

**UGANDA INVESTING IN FORESTS AND PROTECTED AREAS FOR  
CLIMATE-SMART DEVELOPMENT PROJECT**

**Ministry of Water and Environment  
Ministry of Tourism, Wildlife and Antiquities  
National Forestry Authority  
Uganda Wildlife Authority**

**PROCESS FRAMEWORK**

**December 12, 2019**

## TABLE OF CONTENTS

LIST OF TABLES .....	II
LIST OF FIGURES .....	II
ACRONYMS AND ABBREVIATIONS .....	III
<b>1 INTRODUCTION .....</b>	<b>6</b>
1.1 BACKGROUND .....	6
1.2 PURPOSE OF THE PROCESS FRAMEWORK .....	6
<b>2 PROJECT DESCRIPTION .....</b>	<b>8</b>
2.1 BACKGROUND .....	8
2.2 PROJECT DEVELOPMENT OBJECTIVE .....	9
2.3 OVERVIEW OF PROJECT COMPONENTS .....	9
<b>3 IMPLEMENTING AND COLLABORATING INSTITUTIONS .....</b>	<b>12</b>
<b>4 POLICY, LEGAL AND INSTITUTIONAL FRAMEWORK .....</b>	<b>13</b>
4.1 RELEVANT NATIONAL POLICIES .....	13
4.2 RELEVANT NATIONAL LEGISLATIONS .....	15
4.3 RELEVANT INTERNATIONAL CONVENTIONS .....	16
4.4 RELEVANT REGULATIONS AND GUIDELINES .....	18
4.4 INSTITUTIONAL FRAMEWORK .....	18
<b>6 POTENTIAL RESTRICTIONS ON ACCESS AND LIVELIHOODS .....</b>	<b>20</b>
6.1 DESCRIPTION OF SOME POTENTIAL SOCIAL IMPACT ISSUES ASSOCIATED WITH THE PROJECT .....	20
<b>7 DESCRIPTION OF ELIGIBILITY AND MEASURES FOR MITIGATION FOR AFFECTED COMMUNITIES .....</b>	<b>20</b>
7.1 CONSULTATIONS WITH COMMUNITIES IN THE PROJECT AREA .....	20
7.2 ELIGIBILITY CRITERIA FOR AFFECTED PERSONS AND COMMUNITIES .....	22
7.3 PROPOSED MEASURES TO ASSIST AFFECTED PERSONS AND COMMUNITIES .....	22
<b>8 SETTLEMENT OF DISPUTES AND CONFLICTS .....</b>	<b>31</b>
<b>9 INSTITUTIONAL AND IMPLEMENTATION ARRANGEMENTS FOR PF .....</b>	<b>32</b>
<b>10 MONITORING AND EVALUATION ARRANGEMENT .....</b>	<b>33</b>
10.1 PURPOSE OF MONITORING .....	33
10.2 PROJECT ADMINISTRATIVE REPORTING .....	34
10.3 SOCIO-ECONOMIC MONITORING .....	34
10.4 MONITORING PLANS AND INDICATORS .....	34
<b>11 INDICATIVE BUDGET FOR THE IMPLEMENTATION OF THE PROCESS FRAMEWORK .....</b>	<b>35</b>
<b>12 STAKEHOLDER CONSULTATIONS AND DISCLOSURE .....</b>	<b>36</b>
12.1 CONSULTATIONS .....	36
12.2 DISCLOSURE REQUIREMENTS .....	37
<b>REFERENCES .....</b>	<b>38</b>
<b>ANNEXES .....</b>	<b>39</b>

## List of Tables

Table 1: Description of Process Framework approach .....	7
Table 2: Project Components and Activities .....	9
Table 3: Implementing and Collaborating Institutions .....	12
Table 4: Summary of Relevant National Policies.....	13
Table 5: Relevant National Laws.....	15
Table 6: Summary of Some of Relevant Regional and International Policies and Laws .....	16
Table 7: Relevant Regulations and Guidelines.....	18
Table 8: Summary of the roles and responsibilities of institutions in the Project Implementation .....	18
Table 9: Triggers of World Bank Standards .....	<b>Error! Bookmark not defined.</b>
Table 10: Components/Sub-Components Potential Impacts .....	24
Table 11: Proposed Roles and Responsibilities for implementation of the PF .....	32

## List of Figures

Figure 1: Map of the Project Area .....	v
---	---

## Acronyms and Abbreviations

CFM	Collaborative Forest Management
CFR	Central Forest Reserve
CRM	Collaborative Resource Management
CSO	Civil Society Organization
DLG	District Local Government
DRC	Democratic Republic of Congo
EMA	Environment Management Act
ESA	Environmental and Social Assessment
ESIA	Environmental and Social Impacts Assessment
ESMF	Environmental and Social Management Framework
FDIP	Forest Dependent Indigenous People
GRM	Grievance Redress Mechanisms
FSSD	Forestry Sector Support Department
GBV	Gender-based Violence
GEF	Global Environment Facility
GHG	Greenhouse Gas Emission
GoU	Government of Uganda
Ha	hectare
IAS	Invasive Alien Species
ICESCR	The International Covenant on Economic, Social and Cultural Rights
IDA	International Development Agency
IDA	International Development Association
IGA	Income Generating Activities
IP	Indigenous Peoples
IWGIA	International Work Group for Indigenous Affairs
LC	Local Council
LFR	Local Forest Reserve
LG	Local Government
M&E	Monitoring & Evaluation
MAAIF	Ministry of Agriculture, Animal Industry and Fisheries
MoGLSD	Ministry of Gender, Labour and Social Development
MOLG	Ministry of Local Government
MWE	Ministry of Water and Environment
MWTA	Ministry of Wildlife, Tourism and Antiquities
NEMA	National Environment Management Authority
NFA	National Forest Authority
NFTPA	National Forestry and Tree Planting Act
NGO	Non-Governmental Organization
NLP	National Land Policy
NP	National Park
OPM	Office of the Prime Minister
PA	Protected Areas
PAPs	Project Affected Persons
PDO	Project Development Objective
PF	Process Framework
PRA	Participatory Rural Appraisal
RAP	Resettlement Action Plan

REDD+	Reduced Emissions from Deforestation and Degradation and fostering conservation, sustainable management of forests, and enhancement of forest carbon stocks
RPF	Resettlement Policy Framework
SPGS	Sawlog Production Grant Scheme
UNFCCC	United Nations Framework Convention on Climate Change
UNHCR	United High Commission for Refugees
UWA	Uganda Wildlife Authority
WB	World Bank
WMZ	Water Management Zone
WR	Wildlife Reserve

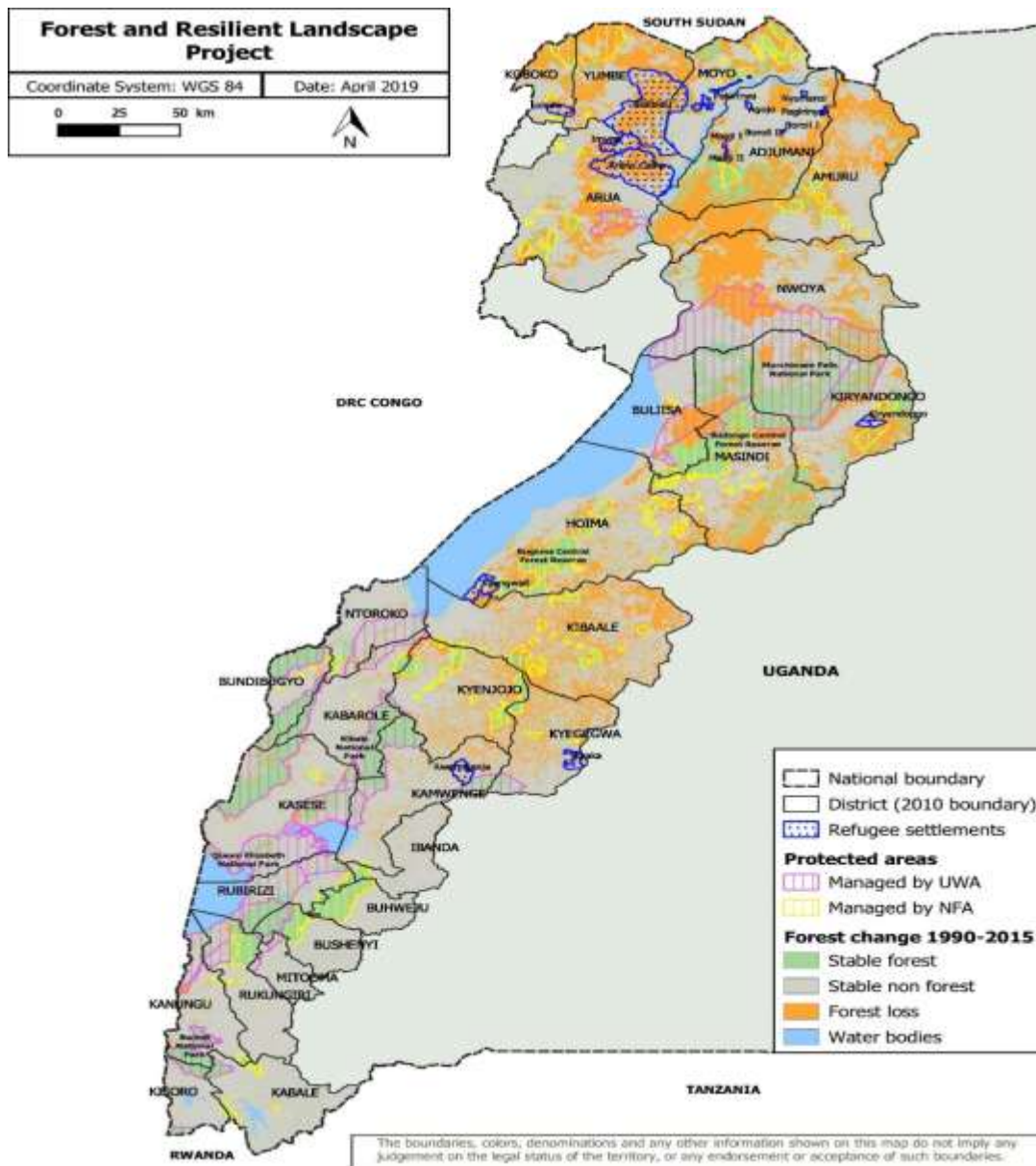


Figure 1: Map of the Project Area

# 1 Introduction

## 1.1 Background

The Government of Uganda has designed the *Investing in Forests and Protected Areas for Climate-Smart Development* Project (the Project) that will be financed by the International Development Association (World Bank) and Government of Uganda (GoU). Preparation of the project is led by the Ministry of Water and Environment (MWE), Ministry of Tourism, Wildlife and Antiquities (MTWA), Uganda Wildlife Authority (UWA), and the National Forestry Authority (NFA).

Project preparation builds on the national REDD+ Readiness processes during which a National REDD+ Strategy was prepared, through a wide stakeholder consultation process. The National REDD+ Strategy includes 8 REDD+ Strategy Options (*details in Annex 1*) which have formed the basis for identifying appropriate interventions to be supported by the Project.

A Strategic Environmental and Social Assessment (SESA) was carried out to assess: the likely positive and negative environmental and social impacts of these suggested Strategic Options; to generate recommendations to the REDD+ strategy to address any legal, institutional, regulatory and capacity gaps to manage these environmental and social impacts; and to provide inputs to the development of the REDD+ National Strategy and implementation planning process so that environmental and social factors are addressed appropriately in the future REDD+ plans.

The following safeguards frameworks are being prepared to identify appropriate mitigation measures for the social and environmental risks under the National REDD+ Strategy: Environmental and Social Management Framework (ESMF), Process Framework (PF), Resettlement Policy Framework (RPF), and the Indigenous Peoples Planning Framework (IPPF).

As part of the project development, the Government of Uganda undertook a process of identifying relevant environmental and social risks related to the Project activities as well as proposed mitigation measures that are included in the project design. This follows upon the World Bank environmental and social risks screening in view of the requirements of the World Bank's Environmental and Social Framework (ESF).<sup>1</sup>

## 1.2 Purpose of the Process Framework

As per the World Bank environmental and social risks screening, the Government of Uganda is required to develop a Process Framework (PF). A process framework is prepared when Bank-supported projects may cause restrictions in access to natural resources in legally designated protected areas. The purpose of the process framework is to establish a process by which members of potentially affected communities participate in design of project components, determination of measures necessary to achieve the objectives of ESS5 (see box below), and implementation and monitoring of relevant project activities.

---

<sup>1</sup> <https://www.worldbank.org/en/projects-operations/environmental-and-social-framework>

This project process framework builds on the process framework prepared for the National REDD+ Strategy considering that the project design is based on key strategy options under the REDD+ strategy.

***World Bank’s ESS5: Land Acquisition, restriction on Land Use and Involuntary Resettlement***

This ESS applies to permanent or temporary physical and economic displacement resulting from the land acquisition or restrictions on land use undertaken or imposed in connection with project implementation, including restrictions on land use and access to natural resources that cause a community or groups within a community to lose access to resource usage where they have traditional or customary tenure, or recognizable usage rights. This may include situations where legally designated protected areas, forests, biodiversity areas or buffer zones are established in connection with the project.

This PF serves as a practical tool to provide guidance for the project in handling any anticipated issues related to restriction of access and use of resources in legally designated central forest reserves, national parks, and wildlife reserves. Therefore, this PF is to be used during the identification, planning, designing and implementation of the mitigation measures and their monitoring.

This PF fulfils the following functions: (i) identifies restrictions of access to central forest reserves, national parks and wildlife reserves; (ii) it determines what activities are likely to lead to access to resources issues; (iii) identifies policies and laws applicable to and actors involved in the identification, planning, designing and implementation; (iv) identifies a mechanism for implementation of mitigation measures; (v) describes the mechanisms for addressing grievances arising from implementation of this process framework;

Therefore, the purpose of this PF is to establish a process by which members of potentially affected communities participate in the identifying and redefining mitigation measures to be addressed in the project components, determination of measures necessary to achieve amicably co-existence, restrictions, and implementation and monitoring of relevant project activities. Although land acquisition is not anticipated, some of the planned activities like fencing, demarcation and enhanced management of protected areas might restrict access to some areas and affect the livelihoods of some neighbouring communities. This PF addresses these risks and incorporates relevant measures in designing of any activities related to boundary demarcation. The PF identifies measures required for avoiding or minimizing any adverse impacts upon local livelihoods and supports the development of alternative livelihoods where and as needed.

Specifically, this PF describes participatory processes by which the following activities will be accomplished: (a) Identification and agreeing of activities that address the restrictions issues in the Project components and how they will be prepared and implemented; (b) Criteria for eligibility of affected communities/persons; (c) Measures to assist affected communities/persons in their efforts to improve their livelihoods or at least restore them to pre-project level. These processes are summarised in Table 1 below.

**Table 1: Description of Process Framework approach**

No	Activities	Description
----	------------	-------------



1	Project components	Project components or activities that may involve new or more stringent restrictions on use of central forest reserves, national parks, wildlife reserves and other protected areas. It also describes the process by which potentially affected communities and persons participate in design of project activities.
2	Criteria for eligibility	Establishes how potentially affected communities/persons will be involved in identifying any adverse impacts, assessing the significance of impacts, and establishing the criteria for eligibility for any mitigating or compensating measures necessary.
3	Assistance to affected communities/ persons	Measures to assist affected communities/persons in their efforts to restore / improve their livelihoods or get alternative livelihoods, while improving and maintaining the sustainability of the forest reserves, national parks, wildlife reserves.
4	Conflicts and grievance redress	It describes alternatives for addressing any grievances and the processes for resolving them. The grievances may arise from members of communities who are dissatisfied with the eligibility criteria, planned measures or actual implementation.
5	Monitoring	It describes monitoring and evaluation mechanism, who does what, what to look for and the use of the results to determine how effective the mitigation measures are.

## 2 Project Description

### 2.1 Background

The geographical focus of the project is on selected priority areas in western and north-western Uganda. The project area includes the Albert Water Management Zone (WMZ) and West Nile region (part of Upper Nile Water Management Zone). The Albert WMZ contains the Albertine Rift, which supports the most carbon-dense forests remaining in Uganda and is also a global biodiversity hotspot (refer to Map 1 of project area). Many intact areas of forest remain in this landscape, but most are under high pressure, and forest areas are also becoming increasingly fragmented. As these forests fragment, their productivities and ability to protect and deliver environmental services, such as catchment protection decline. They also become increasingly vulnerable to forest fires - a trend exacerbated by longer dry periods now being experienced countrywide and in the Albertine region. Fragmentation is also leading to biodiversity loss and, increasingly, Human Wildlife Conflicts as wildlife, such as African elephant and chimpanzees which require large ranges, move between remaining blocks of habitat.

The project is intended to support a landscape approach to improve management and economic productivity of forest ecosystems in the targeted landscapes. It combines investments in forest management in both state-managed and community managed lands. It focuses on improving the management of forests and increasing revenues for sustaining forests and supporting resilient livelihoods.

The project supports higher inclusion and equitable participation of women, men, boys and girls, and the historically marginalized communities of Batwa through specific activities. Attention is given to a range of technical options for addressing gender gaps.

In forest management and use, women are limited in active participation in decision making and leadership; they suffer from inadequate sharing of benefits. Such limitations are attributed to negative cultural beliefs and norms, lower levels of literacy and education, and

disproportionate access to information (e.g. technology) which facilitate exclusion of women, poor households, and vulnerable populations. However, community participatory management models for managing protected areas which are being promoted by the NFA and UWA include all categories of community members. The existing community co-management models are:

- (i) *Collaborative Forest Management (CFM)*- This is an arrangement that is provided for in the National Forestry and Tree Planting Act 2003. By definition, “It is a mutually beneficial arrangement in which a forest user group and a responsible body share role, responsibilities, rights and returns (benefits) in a forest reserve or part of it.” To date, there are over 320 CFM groups in CFRs formally established or are in the process of being established.
- (ii) *Collaborative Resource Management (CRM)*- This is an arrangement of management in protected areas managed by UWA. It is based on the result of a negotiated process, whereby protected area management shares benefits, costs, decision-making authority and responsibilities, rights and roles in the management of wildlife resources with local communities and other stakeholders. UWA started establishing CRMs in the 1990s with an objective of increasing support for conservation.

Under the Uganda Wildlife Act, 2019, a provision has been made for Community Wildlife Committees for each conservation area that oversees the utilization of shared revenue with the CRM.

## 2.2 Project Development objective

The project’s objective is to improve sustainable management of forests and protected areas and increase benefits from forests in target landscapes. The project also contributes to Uganda’s sustainable development priorities and the World Bank Group’s twin goals of ending extreme poverty and promoting shared prosperity in a sustainable manner.

## 2.3 Overview of Project Components

The project has four components with subcomponents as summarised in Table 2.

**Table 2: Project Components and Activities**

Components/sub-components	Activities
<b>Component 1: Investments to improve the management of forest protected areas.</b>	
Focus on improving the management of government-owned forest and wildlife protected areas to ensure they can continue to generate revenues and provide important environmental services. Provide support to seven National Parks, four Wildlife Reserves, and up to 28 CFRs. Implementation led by the NFA and UWA.	
<i>Summary of activities:</i> Improve management of high biodiversity values of forests and for generating jobs and revenues that can help sustain their conservation and increase benefits to local communities.	

<p><b>Sub-component 1.1:</b> <i>Improvement of infrastructure and equipment for the management of forest protected areas</i></p>	<p>Implemented by UWA and NFA</p> <p>Activities include:</p> <p>(i) Provide investments in: (a) grading and maintenance of tracks and trails within protected areas to improve access for park management; (b) boundary planning (including community consultations) and demarcation(using boundary markers),;(c) infrastructure (such as gates and fences); (d) equipment and community-oriented activities to manage human-wildlife (e.g. trenches, fences); (e) investments in staff ranger housing; (f) communications; (g) vehicles and equipment and; (h) management plan revisions and updates.</p>
<p><b>Sub-component 1.2:</b> <i>Increasing the involvement of local communities in the management of forest and wildlife areas by increasing their access and benefits from these areas.</i></p>	<p>Implemented by UWA and NFA</p> <p>Activities include:</p> <p>technical assistance packages and training aimed at developing the skills at community level to actively participate and benefit from the management of forest and wildlife resources. The technical assistance packages will include targeted support for women to empower them to participate and take leadership roles in natural resources management. At field level, support will be provided for community engagement in the management of forest resources within protected areas. This will include establishment of collaborative resource management groups, collaborative forest management groups and support of livelihood activities with existing groups.</p>
<p><b>Sub-component 1.3:</b> <i>Restoration of degraded natural forests and habitats in forest reserves.</i></p>	<p>Implemented by UWA and NFA</p> <p>Activities include:</p> <p>Restoration through natural regeneration (based on enclosure of areas) and, where needed, enrichment planting, including through engaging and employing local communities.</p>
<p><b>Sub-component 1.4:</b> <i>Increased forest protection in CFRs and WRs in close proximity to refugee settlements</i></p>	<p>Implemented by UWA and NFA</p> <p>At a small number of locations (e.g. at Bugoma CFR and Katonga Wildlife Reserve), deployment of additional resources to improve protected area management where there are site-specific threats to high value forest assets, either as a direct result of refugee incursion or indirectly by the added commercial demand for forest products arising from their presence.</p> <p>UWA and NFA to engage local communities in resource management efforts, including forest restoration, and strengthen enforcement efforts to better-protect remaining natural forests in these protected areas. Project supported activities include: (a) community livelihood activities (such as beekeeping and wild mushroom growing); (b) removal of invasive species; (c) forest restoration; (d) improvements for basic protected area management (communication and other equipment, vehicles, ranger posts, essential infrastructure); (e) improvements for wildfire management (fire observation towers and equipment); and (f) boundary demarcation.</p>
<p><b>Component 2: Investments to increase revenues and jobs from forests and wildlife protected areas</b></p> <p>Increase revenues and jobs from these forest and wildlife protected areas through targeted investments in tourism and productive forestry</p> <p><b>Summary of activities:</b> Increase the economic contribution of forests through boosting revenue generation and job creation and strengthen incentives for improved forest management. Investment in</p>	

<p>tourism infrastructure to achieve continued development of nature-based tourism, and in addition, investments to increase forest industry-based jobs and incomes. Targeted information campaign to narrow the gender gap in the forestry sector, support to women entrepreneurs and women-led producer organizations.</p>	
<p><b>Subcomponent 2.1: Investments in tourism</b></p>	<p>Implemented by UWA and NFA</p> <p>Activities include: tourist reception, information and interpretive facilities in identified protected areas</p> <p>infrastructure for new (or improving existing) tourist products and activities.</p>
<p><b>Subcomponent 2.2: Investments in productive forestry</b></p>	<p>Implemented by the MWE.</p> <p>Activities include: Investments to further increase plantation area to reach a critical mass that can meet the demands of the local and regional market Investments to support processing and utilization of forest products to produce higher value wood products.</p>
<p><b>Component 3: Improved tree cover, forest management and landscape resilience on private and customary land, including refugee hosting areas.</b></p> <p>Encourage establishment of greater tree cover in refugee-hosting landscapes outside protected areas, supporting sustainable forest management and landscape resilience on private and customary land.</p> <p><b>Summary of activities:</b> Activities to be led by the MWE. This is to enhance the productivity of the landscape through improved tree cover, forest management and landscape resilience on private and customary land, including in refugee hosting areas. Support channeled through specialist service providers to work closely with DLGs to build capacity and facilitate implementation of agroforestry, small-holder plantation investments, and community forestry. The project will also support an on-farm woodfuels production scheme that will supply woodfuel to target refugee settlements. Activities to be carried out in host communities in refugee hosting districts.</p> <p>Districts selected are: in Albert Rift (Hoima, Kagadi, Kakumiro, Kamwenge, Kibaale, Kikuube, Kiryandongo, Kyegegwa) and West Nile (Adjumani, Amuru, Arua, Koboko, Lamwo, Madi Okollo, Moyo, Obongi, and Yumbe).</p>	
<p><b>Subcomponent 3.1: Increased tree cover on community land in refugee-hosting areas</b></p>	<p>Activities include: Development of intensive, mixed-use agroforestry systems on household plots, with a strong orientation towards multi-purpose woody species that can provide fruit, fodder, fencing, fuel, shade, and also fix nitrogen, in intensive, multi-layered systems suitable for small areas.</p> <p>Support for woodlots on private land. These will enhance the supply of timber, poles, fuel, and other plantation products with seedlings supply from the private nursery network to provide context-appropriate planting material and an extension support mechanism.</p> <p>Enhanced management and protection of natural forests on customary, leasehold and freehold land, through support to establishment of community forests and implementation of activities within them</p> <p>Development and promulgation of Community Forest Regulations, through a consultative process that builds on existing guidelines and experiences, working with legal experts and GoU to secure assent and ensure dissemination and awareness-raising</p>

	Support for district local governments through capacity building, provision of basic support packages of office equipment, for mobility and operational costs.
<b>Subcomponent 3.2: Supporting farm forestry for refugee fuel supply</b>	The project will, therefore, set up a program to purchase fuelwood from communities and supply it to refugees. This will simultaneously stimulate farm forestry, provide an energy lifeline to the refugees, and reduce pressure on natural woodlands.
<p><b>Component 4: Project management support</b></p> <p>Support to overall project management and forest monitoring.</p> <p><i>Summary of activities:</i> Support project management support activities to ensure cost-efficient, timely, and quality delivery of project activities and results.</p> <p>Support for fiduciary management aspects, including procurement and financial management safeguards, social inclusion and gender competency development including a project gender strategy/action, and monitoring, evaluation and reporting.</p>	

### 3 Implementing and Collaborating Institutions

Table 3 provides information on implementing and collaborating institutions and their roles. The application of this PF takes recognition of mandates, procedures, processes and roles of institutions involved in the project.

**Table 3: Implementing and Collaborating Institutions**

Agency	Role	Where applicable	How it applies
<b>Directly implementing</b>			
Ministry of Water and Environment	Initiate legislation, policy formulation, setting standards, inspections, monitoring, and coordination in forests, water, weather, and environment	Conservation and management of the natural resources to prevent degradation such as forests, environment, wetlands, and water.	Issuances of forest concessions, permits Regulations on usage of forests, wetland and environment Area ex-closures that may prevent communities to access the resource
Ministry of Tourism, Wildlife and Antiquities	Initiate legislation, policy formulation, set standards, inspections, monitoring, and coordination for wildlife protected areas, cultural sites, areas of antiques	Management and development of the tourism assets	Issuance of licenses and permits for tourism establishments
National Forestry Authority	Management of central forest reserves such as planting, inspections, monitoring, and coordination for forestry resources	Central forest reserves	Assigning concessions for forest land utilisation and planting. Controlling forest resources exploitation and use can, induces

			restriction of access to the forest land/forest resource by communities.
Uganda Wildlife Authority	Conservation and management of wildlife. Administers national parks and game reserves.	Controlling wildlife conservation areas	Assigns permits. Restriction of access to the game land and exploitation of resources by communities.
<b>Collaborating Institutions</b>			
Office of the Prime Minister (Department of Refugees)	Initiate legislation and policy formulation of refugees, set standards for and administer refugee settlements.	Use of refugee settlement land.	Assigns land for refugee settlements and manages them.
District Local Governments and Sub-County Local Governments	Governance and management of local government jurisdiction. Responsible planning and execution of local development, land and implementation of national policies.	Land use and natural resource management	Guiding and mobilisation in surveys, settling disputes, dissemination of information, creating awareness, following up implementation of plans, participate in the creation of groups and some occasionally provide CFM Community Development Driven Funds

## 4 Policy, Legal and Institutional Framework

Uganda government has commitment to preserving and conserving environment in general, and in particular forests and wildlife. This commitment is demonstrated through enactment and implementation of national laws, and formulation and implementation of policies and regulations that promote and ensure conservation is adhered to. Internationally, a number of ratifications regarding environment and wildlife protection, preservation and conservation have been made including international treaties. Relevant policies, laws and international treaties for this project are summarized in tables below. The use of this PF is guided by these policies and laws.

### 4.1 Relevant National Policies

The relevant national policies related to this project are as summarised in Table 4.

**Table 4: Summary of Relevant National Policies**

Policy	Brief Description
--------	-------------------

<i>Uganda National Land Policy, 2013</i>	Addresses land governance issues including land conflicts and land evictions. Government committed to recognize and protect the rights of people to their ancestral land of ethnic minority groups in the use and management of natural resources, and pay prompt, adequate and fair compensation to individuals, group of individuals and ethnic minority groups that are displaced from their land or ancestral land by any Government action.
<i>Uganda Culture Policy, 2006</i>	Prioritizes protection of the cultures of indigenous minorities that are threatened with extinction by internal and external influences.
<i>Uganda Wildlife Policy, 2014</i>	<p>Promotes the interests of local communities around conservation areas. Ensuring that there is peace, stability and harmonious co-existence between wildlife and people including among others, equitable revenue sharing, regulated resource access and involvement in management.</p> <p>Aims to conserve wildlife resources of Uganda in a manner that contributes to the sustainable development of the nation and the well-being of its people. The Policy under Strategic objective 1(h) and 9(a) emphasises the relevance and need to ‘strengthen protected areas as a focus of local community involvement, pride, ownership and commitment and, where appropriate, a source of socio-economic benefit.</p>
<i>Uganda Forestry Policy, 2001</i>	Recognizes development of partnerships or management agreements with local communities that improve forest management and alleviates poverty. It addresses assurance of improvement of livelihoods in all strategies and actions for the development of the forest sector.
<i>National Climate Change Policy (2015)</i>	Addresses concern for protection of environment.
<i>Draft Land Acquisition, Resettlement and Rehabilitation Policy, 2017</i>	Ensures that people, who are impacted by any kind of development intervention, conservation, disaster and conflict, are treated in a fair and equitable way, and are not impoverished in the process. The goal of the policy is to ensure that all social, economic, and other impacts that result from land acquisition and resettlement are properly identified and mitigated by balancing the interests of national development and related land needs vis-à-vis the rights of affected people
<i>National Environment Management Policy for Uganda (1994)</i>	Ensures sustainable social and economic development that maintains or enhances environmental quality and resource productivity. It requires mainstreaming of environment concerns into national and district plans and activities. It puts emphasis on efficient utilization and management of natural resources, among others.
<i>Uganda National Policy on Conservation and Sustainable Development of Wildlife Resources (2014)</i>	Ensures sustainable management of wildlife populations in and outside wildlife protected areas.
<i>The Energy Policy (2002) and the Renewable Energy Policy for Uganda (2007)</i>	Aims at promoting sustainable management of the biomass resource as well as renewable energy sources of power (such as solar power) that take the pressure off the forests.
<i>National Agriculture Policy (2013)</i>	Aims at ensuring food and nutrition security and improved household incomes through coordinated interventions that focus on enhancing sustainable agricultural productivity and value addition; providing employment opportunities, and promoting domestic and international trade.

<i>Uganda Gender Policy (2005)</i>	Guides to ensure that gender perspective is taken by all stakeholders in planning, resource allocation, implementation and monitoring and evaluation of programmes.
<i>National Biotechnology and Biosafety Policy (2008)</i>	Bring in need for emphasis to be placed in biosafety issues and biotechnology priority areas of agriculture, health, industry, environment, and natural resources development
<i>National Water Policy (1999)</i>	Underpins the importance of forests in the protection of catchments and the water quality and general survival of the water systems.
<i>Uganda Wildlife Authority, Community Conservation Policy, January 2019</i>	<p>The policy goal is to strengthen conservation of wildlife resources through active involvement of communities through sustainable and equitable sharing of conservation benefits and/or costs among all stakeholders. The policy aims at harmonizing existing laws, policies, programmes and plans.</p> <p>The policy provides new directions for sustainable management of wildlife resources, provides an enabling environment and facilitates pro-active implementation of community-based programmes that address aspirations, concerns and interests of communities and other stakeholders and helps UWA to secure the much needed support for wildlife conservation.</p> <p>The Policy recognises the essential role and contribution of community conservation to combat wildlife crime. In addition, it presents a shift toward strengthened interdepartmental collaboration especially between Law Enforcement and Community Conservation teams.</p>

## 4.2 Relevant National Legislations

The relevant Uganda statutory laws and regulations to guide the implementation and monitoring of this project are as summarised in Table 5.

**Table 5: Relevant National Laws**

<b>Law</b>	<b>Brief Description</b>
<i>Constitution of the Republic of Uganda, 1995</i>	<p>The Constitution vests land in the citizens (Article 237: 1). Government or a local government holds in trust for the people and protect natural lakes, rivers, wetlands, forest reserves, game reserves national parks and any land to be reserved for ecological and touristic purposes for the common good of all citizens.</p> <p>The right of the people to own property enshrined in Article 26 and how government can compulsorily deprive one his/her property is provided.</p>
<i>Land Act, 1998</i>	<p>Provides for the tenure, ownership and management of land. Recognizes four tenure systems, i.e. Customary, Mailo, Freehold and Leasehold tenure systems.</p> <p>Section 34 provides that a person who owns land should utilize it in accordance with governing environment and forestry sector policies and regulations.</p> <p>Section 77 provides guidance on the minimum requirements of computation of compensation. For a customary owner, the value of land shall be the open market value of the unimproved land; the value of the buildings on the land, shall be taken at open market value for urban areas and depreciated replacement cost for the rural areas; the value of standing crops on the land, excluding annual crops could be harvested during the period of</p>



	notice given to the tenant; compensation assessed under this section, be paid as a disturbance allowance 15 percent or, if less than a six-month notice to give up vacant possession is given, 30 percent of any sum assessed; the rates set out in the list of rates of compensation determined by district land board is used in determining the amount of compensation payable.
<i>Land Acquisition Act, 1965</i>	The Act makes provision for the compulsory acquisition of land for public purposes and for matters incidental thereto and connected. The Notice must be given to persons having an interest on the land and offers them an opportunity to describe their claims on the land that should be compensated by government.
<i>National Environment Act 2019</i>	Requires NEMA to issue guidelines and prescribe measures for the management of all forests in Uganda.
<i>National Forestry and Tree Planting Act (2003)</i>	Gives legal recognition to collaborative forest management, management of forests and forest reserves including law enforcement and fire management. The Act provides guidelines for utilising forest land and forest products in protected forest areas.
<i>Local Governments Act (1997)</i>	Gives effect to the decentralization of functions, powers, responsibilities and services at all levels of local governments. It gives the existence of the local governments and their responsibilities under their jurisdiction, among them carry development, control local forests carry out conservations of environment.
<i>Uganda Wildlife Act 2019</i>	Provides for the promotion and conservation of wildlife throughout Uganda. Also provides legal backing to community wildlife use rights, including community resource access.

#### 4.3 Relevant International Conventions

At the regional and international levels, Uganda is a signatory to a number of protocols, treaties and conventions. These have implications on this project, preparation of its interventions and for their implementation. This Process Framework underscored the importance of these regional and international obligations. They are contained and summarized in Table 6.

**Table 6: Summary of Some of Relevant Regional and International Policies and Laws**

<b>Policy/legal</b>	<b>Brief Description</b>
<i>The United Nations Convention on Biological Diversity (1992)</i>	The Convention on Biological Diversity provides a comprehensive framework for stopping biodiversity loss. It is a carefully balanced, legally binding international treaty that commits Parties to the triple objective outlined below:  The conservation of biological diversity The sustainable use of its components; and  The fair and equitable sharing of benefits arising from the utilization of genetic resources.
<i>East African Climate Change Policy (2010)</i>	Calls for exploitation of emerging environmental markets through the design of favourable policy instruments.
<i>East African Community Treaty (1999)</i>	Sets out actions to ensure conservation and management of forests.

<i>International Covenant on Economic, Social and Cultural Rights (ICESCR) (1966)</i>	Covenant guarantees a person’s right to social security, adequate standard of living and family life. Adequate standards of living include adequate food, clothing and housing, and to the continuous improvement of living conditions.
<i>Universal Declaration of Human Rights (1948)</i>	The declaration in Article 6 and 7 provides for ensuring that everyone has the right to recognition everywhere as a person before the law and equal before the law and are entitled without any discrimination to equal protection of the law. Article 17 provides for security of property and declares that no one shall be deprived of his/her property.
<i>United Nations Declaration on the Rights of Indigenous Peoples (2007)</i>	<p>Declaration on the Rights of Indigenous Peoples was signed to prohibit discrimination against indigenous peoples and to promote their full and effective participation in all matters that concern them and their right to remain distinct and to pursue their own visions of economic and social development.</p> <p>Declaration also provides for protection of indigenous people’s land. Article 10 states <i>inter alia</i> Indigenous peoples shall not be forcibly removed from their lands or territories and no relocation shall take place without the free, prior and informed consent of the indigenous peoples concerned and after agreement on just and fair compensation and, where possible, with the option of return.</p>
<i>ILO Convention on Indigenous and Tribal Peoples, 1989 (No.169)</i>	<p>Article 2 of the Convention provides that Governments shall have the responsibility for developing, with the participation of the peoples concerned, coordinated and systematic action to protect the rights of indigenous peoples and to guarantee respect for their integrity.</p> <p>Article 4 states that special measures shall be adopted as appropriate for safeguarding the persons, institutions, property, labour, cultures and environment of the peoples concerned.</p> <p>Article 12 provides for safeguarding against the abuse of the rights of indigenous people and gives them authority to take legal proceedings, either individually or through their representative bodies, for the effective protection of these rights. Article 14 provides for the recognition of the rights of ownership and possession of the peoples concerned over the lands, which they traditionally occupy. The rights of the peoples concerned to the natural resources pertaining to their lands are safeguarded in Article 15. These rights include the right of these peoples to participate in the use, management and conservation of these resources.</p> <p>Article 16 states that where the relocation of indigenous peoples is considered necessary as an exceptional measure, such relocation shall take place only with their free and informed consent.</p>
<i>United Nations Framework Convention on Climate Change (UNFCCC) (1992)</i>	Sets out commitments for all parties including commitments that relate to promoting sustainable management, and conservation and enhancement of sinks and reservoirs of all GHGs.
<i>Paris Agreement (2015)</i>	Under Article 5(2) of the Paris Agreement, it provides for REDD+ which this project is built on.
<i>Cancun agreements</i>	REDD+ is foundation where this project is built on, its safeguards are to be respected and promoted by the country’s legal framework. The Cancun safeguards are aimed at

	protecting the integrity of the REDD+ program, and protecting the rights of indigenous peoples and local communities.
--	---

#### 4.4 Relevant Regulations and Guidelines

The relevant regulations and guidelines for the implementation and monitoring of this project are as summarised in Table 7.

**Table 7: Relevant Regulations and Guidelines**

Regulations and Guidelines	Brief Description
<i>Draft National Forestry and Tree Planting Regulations (2013)</i>	Provides for encouraging supportive mechanism for tree planting.
<i>Guidelines for Implementing Collaborative Forest Management in Uganda, December 2003</i>	The purpose of the guidelines is to provide a step by step process for the responsible body, local communities, local governments and any other interested parties in implementing collaborative forest management.
<i>UWA Draft regulations for implementing the community livelihoods scheme</i>	Provide a formal mechanism for planning, implementing and monitoring livelihoods programmes and activities in accordance with approved plan(s).

#### 4.4 Institutional Framework

Investing in Forests and Protected Areas for Climate-Smart Development Project) implementation directly brings in two key ministries (MWE and MTWA) with their line departments and agencies (NFA and UWA), and local governments. The implementation and institutional arrangements are based on existing national and district local government structures. The institutional roles, responsibilities and procedures are derived from the existing institutional mandates and Government established procedures.

The project is administratively housed in the MWE and overseen by the Permanent Secretary MWE. Table 8 contains the summary of roles of respective agencies.

**Table 8: Summary of the roles and responsibilities of institutions in the Project Implementation**

Institution	Roles in the Project	Remarks
<b>Ministry of Water and Environment</b>	<ul style="list-style-type: none"> <li>• Hosts project coordination, implementation and managing overall project reporting</li> <li>• Responsible for annual reviews of the Project</li> <li>• Provide high-level political support to FSSD to ensure multi-sectoral coordination.</li> </ul>	FSSD leads implementation on behalf of MWE and provide technical and coordination

	<ul style="list-style-type: none"> <li>• Lead Project Steering Committee and technical working groups</li> <li>• Provides items for joint annual work program and budget approval.</li> </ul>	responsibility on behalf of the MWE
<b><i>Ministry of Tourism, Wildlife and Antiques</i></b>	<ul style="list-style-type: none"> <li>• Responsible for supervision of the implementation of components under its mandate</li> <li>• Co-chairs Project Steering Committee</li> <li>• Supports project coordination and implementation</li> <li>• Responsible for annual reviews of the Project</li> <li>• Provide high-level political support to UWA.</li> <li>• Provides items for joint annual work program and budget approval.</li> </ul>	Provides policy guidance and oversees UWA
<b><i>NFA</i></b>	<ul style="list-style-type: none"> <li>• Implement forestry activities in and around central forest reserves</li> <li>• Monitors and reports on activities undertakings</li> </ul>	<p>NFA leads activities within CFRs.</p> <p>Responsible for implementation of activities in components that fall under NFA mandate.</p>
<b><i>UWA</i></b>	<ul style="list-style-type: none"> <li>• Implement tourism and national parks and wildlife reserves activities</li> <li>• Monitors and reports on activities undertakings</li> </ul>	Responsible for implementation of activities in and around NPs and wildlife reserves in components that fall under UWA mandate.
<b><i>District level</i></b>	<ul style="list-style-type: none"> <li>• Oversight implementation of project activities in the district</li> <li>• Supporting in supervision, advisory, coordination and planning of project relevant activities</li> <li>• Liaise with the MWE and MTWA and agencies on project implementation</li> <li>• Providing technical personnel for review and assessing compliance, learning lessons, and improving sustainability of the project</li> <li>• Handle issues and supervise issues of integration/mainstreaming of gender, ethnic minority and marginalized group involvement in all project activities</li> <li>• Participate in appraisal of project activities</li> <li>• Participate on issues on land acquisition, allocations</li> </ul>	<p>Work in close cooperation with other agencies on issues of: grievance, training, reviews, integration/mainstreaming of gender, ethnic minority and marginalized group and progress reporting and communication. Lead in activities supporting local forest reserves, forest outside protected areas, erosion control</p>
<b><i>Private sector/ investor</i></b>	<ul style="list-style-type: none"> <li>• Participates and implement selected project activities</li> <li>• Coordinates activities at district and sub-county levels with other agencies and enterprises</li> </ul>	Private sector (investors, consultants, service providers) bid for concessions, contracts for civil works, provision of services, provision of technical assistance.

<b>NGOs/CSOs,</b>	<ul style="list-style-type: none"> <li>• Participates in project activities as will be assigned.</li> <li>• Potential partners in the implementation of some of the activities.</li> </ul>	Be engaged to provide technical and specialist support as appropriate.
<b>Community</b>	<ul style="list-style-type: none"> <li>• Participation in project activities</li> <li>• Implementation of project activities</li> <li>• Reporting on progress</li> </ul>	Communities will be involved in all aspects of the project activities

## 6 Potential Restrictions on Access and Livelihoods

ESS5 applies to the project in anticipation of implementation of activities under component 1, 2, and 3 as long as they are impacting on livelihoods and are resulting in economic restrictions. The approach is consistent with the overall project requirement of involving communities in management of protected areas under community forest management and collaborate forest management arrangements, as determined by Uganda law

### 6.1 Description of Some Potential Social Impact Issues Associated with the Project

The development of the process framework is a requirement for projects that may entail restricted access to legally designated protected areas that result in adverse impacts on the livelihoods of affected persons. Under the project, the process framework is prepared because the enhanced enforcement and boundary demarcation and maintenance activities may restrict community access to some forest-based resources which could result in adverse impacts on community livelihoods. The core project activities focused on promotion and expansion of the collaborative forest management and community resource management aim at providing legal access to specific forest resources within protected areas to communities that have CFM agreements / MOUs for collaborative resources use.

Table 10 contains a summary of some of the potential impact and mitigation measures related to restrictions of forests and wildlife resource use. The livelihood restoration measures will consider issues such as (1) income levels of affected communities/persons, (2) other non-monetary sources of livelihood, (3) constraints and opportunities for income generation, (4) number of persons not able to revert to previous occupation, and (5) existing skills and project preferences of affected persons.

## 7 Description of Eligibility and Measures for Mitigation for Affected Communities

### 7.1 Consultations with Communities in the Project Area

It is important to carry out consultations with various communities in their various settings in the project areas. Different communities have different issues and demands as well as interest. A community is the ultimate recipient of project impacts and benefits, and therefore a key stakeholder. Besides, interventions need community support or participation in order to succeed. Since the community is going to be required to change in some way (its attitudes, behavior) in relation to its interaction with the forests and wildlife, it is fair to have them at the forefront in the refinement of mitigation measures, planning process, designing interventions

and implementation. For instance, community participation in planning will help to solicit and assure support.

For the process to be as inclusive as possible, it is important to use as many avenues as possible to inform all stakeholders through advertisements, local and national radios and televisions, local group meetings, social gatherings, market days gathering, etc.

Women's groups should be especially targeted. Women's role in forest management, game resource use, livelihood interventions, incentive and benefit sharing make them vital to the process.

The message must be simple and clear, and in the languages that the community speaks. This means both using plain, understandable English, and using other languages spoken by people in the community. In the project landscape, these languages include lugbara, lunyoro, kiswahili, lukonjo, rukiga, madi, ubatwa, lutoro and kwakwa.

It is expected that UWA and NFA will convene the meetings. These meetings should be held in collaboration with the local administrative authority (LCI) but led by the local community. The collaboration would be important to lend credibility to the intervention as it may be identified as a community effort rather than an imposition by the government or any particular organization.

Upon identification of the specific communities and activities, the following areas of concern should be covered during consultations with affected communities:

- General strategies in devising use of forest and wildlife resources or alternative means of livelihood;
- How to obtain or enhance access to resources or alternative resources, generally focused on livelihoods;
- Examine access to services including seedlings supply to provide communities with alternatives livelihoods;
- Identify adverse impacts and establish mitigation measure;
- Establish procedures for specific activities and their phasing for particular protected areas.

The discussions on livelihoods impacts and possible mitigation activities encompass; (i) identification and ranking of site-specific impacts; (ii) criteria and eligibility for livelihood assistance; (iii) the rights of persons who have been legally using forest resources or the associated land to be respected, (iv) brief description and identification of available mitigation measures alternatives, taking into account the provisions of applicable local legislation, and the available measures for mitigation actively promoted via project activities; and (iv) considering any additional sound alternatives, if proposed by the affected communities or persons.

Once the consultation process starts, it must be maintained. Stakeholders, including the community, must be kept interested, and support has to be provided when needed, conflicts have to be resolved, methods have to be devised to keep the process reasonably efficient, goals and deadlines have to be set. Key principles of stakeholder engagement are laid out in the project specific stakeholder engagement framework.

## **7.2 Eligibility Criteria for Affected Persons and Communities**

The process for determining eligibility must be participatory and transparent. Once the areas have been selected, this will form activities for reference, as each specific area may have unique characteristics. The next step will be to define what will be undertaken in a particular area and whether it will cause restrictions. Such assessments will identify the number of people affected, activities and anticipated severity of adverse impacts to livelihoods from the imposition of any proposed use restrictions. People entered the area after the assessment has been completed will not be considered.

The provisions of this framework will apply to adjacent communities within a 2 km buffer from the protected areas' boundary.

## **7.3 Proposed Measures to Assist Affected Persons and Communities**

The measures to assist affected persons and communities depend on the type of loss, what they will lose, degree of access restrictions, the location, and available alternatives and opportunities with their suitability as per specific area/location. A fundamental objective of this Process Framework is to ensure that persons and communities affected by restrictions to forests and wildlife resource define and undertake activities that, at least, restore their income to the levels they would have enjoyed, had there been no restrictions. This objective ensures that the extent of mitigation measures is commensurate with the extent of loss of access to resources due to restrictions. This also ensures that those who are affected more severely are assisted to a greater extent than those who incur smaller losses.

Specific measures to mitigate impacts on project/sub-project(s) beneficiary, local communities should include the following, among others, depending on locations/sites:

- Prioritize local community members for employment opportunities in activities within the protected areas, such as restoration planting, removal of invasive species, and infrastructure construction;
- Provide capacity building and trainings to CFM and CRM committee, community committees, local council committees, women and youth groups, elders groups and community-based organisations, in sustainable use and monitoring of forests and wildlife resources, including protection, preservation, conservation, reforestation, tourism management, business enterprises, agriculture practices, fire management, wood harvesting and other community profitable ventures based on identified restrictions and needs;
- Use of deterrents for animals (particularly with hippos and elephants) such as fences, trenches, chilli plants and bee hive from destroying communities' crops;
- Ensure clearly visible demarcation of National Park, Wildlife Reserve, and Forest Reserve boundaries in sensitive areas;
- Promote establishment of sustainable household woodlots, to progressively reduce pressure on resources from forest reserve;
- Provide alternative livelihood support such as collection of non-forest products including mushrooms, medicinal plants, wild fruits and bee-keeping to local communities around forest and forest reserves;
- Engage communities in new business opportunities;

- Through new or old Collaborative Management Committees and CRM, defining modes of beneficiary engagement;
- Make use of new and old Collaborative Management Committees and CRM in identifying training gaps, modes of training, development of products as well as engagement with other stakeholders.
- Conduct project awareness-raising campaigns, to local communities, refugee communities, on the importance of sustainable forests and wildlife management.
- Ensuring participation of communities in the demarcation of boundaries and fencing construction.

Table 10 contains a summary of key mitigation measures related to restrictions of forests' and wildlife resource use.



**Table 9: Components/Sub-Components Potential Impacts**

Components/subcomponents	Proposed Project Activities	Specific Project Activities of Potential Concern	Potential Impacts	Proposed Mitigation Measures
<b>Component 1: Investments to improve the management of forest protected areas</b>				
<p><b>Sub-component 1.1:</b> <i>Improvement of infrastructure and equipment for the management of forest protected areas</i></p>	<p>(a) Provide investments in: (a) grading and maintenance of tracks and trails within protected areas to improve access for park management, (b) boundary planning (including community consultations) and demarcation (using boundary markers), (c) infrastructure (such as gates and fences); (d) equipment and community-oriented activities to manage human-wildlife (e.g. trenches, fences), (e) investments in staff ranger housing, (f) communications, (g) vehicles and equipment, and (h) management plan revisions and updates .</p>	<ul style="list-style-type: none"> <li>• Boundary planning (including community consultations) and demarcation (using boundary markers)</li> <li>• Infrastructure (such as gates and fences)</li> <li>• Equipment and community-oriented activities to manage human-wildlife (e.g. trenches, fences)</li> </ul>	<ul style="list-style-type: none"> <li>• Limitations of access due to establishment of boundaries and demarcations; building of infrastructure such as gates; and establishment of trenches and setting of fences</li> </ul>	<ul style="list-style-type: none"> <li>• Restrictions addressed by CFM and CRM agreements.</li> <li>• Engagement of local communities through their group in determining timing of access to resource and the type/nature.</li> <li>• Involvement of community groups in ensuring sharing</li> <li>• Support to community-based tourism initiatives.</li> <li>• Accommodating controlled harvesting by locals to the extent possible in protected area management plans and CFM agreements / CRM MOUs.</li> </ul>
<p><b>Sub-component 1.2:</b> <i>Increasing access to and benefit from forest and wildlife protected areas for local communities.</i></p>	<p>Support for an increase of area under Collaborative Forest Management and resource management agreements- 45 new and 24 renewed CFM agreements and up to 120 new resource management agreements.</p> <p>Provision of technical assistance to women’s associations to support CFM planning and implementation that promotes women’s engagement in CFM.</p>	<ul style="list-style-type: none"> <li>• Setting of Collaborative Forest Management agreements.</li> <li>• Identification of women associations.</li> <li>• Empowering of women associations</li> </ul>	<p>These activities are expected to have overall positive impact on enhancing communities’ livelihoods due to improved access to the designated areas within national parks, wildlife reserves and central forest reserves</p>	<ul style="list-style-type: none"> <li>• General sensitization of communities and setting of livelihood activities that will contribute to increased earning.</li> <li>• Engagement of local communities in resource management efforts, including forest restoration ensures better sharing</li> <li>• Technical assistance to build the skills for empowering women for management and leadership in CFM and producer organizations</li> </ul>

	Technical assistance to build the skills needed to empower women for management and leadership in CFM and producer organizations and strengthen women-led producer organizations.			<ul style="list-style-type: none"> <li>• Provision of technical assistance to women's associations</li> <li>• Promotion of women's engagement in CFM.</li> <li>•</li> </ul>
<b>Sub-component 1.3:</b> <i>Restoration of degraded natural forests in Wildlife and Forest Protected Areas.</i>	Aims to restore up to 22,700 ha of forest. Restore degraded areas in key National Parks and CFRs through natural regeneration (based on enclosure of areas) and, where needed, enrichment planting, including through engaging and employing local communities based on pilot approaches applied previously by UWA.	<ul style="list-style-type: none"> <li>• Restoration of up to 22,700 ha of forest.</li> <li>• Participation of CFRs</li> <li>• Participation of local communities in planting</li> </ul>	<ul style="list-style-type: none"> <li>• Limitations in accessing the restored areas of the forest</li> </ul>	<ul style="list-style-type: none"> <li>• General sensitization of communities on improved ecosystem services provided by restored forests.</li> <li>• Engagement of local communities in forest restoration through contracts.</li> <li>• Support UWA and communities to plan and develop products hence increasing economic opportunities</li> </ul>
	Training and equipment for the avoidance, response and monitoring of wildfires and the removal of invasive species. Activities: the development of landscape-level strategies for fire management and the eradication of invasive species in PAs: fire management training; establishment and maintenance of fire breaks; construction of fire towers; equipment for firefighting and fire avoidance; community sensitization; response and monitoring; with appropriate modern approaches- more efficient fire monitoring practices at the landscape	<ul style="list-style-type: none"> <li>• Fire management training</li> <li>• Establishment and maintenance of fire breaks</li> <li>• Construction of fire towers</li> <li>• Community sensitization, response and monitoring</li> </ul>	<ul style="list-style-type: none"> <li>• Limitations in access of communities to fire-prone areas Exclusion of adjacent community members from contracts for removal of invasive species</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Encourage participatory community involvement including community initiatives such as community monitoring of fire occurrences (e.g. reporting any community members that engage in illegal activities such as bush burning)</li> <li>• Instilling of community social accountability.</li> <li>• Employment of community members for removal of invasive species</li> </ul>

	level including consideration of satellite-based monitoring systems.			
<p><b>Sub-component 1.4:</b> <i>Increased forest protection in CFRs and WRs in where the close proximity of refugee settlements to protected areas is exacerbating rapid loss of forest resources.</i></p>	<p>At a small number of locations (e.g. at Bugoma CFR and Katonga Wildlife Reserve), deployment of additional resources to improve protected area management where there are site-specific threats to high value forest assets, either as a direct result of refugee incursion or indirectly by the added commercial demand for forest products arising from their presence.</p> <p>UWA and NFA to engage local communities in resource management efforts, including forest restoration, and strengthen enforcement efforts to better-protect remaining natural forests in these protected areas. Project supported activities include: (a) community livelihood activities (such as beekeeping and wild mushroom growing); (b) removal of invasive species; (c) forest restoration; (d) improvements for basic protected area management (communication and other equipment, vehicles, ranger posts, essential infrastructure; (e) improvements for wildfire management (fire observation towers and equipment); and (f) boundary demarcation.</p>	<ul style="list-style-type: none"> <li>• Deployment to control site-specific threats to high value forest assets</li> <li>• strengthening enforcement</li> <li>• community livelihood activities (such as beekeeping and wild mushroom growing)</li> <li>• removal of invasive species;</li> <li>• forest restoration;</li> <li>• improvements for basic protected area management (communication and other equipment, vehicles, ranger posts, essential infrastructure;</li> <li>• improvements for wildfire management (fire observation towers and equipment);</li> <li>• boundary demarcation.</li> </ul>	<ul style="list-style-type: none"> <li>• Limitations of access due to establishment of boundaries and demarcations; building of infrastructure such as gates; and establishment of trenches and setting of fences</li> </ul>	<ul style="list-style-type: none"> <li>• Engagement of local communities and refugees in resource generation and management</li> <li>• Establishment and support of alternative livelihood activities such as beekeeping and wild mushroom growing, tourism, beekeeping, handicrafts, etc</li> <li>• Engagement of local communities in resource management efforts, including forest restoration</li> <li>• Accommodating controlled harvesting by locals to the extent possible in protected area management plans and CFM agreements / CRM MOUs.</li> </ul>
<p><b>Component 2: Investments to increase revenues and jobs from forests and wildlife protected areas</b></p>				

<p><b>Subcomponent 2.1:</b> <i>Investments in tourism</i></p>	<p>Complement private sector investment in wildlife-based tourism, most notably interest generated through the ‘Space for Giants’ initiative. Interventions involve direct investments to construct or renovate access infrastructure (upgrading trails and graveled roads) and utilities (water, power) to connect key concessions with have a confirmed interest from private sector. Fencing in some areas near the boundaries of the national parks.</p>	<ul style="list-style-type: none"> <li>• Fencing in some areas near the boundaries of the national parks.</li> </ul>	<ul style="list-style-type: none"> <li>• Establishment of boundaries and demarcations may cause access limitations.</li> </ul>	<ul style="list-style-type: none"> <li>• Support enhancement of opportunities for boosting wildlife/nature-based tourism and alternative sustainable livelihoods for communities surrounding protected areas (through CRM arrangements).</li> </ul>
	<p>Implemented by UWA and NFA, investments in tourism infrastructure and products in select NPs and CFRs. Potential activities include the development of a wide range of products such as picnic sites, canopy walks, hiking trails, jetties, zip lines, bird hides, and student centers,, among others, to enhance diversification and overall quality of tourism products.</p> <p>Tourist reception, information and interpretive facilities used to improve visitor experience in the PAs and to encourage visitors to stay longer at each site- investments include visitor centers, visitor gates, tracks, trails, bridges, and board walks. Support the development of infrastructure in the following PAs: Bwindi, Queen Elizabeth, Kibale, Rwenzori</p>	<ul style="list-style-type: none"> <li>• Development of a wide range of products</li> <li>• Development of infrastructure.</li> </ul>	<ul style="list-style-type: none"> <li>• Construction of infrastructure may limit or control access.</li> </ul>	<ul style="list-style-type: none"> <li>• Establishment of participatory and sustainable natural resources management.</li> <li>• Supporting communities to tap into new livelihood investments opportunities.</li> <li>• Provision of technical training to community members to tap on new opportunities.</li> <li>• Support community-based tourism initiatives and involvement in merging opportunities.</li> <li>• Support UWA and communities to plan and develop products hence</li> </ul>

	<p>Mountains, Semiliki, and Murchison Falls NPs, Kasyoha-Kitomi CFR, and Echuya CFR. Other sites added as new priorities emerge.</p> <p>(i) investments to construct, equip and maintain Visitor Centers, (ii) the development of new tourism products-trails, signage, interpretation panels, marketing material) in and around parks that promote ‘new’ tourism destination; and (iii) advanced tourism infrastructure- boardwalks and canopy walks) in and around parks.</p>			<p>increasing economic opportunities</p>
	<p><i>A technical assistance package to UWA and NFA to adopt world class standards for product development while ensuring opportunities for private sector partnership. Support tourism planning, concept designs, feasibility studies, detailed designs, commercialization and concessioning linked to the proposed infrastructure investments.</i></p> <p>Activities involve community investment in the development of hospitality facilities and services, and investment in the provision of tourism vocational training.</p> <p>Promote community tourism-related activities to increase jobs and benefits for local communities- UWA to continue to develop and implement programs aimed at improving</p>	<p>Training on vocational training.</p> <p>Promotional materials for community tourism related activities</p> <p>Planning and development of products</p> <p>Training of communities</p> <p>Assessment of sub-projects</p>	<ul style="list-style-type: none"> <li>• Allocation of priorities for financing and type of products</li> <li>• Gender inclusion promotional materials for activities.</li> <li>• Type of planning</li> <li>• Selection criteria of community members to participate in vocational trainings-</li> </ul>	<ul style="list-style-type: none"> <li>• Supporting communities and their organizations in product development.</li> <li>• Possibilities for accessing women credit and inputs.</li> <li>• Provide support for increasing value of the products through processing and marketing</li> <li>• Support training of communities through the Uganda Community Tourism Association.</li> <li>• Support UWA and communities to plan and develop products hence</li> </ul>

	community livelihoods through supporting community-based tourism initiatives. Support UWA and communities to plan and develop products and train communities through the Uganda Community Tourism Association. The project to carry out a rapid assessment to determine the sub-projects. This rapid assessment to be: (a) performs an inventory of existing community tourism experiences, accommodation, and products in the project area, (b) develop six project profiles for existing successful community-based tourism enterprises, and (c) six emerging community-based enterprises that add value to overall tourism.			increasing economic opportunities.
<b>Subcomponent 2.2:</b> <i>Investments in productive forestry..</i>	<p>Implemented by the MWE-</p> <p>Support an increase in the area of plantations with commercial species in selected CFRs, LFRs, and on private land. Supporting a performance-based subsidy scheme for supporting private plantations</p> <p>Promoting private sector-led investments into appropriate technologies for the utilization of large and small dimension timber through the provision of matching grants.</p> <p>Fund an additional phase of ‘an SPGS-type scheme’ that focus on</p>	<p>Identifying and planting trees to increase on the area of plantations with commercial species</p> <p>Promoting private sector and identifying appropriate technologies.</p> <p>Identifying well established commercial tree growers.</p> <p>Put mechanism in place for supporting identified commercial tree growers.</p>	<ul style="list-style-type: none"> <li>• Demand for more land leading to high cost of land and protectionism tendency</li> <li>• Risk of exclusion of adjacent communities from labor contracts in establishment and maintenance of plantations</li> </ul>	<ul style="list-style-type: none"> <li>• Supporting forest communities and their organizations to participate and manage forests using sound sustainability principles; and improving production and processing techniques, best practices for sustainable forest use.</li> <li>• Ensuring that labor contracts are allocated to the adjacent</li> </ul>

	<p>'clusters' around well-established commercial tree growers.  Support the operation of a new implementation unit  Provide matching grants to private tree growers for the establishment of an additional 40,000 ha of plantations  Support the integration of smallholder growers into wood value chains.  Provide capacity-building and technical support to NFA for improved oversight of plantation concessions in CFRs.  Providing advisory services on wood value addition and value chains.</p> <p>Support processing and utilization of forest products- vocational skills development and provision of grants on a pilot basis to stimulate investments and lower entry costs for private sector-driven value addition for small scale wood processors.</p>	<p>Identifying private tree growers.  Put mechanism in place for supporting identified private tree growers</p>		<p>communities as a priority</p>
--	---	---	--	----------------------------------

## 8 SETTLEMENT OF DISPUTES AND CONFLICTS

There are a number of aspects that potentially could bring a dispute or conflict. These will be localized to each specific area. Therefore, the forms of settling of such disputes and conflicts are not necessarily uniform. What is important is the use of locally appropriate dispute and conflict settlement mechanisms agreeable to all parties concerned. Such mechanisms include the use of:

- local influential opinion leaders such as religious leaders, cultural/traditional leaders, elders, civil society organisations, political leaders and government agencies;
- the Collaborative Forest Management, CRM or game parks management structures;
- Community Wildlife Committees; and
- Local Council Committees

In this PF, the following key elements are suggested for guiding in disputes and conflicts settlements:

- Specifying rights and penalties in the beginning of the project activities;
- Defining the roles of each party and, in particular, these roles must be specified in the agreements with CFM and CRM agreements;
- Identify potential mediators and their roles. For example, defining the roles of local leaders including the local councils;
- Defining corrective actions for implementing and feedback mechanism for the complainants;
- Identifying potential areas of conflicts. This must be identified at the community participatory planning;
- Defining the involvement of the district leadership particularly Community Development Officer, Forest Officers, Game Wardens, or other offices;
- Defining the role of the project staff;
- Defining the roles of CBO/NGO, if they are involved in the implementation;
- Defining the communication channels aimed at reducing disputes and conflicts;

Though it is expected that settlement of disputes and conflicts should as much as possible be within the project structures, it does not replace existing legal processes. Settlement of disputes/conflict is expected to be based on consensus, guided by facts when making conclusions as a basis of action. The procedures should be inclusive and participatory in nature with an aim of facilitating communication between conflicting parties, promoting dialogue, and facilitating reasonable agreement between the parties to a dispute or conflict. It should seek to resolve issues quickly in order to expedite the receipt of what could be due or reaching settlements, without resorting to expensive and time-consuming legal actions.



## 9 Institutional and Implementation Arrangements for PF

Establishing institutional roles and responsibilities related to implementation arrangement of the PF is important to ensure that activities are carried out adequately. Two government ministries (MWE and MTWA), two key government national agencies (NFA and UWA) and a number of government departments and local governments (district local government and sub-county local governments), several local communities and stakeholders will be called upon to participate in the appropriate planning and implementation of the activities identified in the PF. Table 11 presents institutional responsibilities for implementation of the PF.

**Table 10: Proposed Roles and Responsibilities for implementation of the PF**

<b>Institution</b>	<b>Roles and Responsibilities</b>
<b>MWE</b>	<ul style="list-style-type: none"> <li>• Provide strategic direction and monitor overall implementation of PF.</li> <li>• Overall supervision of the PF and preparation of Engagement/Restoration Plans.</li> <li>• Engagement of consultants and oversee the preparation of studies such as socio-economic survey, and environmental management plan.</li> <li>• Participate in the district level meetings.</li> <li>• Coordinate with other Government Line Departments for ensuring effective delivery of mitigation.</li> <li>• Make budgetary provisions for implementation of project activities.</li> <li>• Provide technical support for implementation of the project activities.</li> </ul>
<b>NFA (range manager) and UWA (Chief Warden)</b>	<ul style="list-style-type: none"> <li>• Involvement in studies as per project components - Component 1 activities to be implemented by UWA- in and around NPs and wildlife reserves, and NFA - activities in and around CFRs, and Component 2 activities to be implemented by UWA and NFA (for tourism-related investments in Protected Areas).</li> <li>• Implementation of mitigation measures as per project components- Component 1 activities to be implemented by UWA- in and around NPs and wildlife reserves, and NFA - activities in and around CFRs, and Component 2 activities to be implemented by UWA and NFA (for tourism-related investments in Protected Areas).</li> <li>• Supervision of plans and reporting to ministry</li> <li>• Producing regular activity reports to feed into the project level monitoring and evaluation system.</li> <li>• Assist in resolving issues referred to it by the District and communities</li> </ul>
<b>District Local Governments</b>	<ul style="list-style-type: none"> <li>• Supporting communities in preparation of project activities.</li> <li>• Participating in monitoring activities.</li> <li>• Instrumental in boundary surveys, mobilisation of communities, formation of CFM and CRM, following up implementation of plans, on ground provision of technical guidance, and in dispute settlement</li> </ul>
<b>Individual or Affected Persons or communities</b>	<ul style="list-style-type: none"> <li>• Participating in consultations and communication related to the PF.</li> <li>• Identifying project impacts and alternative livelihood options.</li> <li>• Participating in monitoring activities</li> <li>• Implementation of project activities.</li> </ul>
<b>NGOS AND CBOS</b>	<ul style="list-style-type: none"> <li>• May be engaged to participate in the process to support implementation.</li> </ul>

## 10 Monitoring and Evaluation Arrangement

Monitoring is key in the Process Framework implementation. It feeds the management with the required information whenever needed throughout the implementation of the project. The monitoring plans needs to be put in place for the project and each sub-project.

### 10.1 Purpose of Monitoring

Monitoring will be the main mechanism through which the implementers of the project will get the feedback, alert on any delays and problems. The monitoring plans help the implementers to measure the pace of implementation of activities. It enables timely responses while providing lessons on implementation strategies. It is expected that every community will have its plan that will be used for verification of these, among others:

- Time to execute an activity;
- Ensuring all affected persons/communities are involved;
- Scheduling of meetings with affected communities and persons;
- Scheduling of compensation (if any);
- Scheduling of processes;
- Provision of indicative time for fund releases;
- Provision of indicative times for receiving and settling grievances and complaints; and
- Scheduling of periodically evaluation and check on compliance

The project will utilise a participatory monitoring and evaluation process which will ensure monitoring of the effectiveness of mitigation measures to improve (or at least maintain) community's standards of living. Monitoring will involve the local populations, so that they have first-hand understanding and appreciation of the process as well as have the opportunity to express their views on the positive and negative impacts.

The project will support affected communities so that they are able to monitor:

- The status of adverse social impacts (e.g. limited access to forest and wildlife resources inside the project-supported forests, forest reserves, national parks and wildlife, etc.) and the effectiveness of mitigation measures outlined. The project will have to ensure that communities are aware of the potential adverse impacts to monitor; also, specific indicators will be developed with the communities to ensure effective monitoring of each impact;
- The implementation of agreed activities; and
- The effectiveness of the conflict resolution and grievance settlement mechanisms.

The project will institute interrelated monitoring systems:

- i) Project administrative and performance reporting,
- ii) Socio-economic monitoring to ensure that mitigation measures are addressing the economic and social needs.

## **10.2 Project Administrative Reporting**

Under this monitoring, the standard record of activities undertaken in each reporting period, along with financial information will be provided. This will cover routine project activities reporting, equipment needs, and other administrative concerns (e.g., additional studies needed). For this PF, the annual project progress reports will include a section that details, for instance, the number and type of local meetings held (e.g., on restrictions on forests, forest reserves, national parks and wildlife reserves), the number and types of grievances registered and their resolution, and the nature of measures implemented, as well as the findings on the socio-economic monitoring.

## **10.3 Socio-economic Monitoring**

This will focus on the following changes and happenings to income levels and standards of living of PAPs/community. For areas in the vicinity of project-supported forests, forest reserves, national parks and wildlife reserves, a baseline socio-economic information is included in the area management plans. The data available will be used as the basis for determining the eligibility of communities, individual for assistance and base for measuring changes. It will also be used for designing measures to assist the affected persons in their efforts to improve their livelihoods. The baseline assessment will include detailed information on demographic characteristics and income sources. With this baseline, the Project Technical Team will monitor the success of mitigation measures over time.

Follow-up assessments will update these data for the purpose of monitoring and evaluation of the implementation and impacts of the protected area management plans, community CFM agreements, community wildlife management and revenue sharing agreements and other sub-project specific Action Plans. The specific monitoring indicators will be outlined in the Action Plan. Possible indicators include: numbers of eligible communities and households; the potential livelihood impacts to these communities and households of new or more strictly enforced restrictions on use of resources in the protected areas; livelihood benefits of measures to assist the affected persons; numbers of communities, households, groups and individuals participating in financial schemes and grants; and funds disbursed to the eligible communities, groups, individual and households.

Independent monitoring of the activities can be done by NGOs, private consultants where appropriate. Carrying out such independent monitoring will enhance the openness and transparency of the implementation of mitigation measures. The Project Steering Committee will have to approve participation of NGOs in independent monitoring activities, depending on their requirements. The NGOs' participation will be funded by the NGOs themselves, using their own resources unless special funding and participation arrangements are approved by the Project Steering Committee.

## **10.4 Monitoring Plans and Indicators**

The monitoring activities will result in a regular feedback on the implementation of the Process Framework. Monitoring teams at the respective component implementation level will be constituted, who will report regularly at the national level.

The monitoring indicators should cover areas such as: (1) basic information on affected persons' households, (2) Number of people that participated in consultations on use of forest

resources in targeted landscapes (including female) (number), (3) Beneficiaries in CFM and Collaborative Resource Management groups provided with project support (including female), (number), (4) Number of grievances or complaints and Time spent to resolve the complaint, Number of resolved and unresolved grievances).

*Livelihoods:* Key indicators may include (1) alternatives provided and number of people taking on the alternatives; (2) support and incentives available; and (3) results documented

These indicators may be verified from various sources such as field inspections, site reports, special project audits, annual monitoring and local government reports.

An evaluation programme will be implemented periodically to also check on compliance with ESS and provide lessons to amend strategies, especially in the longer term. It will identify actions which will improve ESS implementation and offer higher guarantees of implementation success. The process will be incorporated in the general assessment and review undertaken for the project.

## **11 Indicative Budget for the Implementation of the Process Framework**

Component 1 of the project includes a budget for supporting formation of the CFM groups / CRM groups and for implementing livelihoods activities in CFM and CRM groups around target protected area.

Monitoring budget related to process framework implementation will be included under Component 4. Annual costs of these activities is estimated at US\$10,000 and will be included as a budget line for the project coordination unit at the Ministry of Water and Environment. Additional budget of US\$10,000 will be required in year 1 of the project for preparing a brief summary of this process framework in simple plain English and for translating it into key local languages in the project areas.

## 12 Stakeholder Consultations and Disclosure

### 12.1 Consultations

During the project identification, consultations were undertaken with a number of stakeholders in their different categories from the national level to the selected project districts and communities (List of categories in Annex 2). Also, during the preparations of Uganda's REDD+ Strategy and Action Plan (2017) and Forest Investment Plan (2017), country wide consultations were conducted. Notable results was the prioritization of investment for the Albertine Rift, an output of the Forest Investment Plan. This resulted into the formulation of this project. Therefore, this PF benefits from the earlier stakeholder engagement processes. However, where addressing mitigation measures are concern, a thorough identification process needs to be undertaken in particular areas where forests, forest reserves, national parks and wildlife reserves are with the people living in and around them.

Issues of access restrictions are different in each protected area, and activities for mitigation are different too and specific to an area. Therefore, it is necessary to undertake wide consultations with a number of stakeholders, particularly with affected communities or persons. This is important because decisions on activities affect people or communities either directly or indirectly differently. It is also important to secure buy-in to project activities as well as build and instill ownership of the process leading to the desired transformation. Integration of community interests and incorporating local knowledge in the project interventions in specific areas is very important. This helps to promote transparency, enhancing communities' voice, and participation.

Therefore, their involvement leads to informed decisions, ownership and mutual respect. Consultations will be held in good faith, cordial environment and in culturally appropriate manner. They are generally informative and participatory.

Consultations are to cover the following areas, among other;

- information about the project
- environmental and social implications
- provide opportunity for stakeholders to discuss their opinions and concerns
- provide opportunity to discuss with stakeholders alternatives considered to reduce anticipated impacts
- process of developing appropriate mitigation and management options
- proposal for projects and types
- roles of PAP and other stakeholders
- examine capacities of local leaders
- explore necessary skills, needed skills and skill gaps (planning, management, and managing of tourism; timber value addition; and activities promoting small scale reforestation activities)
- training needs
- explore economic opportunities and initiatives;
- explore procedures for redressing grievances and resolving disputes
- mechanisms for monitoring and evaluation including for implementing

Consultations to be held with stakeholders at the selected communities living around protected areas.

The stakeholder engagement strategy is to ensure widespread participation by all sections of PAPs, communities and other stakeholders. The stakeholder consultations are to be held through interviews, focus group discussions, key informants (such as local leaders, traditional leaders, elders, NGOs, CBO), face-to-face meetings, dialogue platforms, workshops, electronic communications. focal points persons (especially technical officers), community and stakeholder workshops. Overall, the following consultations may be held:

- Workshop/ meetings
  - 1) Representatives of communities
  - 2) Representatives of districts
  - 3) Representatives of UWA / NFA
- Interviews
  - 1) Community leaders

## **12.2 Disclosure Requirements**

The final report of this PF will be submitted by the MWE to the World Bank for review and clearance. Once cleared, it will be disclosed in-country, in the appropriate form, manner and official language (English). Later on, the information from the documents specified above will be made available to affected communities and persons summarized in form of brochure or leaflets translated in the appropriate language that may include any of these: lugbara, lunyoro, kiswahili, lukonjo, rukiga, madi, ubatwa, lutoro and kwakwa.

After submitting the PF to the Bank for review and clearance, MWE shall post the above document on its website <https://www.MWE.go.ug> and on the Bank's Infoshop. During implementation, MWE will prepare monitoring reports including ESS issues, make them available to affected communities and persons, post them on its website, and submit to the Bank for review.

## REFERENCES

1. Guidelines for Utilisation of Revenue Generated from Sport Hunting Program
2. Ministry of Education, Science, Technology and Sports, Uganda Secondary Education Improvement Project (REDD+), Draft Report Social Assessment, October 2018  
Ministry of Tourism, Wildlife and Antiquities, Uganda Wildlife Policy, 2014
3. Ministry of Water and Environment, Forests and Resilient Landscapes Project, Environmental and Social Commitment Plan (ESCP), November 2019
4. Ministry of Water and Environment, Stakeholder Engagement Framework (SEF) for the Development of Stakeholder Engagement Plan (SFP) for the SFLP, 22nd September 2019
5. Republic of Liberia, Forestry Development Authority, Liberia Forest Sector Project, Process Framework (PF), Revised Draft Final Report
6. Strategic Environmental and Social Assessment (SESA), Working Document, 2019
7. The Constitution of the Republic of Uganda, 1995
8. The Republic of Uganda, Ministry of Water and Environment, (Nov. 2019), Stakeholder Engagement Framework (SEF), the Uganda Forests and Resilient Landscapes Project.
9. The Republic of Uganda, Ministry of Water and Environment, (Nov. 2019), Forests and Resilient Landscapes Project, Environmental and Social Commitment Plan (ESCP)
10. The Republic of Uganda, Ministry of Water and Environment, Strengthening Forest Protection and Landscape Resilience Project (SFLP), Project Profile, 17th September 2019
11. The Uganda Wildlife Act 2019
12. The World Bank, Final Draft Report, *Defending Our Land: An Assessment of the Law, Resettlement Policies and Practices on Land Acquisition in Uganda*, Uganda Non-Lending Technical Assistance (NLTA), April, 2017
13. The World Bank, Uganda *Investing in Forests and Protected Areas for Climate-Smart Development* Project (P170466), Project Appraisal Document, November, 2019.
14. The World Bank, Uganda Forests and Resilient Landscapes Project (P170466), Concept Environmental and Social Review Summary, Concept Stage, (ESRS Concept Stage), July 2019 | Report No: ESRSC00726
15. Uganda Wildlife Authority, Community Conservation Policy, January 2019
16. Uganda's National REDD+ Programme-MWE/CONS/14-15/00439, Draft Final REDD+ National Strategy, October 2017
17. United Nations (2007). United Nations Declaration on the Rights of Indigenous Peoples, Adopted on the 107th plenary meeting on 13 September 2007.
18. United Nations Environment Programme World Conservation Monitoring Centre, UNEP-WCMC, (2008). State of the World's Protected Areas: An annual review of global conservation progress, UNEP-WCMC, Cambridge.

## Annexes

### Annex 1: Eight REDD+ Strategy Options

Options	Sub-options
Strategic option 1: Climate smart agriculture	<ol style="list-style-type: none"> <li>1. SLM and agroforestry practices;</li> <li>2. Rainwater harvesting with collection tank and drip irrigation;</li> <li>3. Greenhouse cultivation of vegetables;</li> </ol>
Strategic option 2: Sustainable fuelwood and (commercial) charcoal production	<ol style="list-style-type: none"> <li>1. Commercial small-holder and community bioenergy woodlots;</li> <li>2. Commercial small-holder and community poles and timber plantations;</li> <li>3. Improved charcoal kilns linked to bioenergy woodlots;</li> </ol>
Strategic option 3: Large-scale commercial timber plantations	<ol style="list-style-type: none"> <li>1. Commercial transmission pole and timber plantation;</li> <li>2. Commercial pole and sawlog plantation;</li> <li>3. Improved charcoal kilns linked to plantation sites;</li> </ol>
Strategic option 4: Restoration of natural forests in the landscape	<ol style="list-style-type: none"> <li>1. Designated areas for natural forest regeneration;</li> <li>2. Restoration of degraded protected natural forest (i.e. national parks and forest reserves and forests on privately owned land);</li> <li>3. Devolution of forest management through PFM and similar set-ups;</li> <li>4. Traditional and customary forest management practices;</li> </ol>
Strategic option 5: Energy efficient cooking stoves	<ol style="list-style-type: none"> <li>1. For fuelwood;</li> <li>2. For charcoal</li> </ol>
Strategic option 6: Integrated wildfire management	<ol style="list-style-type: none"> <li>1. Integrated wildfire management</li> </ol>
Strategic option 7: Livestock rearing in Cattle Corridor	<ol style="list-style-type: none"> <li>1. Change to exotic cattle varieties and cross-breeding;</li> <li>2. Agroforestry fodder production;</li> <li>3. Establishment of drinking water dams</li> </ol>
Strategic option 8: Strengthen Policy implementation for REDD+	<ol style="list-style-type: none"> <li>1. Strengthen Policy implementation for REDD+</li> </ol>

### Annex 2: List Of Categories of Stakeholders Consulted During Project Formulation

National	Regional	District	Communities
Ministry of Water and Environment Ministry of Tourism, Wildlife and Antiquities Ministry of Finance, Planning and Economic Development Uganda Wildlife Authority National Forest Authority Water and Environment Sector Working Group Environment and Natural Resources Sub-Sector Working Group National Environment Management Authority National Planning Authority Uganda Tourism Board	Nyabyeya Forest College Albert Water Management Zone Budongo CFR	Kisoro Kabale Rubanda Kanungu Rukungiri Rubirizi Bushenyi Mitoma Buhweiju Kasese Bundibugyo Ntoroko Kabarole Kyegegwa Kyenjojo Kagadi Kibale Hoima	Batwa Communities Ntandi/Sempaya -(SNP,FFI) Local Communities around QENP and MFNP CFM Groups – Echuya Mgahinga (MGNP, BMCT and OUBDU) Mpungu/Buhoma/Rushaga (BINP + BMCT) CRM - Echuya CRM - Kasyoha Kitomi CRM - Budongo Murchison Fall National Park - UWA District (Purongo) CRM Kibale Kyangwali Resettlement Refugees



		Buliisa Masindi Kiryandongo	Rwamwanja Resettlement	Refugee
--	--	-----------------------------------	---------------------------	---------

### Annex 3. Summary of key issues raised during consultations

#### Summary of Key Issues from Consultations

Aspects of Concern	Insights
<b>Ministry of Water and Environment</b>	
<b>Consultations</b>	There is a need for community consultations. This is important for ownership, and addressing specific conditions rather than generalizing.
<b>Livelihoods</b>	Need to look at: (a) forest based- (i) apiculture (beehives); (ii) agroforestry- fast growing trees and leguminous crops; (iii) establishment of woodlots; (iv) afforestation. (b) small piece of landholding- (i)home gardens; (ii)rearing of domestic animals- pigs and goats; (iii) poultry and turkeys; (c) Fish farming- this takes at least 8 months. Not very preferable for households. (d) Commercial – (i) salons- concern their sustainability; (ii) Non-timber forest products- crafts; (iii) SACCOs- encouragement, making available for funding and also it can be alternative funding sources.
<b>Policies</b>	Engagement of communities is enabled through available policies, laws and guidelines. Therefore, it is possible for managing projects.
<b>Management of conflicts</b>	Important to have the following documented: (i) register of PAP; (ii) clear eligibility criteria; (iii) use and adherence to guidelines; (iv) establishing committees among PAP and chosen by them; (v) Registering of the formed committees.
<b>Management of livelihood enterprises</b>	Form associations based on the livelihood alternatives
<b>National Forestry Authority</b>	
<b>District Local Government</b>	(i) Boundary surveys- the involvement of DLG political and civil leaderships is very important. (ii) Collaborative forest management- support is needed from district community development officers, forest officers for mobilizations and technical support, plan implementation, management of groups, settlement of governance issues and in the formation of CFM. (iii) Funding- There are community development driven funds which are obtainable in the districts. These funds do boost CFM activities.
<b>Guidelines</b>	There are guidelines in place for the formation of CFM. Formation of CRM, depending on communities, can take more than a year in some instance.
<b>Challenges</b>	The following are key challenges: (i) Formation of CFM is time consuming; (ii)Balancing between conservation and livelihoods; (iii) Funding inadequacies; (iv) compliances; (v) Expectations are high among CFM and communities; (vi) Capacity is low in CFM and communities to manage and implement agreements; and NFA capacity is also low.
<b>Management of Conflicts</b>	This needs the following: (i) transparency; (ii) bring in mediators like community development officers who help in settling conflicts within the groups; (iii) define areas of possible conflicts and remedies.
<b>Livelihood</b>	Require diversification of livelihood not necessarily related to forests e.g agriculture.
<b>Refugee community</b>	Not practical to form CFM among refugee communities. Refugees look at themselves as temporal.

Uganda Wildlife Authority	
<b>Community Engagement</b>	The new Uganda Wildlife Act 2019 and Wildlife Policy provide for the engagement of the community. The Community Resource Committees (CRM) are provided for. The new Act 2019 has brought in a creation of Community Wildlife Committee (CWC) in each conservation area, reinforcing the management of resources, sharing of benefits and utilisation of benefits.  Draft Guidelines for CRM are being finalized
<b>Livelihood support and access</b>	UWA allows community to carry out some of the following among others; bee keeping at the edges of park (it serves as income source as well as protection from elephants), fishing where there are water sources, collection of baboons, collection of herb medicine, collection of handcraft materials, etc.
<b>Access</b>	Access to resources tend to be regulated more especially where there are boundary disputes.
<b>Management of Conflicts</b>	There is tendency not to comply and adhere to agreements. Some members of the community turn resources into commercial exploitation for income. This results into enforcement by park authority. However, there is a need for: (i) transparency; (ii) engagement of communities and park offices.
Kisoro District Local Government	
<b>Community Engagement</b>	Community awareness/sensitization about the tourism and other natural resources based business/income generating options
<b>Livelihood support and access</b>	Alternatives livelihoods and economic resources to those from the protected areas need to be adequately provided Important to consider markets and market chains for agricultural products
Kisoro District Local Government	
<b>Community Engagement</b>	It is important to scale up collaborative forest management
Rubirizi District Local Government	
<b>Access</b>	NFA needs to adequately manage boundaries of the central forest reserves
<b>Community Engagement</b>	There is a need for the NFA to scale up collaborative forest management of central forest reserves
<b>Livelihood support and access</b>	There is a need to increase access to quality tree planting materials/seedlings and extension services
Kamwenge District Local Government	
<b>Livelihood support and access</b>	Access to tree seedlings and other planting materials...especially of indigenous species Support to market access for trees and wood products Problem animal management
Kagombe Central Forest Reserve	
<b>Community Engagement</b>	Collaborative forest management has good potential for building goodwill of communities to manage the buffer zone of the forest reserve Good experience with involvement of CFM members / community members in patrolling
Budongo Central Forest Reserve	
<b>Community Engagement</b>	There is a need to scale up collaborative forest management