHEDULE AND BUDGET

6. IMPLEMENTATION AND BUDGET

6.1 Implementation strategy

The R-PP shall be implemented as a framework for developing, assessing 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 action corresponding to their assigned tasks (Component 1 a). The overall implementation responsibility shall be coordinated by the MWE as a convener and facilitator for the R-PP process for Uganda.

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 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 Partners institutions shall be used as appropriate and complemented by external 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 and Culture. Integration will be achieved at annual work planning levels. Measurements for the progress on these issues will be integrated into annual M&E indicators.

6.2 Capacity needs for R-PP implementation

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, 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.

6.3 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.

6.4 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.

6.5 Risks and Assumptions

There are 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) **Implementing R-PP with multiple players:** This risk would be addressed through developing and applying a strong M&E framework and processes for convening and bringing into action different players including, various coordination and supervision mechanisms (Component 1a).
- b) **Applying the REDD Plus procedures and standards:** R-PP is a new development process in the country and as such, its implementation considerations and approaches require a new institutional approach. To manage this risk, the role of Experts and Facilitators may be required on deserving cases.
- c) **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.
- d) **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.

6.6 R-PP Implementation Budget

National Readiness Management Arrangements Activities and Budgets (US\$)						
Main Activity	Sub-Activity	Estimated Cost (US\$)				
		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
Total			\$62	65	68	195
Domestic Government		\$	\$	\$	\$	\$
FCPF		\$	\$	\$	\$	\$
UN-REDD Programme (if applicable)		\$	\$	\$	\$	\$
Other Development Partner 1 (name)		\$	\$	\$	\$	\$
Other Development Partner 2 (name)		\$	\$	\$	\$	\$

Activity Plan and Schedule for Developing REDD-plus Consultation and Out-reach Plan and Budget						
Main Activity	Sub-Activity	Estimated Cost (US\$)				
		Lead	2012	2013	2014	Total
Identify and recruit Experts	Develop Terms of Reference	REDD Focal Point	1	-	-	1
	Recruit Consultant/experts	REDD Focal Point				-
Prepare REDD-COP	Commission Consultants	REDD Focal Point	8	-	-	8
	Supervise Consultants	REDD Focal Point				-
Validate REDD-COP	Convene Stakeholders platform/workshop to review and provide input into the draft REDD-COP and communications tools	REDD Focal Point	12	-	-	12
Disseminate the REDD-COP	Publish and disseminate REDD-COP	REDD Focal Point	2	3	-	5
Integrate REDD-COP into R-PP	Revise the R-PP document	REDD Focal Point				-
Stakeholder engagement in R-PP Finalization	Conduct Stakeholder consultations /facilitate Stakeholder participation in various aspects of R-PP	REDD Focal Point	80	120	100	300
Monitoring effectiveness of Stakeholder engagement	Develop and apply M&E tools	REDD Focal Point	2	4	6	12
Total			\$105	127	106	338
Domestic Government		\$	\$40	\$	\$	\$
FCPF		\$	\$70	\$	\$	\$

UN-REDD Programme (if applicable)		\$	\$	\$	\$	\$
Other Development Partner 1 (name)		\$	\$	\$	\$	\$
Other Development Partner 2 (name)		\$	\$	\$	\$	\$
Other Development Partner 3 (name)		\$	\$	\$	\$	\$
Activity Plan and Schedule for Developing REDD-plus Awareness and Communication Strategy (RACS) and Budget						
Main Activity	Sub-Activity	Estimated Cost (US\$)				
		Lead	2012	2013	2014	Total
Identify and recruit Experts	Develop Terms of Reference	REDD Focal Point	2			2
	Recruit Consultant/experts	REDD Focal Point				-
Prepare RACS	Commission Consultants	REDD Focal Point	8			8
	Supervise Consultants	REDD Focal Point				-
Validate RACS	Convene Stakeholders platform/workshop to review and provide input into the draft REDD-RACS and communications tools	REDD Focal Point	12			12
Disseminate the RACS	Publish and disseminate RACS	REDD Focal Point	5			5
Integrate RACS into R-PP	Revise the R-PP document	REDD Focal Point	NIL			-
Stakeholder informed of REDD-Plus and R-PP	Implement RACS	Lead Institution	100			100
Monitoring effectiveness of Stakeholder engagement	Develop and apply M&E for RACS	REDD Steering	12			12
Total			\$139	-	-	139
Domestic Government		\$	\$	\$	\$	\$

FCPF		\$	\$	\$	\$	\$
UN-REDD Programme (if applicable)		\$	\$	\$	\$	\$
Other Development Partner 1 (name)		\$	\$	\$	\$	\$
Other Development Partner 2 (name)		\$	\$	\$	\$	\$
Other Development Partner 3 (name)		\$	\$	\$	\$	\$
Developing REDD-Plus Strategies						
Main Activity	Sub-Activity	Estimated Cost (US\$)				
		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	25	-	-	25
	Designate task force membership and lead person	REDD Steering	10	-	-	10
Initiate work of the task force	Hold initial task force meetings, develop the workplan for the task force for the R-PP period leading to completion of the task	REDD Focal Point	60	-	-	60
	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	135	-	-	135
	Designate experts and collect additional information and perform the analyses required	REDD Steering	210	-	-	210
	Select strategies and activities for piloting and testing.	REDD Steering	20			

Hold consultative workshops to ensure stakeholder involvement	Hold consultative workshops to ensure stakeholder involvement	REDD Focal Point	60	30	30	120
Begin early implementation of pilot strategies	Finalise plans for early implementation activities and carry SESA on the proposed activities	REDD Focal Point	210	30	30	270
	Approval by National REDD+ Steering Committee for implementation of the activities proposed	REDD Steering	20	10	10	40
	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	135	60	60	255
	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 intergration in other sectoral programs)	Implementing Agencies	210	2,000	2,000	4,210
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	210	135	135	480

	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	210	135	135	480
	b. Carry out evaluation and consultation workshops, incorporate feedback	REDD Focal Point	60	60	60	180
	c. Review the institutional structures for suitability for implementing the proposed strategies	REDD Focal Point	210	-	-	210
	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 Coosts)	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	300	300	300	900
Total			2,085	2,760	2,760	7,605
Domestic Government			\$	\$	\$	\$
FCPF			\$	\$	\$	\$
UN-REDD Programme (if applicable)			\$	\$	\$	\$

Other Development Partner 1 (name)	\$	\$	\$	\$	\$	
Other Development Partner 2 (name)	\$	\$	\$	\$	\$	
Other Development Partner 3 (name)	\$	\$	\$	\$	\$	
REDD Implementation Framework						
Main Activity	Sub-Activity	Estimated Cost (US\$)				
		Lead	2012	2013	2014	Total
Develop REDD Implementation Framework	Situational analysis – policy legal and institutional set up	REDD Focal Point	30			30
	Consultation scoping and analysis of changes needed	REDD Focal Point		20		20
	Assessment of options for fund management	REDD Focal Point		30		30
	Consolidation and writing of the strategic and detailed vision	REDD Focal Point			20	20
	Writing of draft texts of reform	REDD Focal Point			100	100
	Study on required management capacity and skills	REDD Focal Point	25	25		50
	Supporting the first implementation phase of the programme	REDD Focal Point			200	200
	Training and lobbying	REDD Focal Point	30	30	30	90
	Consultations and completion of legal texts	REDD Focal Point		50	50	100
	Institutional administrative costs	REDD Focal Point	20	20	20	
	Monitoring of the implementation	REDD Focal Point			30	

Total		85	155	400	640
Domestic Government	\$	\$	\$	\$	\$
FCPF	\$	\$	\$	\$	\$
UN-REDD Programme (if applicable)	\$	\$	\$	\$	\$
Other Development Partner 1 (name)	\$	\$	\$	\$	\$
Other Development Partner 2 (name)	\$	\$	\$	\$	\$
Other Development Partner 3 (name)	\$	\$	\$	\$	\$
Developing the ESMF					
Main Activity	Sub-Activity	Estimated Cost (US\$)			
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		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		15		15
	Participatory Monitoring and Evaluation at specified periods throughout the ESMF development process	REDD Focal Point	20	20	20	60
Total			\$130	155	20	305
Domestic Government		\$	\$	\$	\$	\$
FCPF		\$	\$	\$	\$	\$
UN-REDD Programme (if applicable)		\$	\$	\$	\$	\$
Other Development Partner 1 (name)		\$	\$	\$	\$	\$
Other Development Partner 2 (name)		\$	\$	\$	\$	\$
Other Development Partner 3 (name)		\$	\$	\$	\$	\$
Reference Scenario Activities, Schedule and Budget						
Main Activity	Sub-Activity	Estimated Cost (US\$)				
Design and Coordination		REDD Focal Point	100	50	100	150
Capacity building		REDD Focal Point	20	20	-	20
Evaluate and modify the NBS	Accuracy assessment of NBS	REDD Focal Point	20		-	-
	Methodology modification to match REDD-Plus requirements	REDD Focal Point	25	25	-	25
Remote sensing data (gather and process activity data)	Acquisition of equipment (hardware & software)	REDD Focal Point		100	-	100

	Acquisition of remote sensing data	REDD Focal Point		600	-	600	
	Data processing, analysis & interpretation	REDD Focal Point			200	200	
	Accuracy assessment	REDD Focal Point			10	10	
Field inventory (gather and evaluate emission data)		REDD Focal Point	50	50	100	150	
Historical emissions	Combination of activity and emission data	REDD Focal Point			50	50	
Reference Scenario including peer review	National Reference Scenario	REDD Focal Point		40	-	40	
	Selection of hot spots and develop 1-2 sub-national reference scenarios	REDD Focal Point			40	40	
Total				\$215	885	500	1,600
Domestic Government		\$	\$	\$	\$	\$	
FCPF		\$	\$	\$	\$	\$	
UN-REDD Programme (if applicable)		\$	\$	\$	\$	\$	
Other Development Partner 1 (name)		\$	\$	\$	\$	\$	
Other Development Partner 2 (name)		\$	\$	\$	\$	\$	
Other Development Partner 3 (name)		\$	\$	\$	\$	\$	
MRV Activities, Schedule and Budget							
Main Activity	Sub-Activity	Estimated Cost (US\$)					
Coordination			2012	2013	2014	Total	
			50	50	-	100	

Objectives and standards of the monitoring system			20		200	220
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 ecological and social co-benefits		50	50	-	100
	Selection of methodology and tools			30	-	30
	Development of procedures and work plans			20	-	20
Development of reporting system	Design of data management system			40	20	60
	Integration of REDD+ projects				20	20
System review	Equipment			30	40	70
MRV implementation	Acquiring remote sensing data				-	-
	Acquiring field inventory data				105	105
	Data processing and analysis				100	100
	QC and QA				125	125

	Verification				100	100
Total			\$205	275	750	1,230
Domestic Government		\$	\$	\$	\$	\$
FCPF		\$	\$	\$	\$	\$
UN-REDD Programme (if applicable)		\$	\$	\$	\$	\$
Other Development Partner 1 (name)		\$	\$	\$	\$	\$
Other Development Partner 2 (name)		\$	\$	\$	\$	\$
Other Development Partner 3 (name)		\$	\$	\$	\$	\$

GRAND TOTAL

12,052

7 REFERENCES

8. ANNEXES

Attached as separate Documents/file

9. APPENDICES

Attached as separate Documents/file