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Inception Report
Uganda's FIP Formulation Process
(October 2015 – November 2016))

FIP National Focal Point
Ministry of Water and Environment
Kampala.

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Acronyms

| | |
|-------|---|
| ADC | Austrian Development Cooperation |
| AFD | France Development Cooperation |
| AfDB | African Development Bank |
| CSO | Civil Society Organization |
| Eoi | Expression of Interest |
| FIP | Forestry Investment Plan |
| FSSD | Forestry Sector Support Department |
| GoU | Government of Uganda |
| IP | Indigenous Peoples |
| MDB | Multilateral Development Bank |
| MWE | Ministry of Water and Environment |
| NCCAC | National Climate Change Advisory Committee' |
| PPD | Policy and Planning Department |
| REDD | Reducing Emission from Deforestation and Forest Degradation |
| SESP | Stakeholder Engagement Strategy and Plan |
| SPGS | Sawlog Production Grant Scheme |
| WESWG | Water and Environment Sector Working Group |

1. INTRODUCTION

1.1 The Inception Note

This is an Inception Note prepared by MWE/FIP Focal Point regarding preparing Uganda FIP Investment Plan. This Inception note builds on the Uganda's Expression of Interest (Annex 1: EOI) that was approved by the Climate Investment Funds (CIF)/ Forest Investment Program (FIP) in May 2015.

The Inception Note elaborates on the following key elements:

- a. Highlight of Climate Change and REDD issues in Uganda
- b. Detailed process and methodology for developing the Uganda's FIP Strategy and Plan
- c. Outputs of the planning process
- d. Activity scheduling
- e. Approval processes
- f. Technical and financial Resources for facilitating the FIP formulation process

1.2 Climate issues in Uganda

Uganda's economic development and the wealth of its people are closely bound up with its climate. Nearly, all of Uganda's economic activities are dependent on its climate and on the water resources that ultimately derive from climate. The key climatic variables (rainfall/precipitation) and temperature) have both direct and indirect impacts on key economic and social sectors including, energy, transport, agriculture, tourism, health, hence on economic growth and on the livelihoods systems of the majority of Ugandan's.

Uganda has an overall favorable climate, but it is a highly variable one. However, Uganda's climate is highly variable over both space and time. The northern part of the country witnesses the warmest temperatures and the southern part of the country, around Lake Victoria, the coolest. Precipitation also varies spatially, with some regions in the south receiving average annual rainfall in excess of 2,100 millimeters per year and the northeastern part of the country receiving less than 500 millimeters per year.

Whilst these changes are part of global climate change, Uganda continues to experience both internal and external factors contribution to climate change or reducing resilience of ecosystems/natural systems, people as well as socio-economic activities to effects of climate change. With regards to internal factors, declining vegetation cover (due to high rates of deforestation and forest degradation, wetland drainage and loss of vegetation in dry lands/rangelands) not only generates GHG, but also undermines over-all natural capacity to be resilient to climate change effects.

1.3 Forestry issues in Uganda

1.3.1 Country context

Development Context: Uganda's Vision 2040 targets restoration of Uganda's forest cover from 15% to 24% by 2040 while the Second National Development Plan (2015/16-2020/21) (NDPII) targets to

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increase forest cover from 15% to 18% of the Uganda's land surface by 2021. The NDP II includes commitment to restore degraded natural forests in forest reserves and forests on private land, reduce pressure on forest cover and promote forestry based industries and trade. The NDP II also targets increasing economic productivity of forest-incomes, capacitating institutions in forestry, restoring and improving forest ecosystems.

Economic Context: Uganda has sustained significant economic growth over the last two decades. Growth rate averaged 5.5 percent between 2010/11 and 2013/14 (NDP II 2015). Over the same period, about 25% of the GDP (more than US\$ 4 billion annually) was attributed to natural resources (MWE 2015). National estimates put the total monetary value of forest products and services, including carbon stocks, at US\$1,276 million (NEMA, 2011). Under the 2040 scenario GDP is expected to rise from the current 5.7 per cent to a five year average of 8.4 per cent per annum by the year 2025 before it gradually declines to an average of 7.8 per cent in the last five years of the Vision (Vision 2040).

Uganda is endowed with a rich and diverse environment and natural resource base which underpins economic growth and livelihoods security. In addition, environment and natural resource base is core to other sectors of the economy such as water, agriculture, energy, tourism and health and sanitation and contributes to the attainment of regional and international commitments such as the SDGs. Indeed, in spite of the on-going structural transformation, Uganda is still a natural resource based economy, with the environment and natural resource sector significantly contributing to food and energy security, GDP, employment, foreign exchange earnings and local revenues.

The significant contribution of environment and natural resources sector to the national economy notwithstanding, Uganda's natural resources base is threatened by poverty, rapid population growth, unplanned urbanization, expansion of informal settlements, industrialization and impacts of climate change and variability among others. Fragile ecosystems including hilly and mountainous areas, riverbanks, lakeshores and rangelands are facing encroachment and degradation.

1.3.2 Forestry resources

Uganda's primary forest resources base comprises of Tropical High Forests and Woodlands. According to the National Biomass Study (NFA 2009) a total area of Uganda's forests as of 2005 was 3,594,550 ha, or 15% of the total country's land area. The size of forest cover is declining due to high rates of deforestation nationwide. It was estimated that there was an annual forest loss of 88,638 ha/year from 1990-2005 (NFA, 2009). Between 1990 and 2005, natural forest estate outside Protected Areas (PA) reduced by 35% (from 3.46 million ha in 1990 to 2.3 million ha in 2005) and 12% within PAs (from 1.47 million ha to 1.3 million ha). Preliminary Data from on-going Forest Reference Emissions Level (FREL) work, supported as part of REDD+ Readiness, shows that forest cover in Uganda fell from 30% of the land area in 1990 to only 10% in 2015, with forests on private land declining at rates much higher than those in the protected areas.

Forests, especially forests on private land are under pressure to meet livelihoods and economic benefits and there is need to halt or reverse this trend in order to sustain these benefits. The decline in forest cover is due to high rate of population growth which when coupled with large rural populations continues to fuel drivers of deforestation and forest degradation that were identified in the REDD+ Readiness Preparation Proposal (R-PP) (2012) and National Development Plan II (2015). Agricultural expansion in forested land, charcoal production, firewood harvesting, livestock grazing,

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timber production and, human settlement and urbanization are among the key drivers of deforestation and forest degradation is.

In addition to these drivers, institutional performance level and resultant weaknesses in forestry governance have contributed to the high rates of deforestation and forest degradation. The resultant effects of these drivers is a decline in forest vegetation cover, decline in quality and quantity of forest goods and environmental services, loss of livelihood opportunities, declining incomes from forest industry services (employment, ecotourism, wood products), as well as increasing conflicts regarding access, use and control over forest resources. This impacts national poverty reduction efforts and over-all economic growth.

1.4 Uganda and CIF/FIP

Uganda was selected to be supported to develop its FIP Investment Plan in May 2015 or potential financing under the Strategic Climate Funds. Uganda's FIP process is supported jointly by the AfDB and the World Bank, with the World Bank being a lead MDB for FIP Uganda

The FIP will describe national priority areas of investment in Forestry Sector that also address the REDD+ Readiness Strategies and Actions. Support to FIP implementation will provide indispensable direct investments in forestry to support Uganda's development and REDD+ objectives, especially those that address the drivers of deforestation and forest degradation both inside and outside of the forest sector to achieve a triple win of poverty reduction, mitigation, and resilience. The preparation of Uganda's FIP that is led by the MWE is expected to be completed by October 2016 for submission to the FIP Sub-Committee November 2016 meeting.

1.5 Uganda and REDD+

REDD+ Process in Uganda started in 2008, when Uganda became a Participant of the FCPF after approval of the Forest Carbon Partnership Readiness Plan Idea Note (R-PIN). The R-PIN provided initial overview of land use patterns and causes of deforestation, the stakeholder consultation process, and potential institutional arrangements for addressing REDD+.

Uganda received a first US\$200,000 Grant (Formulation Grant) in 2009 through the World Bank to prepare its R-PP. The Formulation grant was supplemented by Norwegian Government financing of US\$183,500 for targeted consultations with decentralized stakeholder groups, including forest dependent communities¹. Uganda embarked on the R-PP preparation phase in March 2010 which was approved during the ninth Participants' Committee meeting in Oslo in June 2011 with comments. Uganda submitted an acceptable and updated R-PP in May 2012 and commenced implementation of the R-PP in July 2013.

Since July 2013, Uganda has been implementing the REDD+ Readiness phase under the NCCAC (policy level coordination) and Ministry of Water and Environment (technical and management). The Forestry Sector Support Department of the MWE serves as the REDD+ Secretariat. The REDD+

¹ Additional funding support was provided by DANIDA (through IUCN Pro-Poor REDD+ Project) to develop the (i) REDD+ Consultation and Participation Plan; (ii) REDD+ Communication Strategy; (iii) REDD+ Conflicts and Grievances Management Strategy, and iv) Mainstreaming Gender Considerations in Uganda's REDD Process

Readiness activities are derived from the R-PP. Uganda's REDD+ Readiness Phase is currently supported by Government of Uganda, FCPF through World Bank, UNREDD and Austria Government.

By June 2017, Uganda will have made significant progress in elaborating its nationally agreed Strategies and Actions for reducing deforestation and forest degradation, sustainable forest management, enhancing the role of conservation of biodiversity and, enhancing carbon stocks. These strategies will be packaged into Uganda's REDD+ Strategy and Action Plan document. Additionally, the following baselines and measures will have been developed or near completion²: National Reference Emission Level/Forest Reference Level, National Forest Monitoring System, Benefit Sharing Arrangements, Environmental and Social Management Framework, Forest Grievances and Redress Mechanism, and, Standards for REDD+ Field activities in Uganda. In addition to the above, Uganda's capacity to implement the National REDD+ Strategy will have been strengthened at various scales and across various sector and players.

1.6 REDD and Climate change

REDD+ is both a mitigation and adaptation action under the Uganda's Climate Change policy (2013). The REDD+ process recognizes and seeks to collaborate with a variety of Climate Change initiatives and programmes of government, NGOs, CSOs, Private Sector, forest dependent communities and general public so as to ensure that appropriate strategies for reducing emissions from deforestation and forest degradation are developed and effectively implemented. The REDD+ Readiness process also interacts with and utilizes areas of synergy and complementarities with on-going climate change initiatives at national and local levels.

According to Uganda's Intended Nationally Determined Contributions (INDC (2015)) forestry sector priorities include **enhancing forest ecosystems resilience through promoting intensified and sustained restoration efforts (afforestation and reforestation programmes); biodiversity & watershed conservation (including re-establishment of wildlife corridors) and encouraging agro-forestry; and promoting and encouraging efficient biomass energy production and utilization technologies.**

² The developed measures will be required to be tested before they are considered complete. Testing these measures may take place after June 2017

2. The Forest Investment Program (FIP)

2.1 Purpose

The main purpose of the FIP is to support developing countries' REDD-efforts, providing up-front bridge financing for readiness reforms and public and private investments identified through national REDD readiness strategy building efforts, while taking into account opportunities to help them adapt to the impacts of climate change on forests and to contribute to multiple benefits such as biodiversity conservation, protection of the rights of indigenous peoples and local communities³, poverty reduction and rural livelihoods enhancements. The FIP targets to finance efforts to address the underlying causes of deforestation and forest degradation and to overcome barriers that have hindered past efforts to do so.

Uganda's FIP is intended to provide up-front financing to implementation of Uganda's REDD Strategies and Actions for reducing deforestation and forest degradation, sustainable forest management, enhancing the role of conservation of biodiversity and, enhancing carbon stocks.

2.2 FIP Objectives

The FIP is designed to achieve four specific objectives:

A: Obj #1: To initiate and facilitate steps towards transformational change in developing countries forest related policies and practices, through:

- a. Serving as a vehicle to finance investments and related capacity building necessary for the implementation of policies and measures that emerge from inclusive multi-stakeholder REDD planning processes at the national level.
- b. Strengthening cross-sectoral ownership to scale up implementation of REDD strategies at the national and local levels.
- c. Addressing key direct and underlying drivers of deforestation and forest degradation.
- d. Supporting change of a nature and scope necessary to help significantly shift national forest and land use development paths.
- e. Linking the sustainable management of forests and low carbon development.
- f. Facilitating scaled-up private investment in alternative livelihoods for forest dependent communities that over time generate their own value.
- g. Reinforcing ongoing efforts towards conservation and sustainable use of forests.
- h. Improving forest law enforcement and governance, including forest laws and policy, land tenure administration, monitoring and verification capability, and transparency and accountability.

Uganda's FIP targets to add value to ongoing efforts, provide support for early implementation of REDD Strategies and Actions in selected landscapes linking livelihoods and community participation. Uganda's FIP implementation approach will seek active engagement of private sector and non-state actors as appropriate.

³ For the purpose of the FIP "indigenous peoples and local communities" includes tribal communities and implies equal emphasis on the rights of men and women.

- B: **Obj.#2: To pilot replicable models to generate understanding and learning of the links between the implementation of forest-related investments, policies and measures and long-term emission reductions and conservation, sustainable management of forests and the enhancement of forest carbon stocks in developing countries.** By committing to apply a priori and ex post impact assessment of programs and projects, the FIP will ensure that the outcomes and effectiveness of FIP-supported interventions in reducing deforestation and forest degradation can be measured.

Uganda's FIP will include pilot demonstration activities addressing drivers of deforestation and forest degradation through strengthening implementation of policies that support Sustainable forest management, enhancement of carbon stocks, suitable utilization of forest products, value addition to forest products, among others.

C:

- Obj. #3: To facilitate the leveraging of additional financial resources for REDD, including through a possible UNFCCC forest mechanism, leading to an effective and sustained reduction of deforestation and forest degradation, thereby enhancing the sustainable management of forests.**

Uganda aspires to a well-designed FIP that would serve as resources mobilization tool from a variety of sources within and outside the country, including from CIF/FIP.

- D: **Obj.#4: To provide valuable experience and feedback in the context of the UNFCCC deliberations on REDD+.**

Uganda's FIP will include actions for generating and sharing lessons at local/national/ regional and international levels.

These objectives set the broad frame work of potential investment areas for FIP in Uganda. Uganda's FIP is required to be consistent with the objectives. Uganda's FIP will provide description of forestry investments that address confirmed priorities unique to Uganda.

2.3 The Scope of FIP

To seek to achieve the above objectives, the FIP supports and promotes, *inter alia*, investments in the following areas:

- a. **Institutional capacity, forest governance and information** such as: implementation of systems for forest monitoring, information management and inventory; support for legal, financial and institutional development including forest law enforcement, cadastral mapping and land tenure reform; removal of perverse incentives favoring deforestation and degradation; cross-sectoral and landscape based planning exercises; transfer of environmentally sound technology; and building capacities of indigenous peoples and local communities.
- b. **Investments in forest mitigation measures, including forest ecosystem services** such as: forest conservation; promotion of payments for environmental services and other equitable benefit-sharing arrangements; restoration and sustainable management of degraded forests and landscapes; afforestation and reforestation on previously deforested land; restructuring

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of forest industries and promotion of company-community partnerships; forest protection measures; improved land management practices; and promotion of forest and chain of custody certification.

- c. **Investments outside the forest sector necessary to reduce the pressure on forests** such as: alternative livelihood and poverty reduction opportunities; alternative energy programs; agricultural investments in the context of rationalized land-use planning; and agricultural intensification including agro-forestry.

The above described scope provides reference for Uganda's FIP. Uganda's FIP (objectives, priority investment areas) will be expected to be consistent with this scope, including active engagement of private sector and other non state actors active in forestry sector

2.4 FIP Principles

There are principles set out in the *Governance Framework of the Strategic Climate Fund (SCF)* which apply to the FIP. However, in addition to these, the following principles specifically apply to the FIP:

- a. **National ownership and national strategies.** Uganda's FIP will be country driven that builds on and enhances or strengthens nationally prioritized forestry issues. Uganda has prepared a Stakeholder engagement strategy that will guide a structure stakeholder engagement process across sectors and at national and subnational levels. In addition to consultations with stakeholders and IPs/Special Groups, the FIP process will involve FIP approvals at various levels.
- b. **Contribution to sustainable development.** The FIP will seek to contribute to the livelihoods and human development of forest dependent communities, including indigenous peoples, special groups and local communities, and generation of benefits to sustain biodiversity and ecosystem services. Uganda's FIP will seek to contribute to national development priorities stipulated in the National Development Plan (2015-2019) and National Forest Plan (2013-2022). Both plans emphasize these principles.
- c. **Promotion of measurable outcomes and results-based support.** The FIP implementation strategies will emphasize results-based approaches with clearly stated measurable outcomes. Transparent performance measures and procedures for performance assessment will be part of the project design and a basis for course correction during implementation in close collaboration with the relevant actors at the national and subnational levels.
- d. **Coordination with other REDD efforts.** The FIP process is coordinated by the REDD process Secretariat. This arrangement provides FIP an opportunity to be integrated into REDD process currently supported by FCPF, Austria Government and the UN-REDD Programme.
- e. **Cooperation with other actors and processes.** The FIP will complement the forest-related aims and objectives of other global environmental conventions and processes, such as the Convention on Biological Diversity, the UN Convention to Combat Desertification, and the Non-Legally Binding Instrument on all Types of Forests of the UNFF. The formulation process will seek close cooperation with other international/bilateral agencies relevant stakeholders, including indigenous peoples and local communities, civil society organizations, and the private sector.

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- f. **Early, integrated and consistent learning efforts.** Learning opportunities will be integrated into FIP design process including, where applicable, identification of national or landscape level pilot program approaches with significant potential for replication, and building in mechanisms for learning lessons from both successes and failures in collaboration with relevant stakeholders. The FIP will proactively communicate these experiences and lessons to UNFCCC and other relevant initiatives, as well as learning from activities and lessons learned from other relevant initiatives.

The above principles will be required to be applied by Uganda during the formulation/design and implementation of Uganda's FIP.

2.5 Criteria for selecting FIP priorities and or investment projects

The FIP uses the following criteria to evaluate good and qualifying investment strategies, programs and projects with a view to maximizing the transformational impact of FIP resources:

- a. **Climate change mitigation potential.** FIP investment strategies, programs and projects should lead to significant reductions in deforestation and forest degradation and should promote policies and measures for improved sustainable management of forests that lead to emissions reductions and conservation and enhancement of forest carbon stocks.
- b. **Consistency with FIP objectives and principles.** FIP investment strategies, programs and projects should demonstrably contribute to FIP objectives and adhere to FIP principles.
- c. **Drivers of deforestation and forest degradation.** FIP investment strategies, programs and projects should assess and address the key direct and underlying drivers of deforestation and forest degradation within and outside the forest sector, avoid perverse incentives and ensure a holistic and inclusive national approach to REDD.
- d. **Inclusive processes and participation of all important stakeholders, including indigenous peoples and local communities.** Consistent with relevant international instruments, obligations and domestic laws, FIP investment strategies, programs and projects at the country or regional level should be designed and implemented under a process of public consultation, with full and effective participation of all relevant stakeholders on matters that affect their distinctive rights, including in particular groups that historically have tended to be marginalized such as indigenous peoples, local communities and women; FIP financed activities should, moreover, be consistent with, and/or complement, national sustainable development plans and be based upon broad community support and effective collaboration between indigenous peoples and local communities, government ministries, private sector and financial institutions in planning and implementing investment strategies. FIP should also seek to engage other major stakeholders such as major groups identified by Agenda 21. The FIP guidelines should be followed to facilitate the full and effective participation of indigenous peoples and local communities likely to be affected by a proposed strategy, program or project in a process of public consultation.
- e. **Demonstration impact.** FIP investment strategies, programs and projects should support replicable national or regional pilot programs in order to demonstrate how to scale up public, private and other resources and activities so as to achieve transformational change.

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- f. **Forest-related governance.** FIP investment strategies, programs and projects should capitalize on the lessons learned concerning inclusive and effective improvements in governance and enhancement of law enforcement in other environmental sectors. FIP investments should support such improvements as an integral part of necessary measures and policies to ensure forest related climate change outcomes. Forest governance criteria and indicators should be integrated into project design as well as into performance assessments to ensure measurable outcomes.
- g. **Safeguarding the integrity of natural forests.** Consistent with its objectives, the FIP should safeguard natural forests and should not support the conversion, deforestation or degradation of such forests, *inter alia*, through industrial logging, conversion of natural forests to tree plantations or other large-scale agricultural conversion. In particular, the FIP should safeguard high conservation value forests. Special consideration should be given to the national circumstances, including development needs of countries with high forests cover and low deforestation rates.
- h. **Partnership with private sector.** FIP investment strategies, programs and projects should develop and implement models for working with, and leveraging resources from the private sector, including financial institutions, in effective implementation of REDD investment strategies, programs and projects.
- i. **Economic and financial viability:** FIP investment strategies, programs and projects should catalyze self/sustaining financially profitable models for REDD at scale without the need for continuing subsidies.
- j. **Capacity building.** FIP investment strategies, programs and projects should build local and national implementation capacity and institution.

Uganda will develop and apply country specific criteria. However, it is anticipated that Uganda's criteria will be consistent with the global FGIP criteria.

2.6 Dedicated Grant Mechanism for Indigenous Peoples and Local Communities

FIP Process requires a full and effective, continuous participation of indigenous peoples and local communities in the design and implementation of FIP investment strategies. This participation is expected to be highly dependent on strengthening the capacity of these groups to play an informed and active role in national REDD processes in general and FIP processes in particular, as well as on recognizing and supporting their tenure rights, forest stewardship roles, and traditional forest management systems.

A dedicated grant mechanism has been established under the FIP that provides grants to indigenous peoples and local communities in the country or regional pilots to support their participation in the development of the FIP investment strategies, programs and projects. At the implementation stage grants to indigenous peoples and local communities should be an integral component of each pilot.

The scope of activities eligible for support from a dedicated grant mechanism for indigenous peoples and local communities (and their designated support organizations) should include, *inter alia*,

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support for securing and strengthening customary land tenure and resource rights and traditional forest management systems of indigenous peoples and local communities; support, including capacity building as required, for the development of pilot project proposals by indigenous peoples and local communities and their implementation; and support for the involvement of indigenous peoples and local communities in monitoring and evaluation of forest activities, in conformity with relevant national laws and regulations.

The operational principles and priorities, funding modalities and governance of the dedicated grant mechanism⁴ will be developed through broad, transparent consultation with indigenous peoples and local communities (and their designated organizations) across all forest regions, and will build upon lessons learned from existing mechanisms, especially, the one undergoing within the forestry and wildlife subsector by National Forestry Authority and Uganda Wildlife Authority respectively.

Uganda hosts a diverse IPs groups in Mgahinga, Echuya, Bwindi, Semliki, Elgon, Kadam, Napak and other forests. An effort will be made to identify all IPs and other Special Groups who will be targeted to benefit from the Dedicated Grant mechanism.

⁴ The terms of reference (ToR) for the development of a proposal for a dedicated mechanism should be drafted by the indigenous peoples and civil society representatives selected to participate in FIP design meetings (or a subset thereof), in consultation with indigenous communities and local communities, and a qualified consultant. A proposal for a dedicated mechanism should be submitted to the FIP-SC for review and approval.

3. UGANDA FIP PROCESS

3.1 Uganda's Expression of Interest

In March 2015, Uganda expressed interest to participate in FIP process (Annex 1). Uganda's interest was approved in May 2015. Uganda's expression of interest projected a likely transformation change or impact by FIP. In this regards, Uganda noted that since 2005, there is evidence to show that investments on forestry resources development are feasible and yield investment returns in relatively short period e.g. the success story of SPGS. Since 2004, SPGS has provided financial and other incentives for private tree farmers to establish saw log plantations exceeding 50,000ha on public and privately owned land. There is evidence and optimism that Uganda will start harvesting these soft wood plantations by 2018 thereby addressing shortages of timber, poles and other forestry products. This windfall will reduce pressures on the natural forests for wood products, create more wealth to forest owners and the economy through the forestry products value chain.

Therefore, FIP will be utilized to increase investment in forestry establishment and sustain future supply and to increase utilization efficiency through promoting technologies for the value addition along the value chain. Over-all, Uganda will utilize FIP support to:

- a. Reduce forest degradation and forest degradation in targeted areas.
- b. Increased government investment into the forestry sector
- c. Increased forest resource and carbon stock.
- d. Enhance multiple benefits to the rural poor (increased access to forestry environmental services, reduced conflicts over forest resources access and use and incomes from forestry resources, ecotourism and forest carbon).
- e. Increase private sector investment in forestry sector.
- f. Strengthen institutional and stakeholders capacity for forestry sector regulation.

Collectively, these results have great potential for scaling up sustainable forestry management practices.

Note: Details of Uganda's EoI are found in Annex 1 to this Report.

3.2 Potential scope of Uganda's FIP process and product

The processes of formulating Uganda's FIP started in March 2015 when Uganda submitted its EoI to access FIP Funds. The formulation process is expected to be completed by October 2016. Uganda's FIP Investment Plan will have broad based consensus from government, business/private sector, civil society/NGOs, forest dependent communities, and development partners, among others.

The FIP formulation process will involve the following broad activities:

- a. Review and synthesis of forest and land use sector projects and programmes in Uganda including those which could/should be scaled up.
- b. Studies to assessment of:

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- i. Challenges and opportunities for participation of forest dependent and adjacent communities in FIP detailed planning and implementation, including through the DGM support.
 - ii. Forest sector expenditure.
 - iii. Challenges and opportunities for private sector investment in forestry sector.
- c. Preparation of landscape profiles for each of the proposed landscapes included in the FIP (including mapping of issues and stakeholders, on-going development partner-funded initiatives etc.).
- d. Assessment of carbon abatement potential in landscapes and interventions proposed for inclusion in the FIP.
- e. Documenting lessons learned from experience from recent support in Uganda on charcoal and biomass value chains.
- f. Identification of priority landscapes for FIP support.
- g. Identification of pipeline of program investments.
- h. Assessment and identification of investment needs (Financial resources) for the implementation of the Uganda Forest Investment Plan.

The FIP Document is expected to feature the following contents:

- a. Description of the country and sector context
- b. Identification of opportunities for Greenhouse gas abatement
- c. Enabling policy and regulatory environment
- d. Expected Co-Benefits from FIP Investment
- e. Collaboration among MDBs and with other Partners
- f. Identification and rationale for projects and programs to be co-financed by FIP
- g. Implementation potential and risk assessment
- h. Financing plan and instruments
- i. Results Framework for the Investment Plan
- j. Annexes

3.3 Proposed FIP Formulation process

3.3.1 Lead responsibility

The FIP formulation process is coordinated by the Permanent Secretary MWE. The Permanent Secretary has delegated day to day implementation and coordination responsibility to the Commissioner, Planning and Policy Department (Mr. Sam Otuba) who serves as National FIP Focal Point and Assistant Commissioner, Forestry Sector Support Department (Mrs. Margaret Athieno Mwebesa) who serves as the Alternate FIP National Focal Point. The National FIP Focal Point receives technical support from the Lead Technical Advisor (REDD Process) and technical backstopping from the FSSD/REDD Secretariat and FIP TPC.

At Policy level, the FIP is overseen by the National Climate Change Advisory Committee chaired by the Permanent Secretary MWE (Annex 2: Composition of NCCAC). At the sectoral level, the Permanent Secretary MWE coordinates with other ministries through the Permanent Secretaries Forums.

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The MWE has constituted a FIP Technical Planning Committee (FIP-TPC) (Annex 3: Composition of FIP-TPC) whose mandate is to ensure technical quality and adequacy of the FIP process, outputs and deliverables, through the undertaking the following tasks:

- a. Overseeing the technical aspects of preparation of the FIP Strategy and Action Plan for Uganda, including input into technical aspects/outputs of consultants, partner/technical institutions and FIP Focal Point.
- b. Ensuring compliance of FIP process with the National development and Sector development principles and procedures.
- c. Providing technical inputs into the design of FIP Investment Plan.
- d. Ensuring synergies and complementarity between the national REDD+ Readiness process and FIP IP preparation process
- e. Recommending the FIP Investment Strategy and Plan to the NCCAC and MWE for approval.

3.3.2 Stakeholder engagement

The design of Uganda's FIP Investment Plan is expected to be country-led and country-driven. As such, the FIP IP preparation process is intended to be participatory involving representatives of all major stakeholders, including CSOs, Private Sector and Indigenous People. Uganda aims to ensure effective engagement of Stakeholders in the formulation of the FIP and strategy and deliver nationally agreed priorities and strategies for forest investment.

Against this background, the MWE /FIP Focal Point has developed and intends to apply a Stakeholder Engagement Strategy and Plan (SESP) to guide the FIP formulation process (Annex 4: SESP). The overall goal of the Stakeholder Engagement Strategy and Plan (SESP) is "Forestry Resources stakeholders effectively contributing to the FIP formulation process and formulation of Uganda's FIP and Strategy". This goal obligate MWE to; i) ensure that stakeholders are adequately mobilized and facilitated to participate in the entire FIP process and; ii) objectively listen to stakeholders aiming at securing ownership of the FIP process and outputs.

Therefore, the purpose of the SESP is to provide MWE, Forestry Stakeholders and Partners in Forestry, a roadmap for ensuring an effective structured engagement of stakeholders in the FIP process, enhancing inclusivity and ensuring improved understanding of issues affecting forestry resources in Uganda. The SESP recognizes that stakeholder involvement is critical for strengthening ownership and ensuring relevance to forestry investment objectives and priorities.

The SESP elaborates on the stakeholders to be engaged in the FIP process, Stakeholder interests, and information needs that are necessary for effective in participating in the FIP process, stakeholder engagement approaches, strategies and interventions.

The SESP seeks to promote engagement of stakeholders throughout the entire FIP process; i.e., during a) designing/validating FIP formulation methodology and process; b) establishing baseline information for the FIP on climate change effects/impacts on forestry resources; d) identifying investment objectives and priorities; e) identification of FIP implementation requirements and designing implementation arrangements and processes; and, f) definition of means to monitor and evaluate FIP implementation progress and outcomes.

The SESP recommends several engagement approaches that include Face to Face meetings, Focused Group Discussions meetings, dialogue platforms/workshops and via electronic communications at successive stages of FIP process. Different approaches will be applied for purpose of:

- a. Information sharing and capacity building for effective participation in consultative and dialogue processes of FIP. This approach aims to ensure that stakeholders are prepared for participation and are provided opportunity to participate and provide knowledge and or ideas.
- b. Analysis of issues through dialogue platforms (workshops, meetings) or through providing comments and inputs into technical assessment reports
- c. Securing stakeholder commitments to own and implement FIP and Strategy and actions through negotiations and consent platforms aiming at ensuring that the FIP strategy options and actions reflect institutional/stakeholder interests and consent.
- d. Providing oversight and monitoring role (by the NCCAC) during the FIP process.

The SESP recommend the following platforms for stakeholder's engagement:

- a. Meeting(s) of the NCCAC to consider and approve the FIP.
- b. Meetings of FIP Planning Team to provide technical inputs and policy/sectoral level guidance and harmonization.
- c. National and District level consultative meetings and workshops with key stakeholders (government, civil society, NGOs, project implementers) for the identification of priority areas for the FIP.
- d. National and District level validation meetings and workshops with key stakeholders for the identification of priority areas for the FIP.
- e. Bilateral agencies and development partners to test support for the FIP.

Note: Details on Stakeholder Engagement are found in Annex 4.

3.4 Deliverables

At the end of the FIP Formulation process (October 2016), Uganda will have a national agreed Forest Investment Plan document which will have gained broad based consensus from government, business, civil society/NGOs and development partners.

3.5 Activity Schedules

FIP Formulation will apply a process-approach that is characterized of activities that successively contribute towards Uganda realizing the above outcomes and results (Table 1).

| Activity | Who | Due date, 2016 |
|--|------|-------------------|
| Mobilize consultants/experts to support FIP IP preparation | GOU | Done ⁵ |
| Develop a draft agenda for the First Joint Mission | GOU | By April 15 |
| Prepare and submit to CIF AU the ToR for the First Joint Mission (5 weeks ahead of mission start date) | IBRD | By May 9 |

⁵ Additional consultants to be hired with the US\$250,000 grant

| | | |
|--|----------------------|-------------------------------|
| Submit mission invitation/announcement to development partners and CSOs | GOU | May 15 |
| Detailed agenda development and skype calls to review agenda | GOU and MDBs | May 25 |
| Prepare an update on Uganda's FIP draft FIP (for presentation to the meeting for new FIP countries) and share with MDBs (and expert reviewer afterwards) | GOU | May 25 |
| Identify expert reviewer (from the FIP roster) | GoU with MDB support | Mid-May |
| Undertake First Joint Mission (including field visits) | GoU and MDBs | June 13-24, 2016 (TBC) |
| Consultation workshop on draft FIP IP | GoU | Early-mid July |
| Finalize advanced draft FIP IP based on inputs from consultations and include developed project concepts | GoU | Early August |
| Draft agenda for Second Joint Mission | GoU | Early July |
| Prepare and submit to CIF AU the ToR for the Second Joint Mission (5 weeks ahead of mission dates) | IBRD | Mid-July |
| Detailed agenda development and conference calls to review agenda | GoU and MDBs | Mid-August |
| Undertake Second Joint Mission (virtual as needed) | GOU+MDBs | End of August / early Sept |
| Final draft FIP IP, including a final validation workshop | GoU | September 5 |
| Expert peer review | GoU | September 5 |
| Finalize FIP IP, including peer review inputs | GoU | By September 30 |
| Submit investment plans to CIF AU | GoU | By October 8 |
| FIP Sub-Committee | -- | <i>November 12 (TBC)</i> |

4. TECHNICAL AND FINANCIAL RESOURCES FOR FIP PROCESS

4.1 Technical Resources

The preparation of Uganda's FIP requires Technical support to the MWE. This support will be mobilized at three levels as follows:

- Technical coordination and advisory services: the MWE and World Bank has agreed to utilize the REDD + Process (Lead Technical Advisor) to render this support. This support will be further augmented by the FSSD/REDD Secretariat Team.
- Technical Oversight: the MWE has appointed a FIP-Technical Planning Committee comprising of experts from relevant field to support the FIP process.
- Specialists/Experts: the MWE in collaboration with the lead MDB (World Bank) will engage services of specialist/experts (national and international) on case by case to address specific technical issues.
- In-house Technical Support: from the World Bank, AfDB and FIP/CIF.

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4.2 Financial Resources

Uganda has received a grant amounting to USD 250,000 to support the FIP Formulation process. The grant is channeled through the World Bank to GoU.

Table 2 below presents the budget components for utilizing this grant.

| Budget item | Amount (USD) |
|---|---------------------|
| Technical services/Consultancies including national contract staff salaries | 150,000 |
| Stakeholder consultations and Validation forums | 50,000 |
| Support costs for supervision, coordination and reporting (including transport, accommodation, printing, stationary etc.) | 40,000 |
| Contingency (Max 10%) | 10,000 |
| Total Cost | 250,000 |

5. ANNEXES

5.1 Annex 1: Uganda Expression of Interest

Outline of Expression of Interest to Participate in FIP

I. COUNTRY AND GOVERNMENT AGENCY SUBMITTING EXPRESSION OF INTEREST

COUNTRY: UGANDA

SUBMITTING AGENCY: MINISTRY OF FINANCE PLANNING AND ECONOMIC DEVELOPMENT

The Ministry of Finance, Planning and Economic Development is the driver of Uganda's Vision 2040 and the National Development Plan and recognizes the importance of forests in sustaining rural livelihoods, building the country's economic potential, preserving the ecosystems and biodiversity that support tourism industry. Uganda is committed to increase forest cover from present 15% to 18% by 2021, through protecting natural forest and protected areas and increasing investments in forestry resources development on privately owned and communal lands where deforestation and forest degradation rates are highest.

II. DESCRIPTION OF THE COUNTRY AND SECTOR CONTEXT AND FOREST-RELATED CLIMATE CHANGE MITIGATION POTENTIAL

Economy: Uganda is a landlocked country with an estimated population of 34.9 million growing at 3.2 % per year (averaged over the past decade) (UBOS, 2014). Approximately 85% of Uganda's population is predominantly rural deriving livelihoods from subsistence agriculture and other natural resources (e.g. fisheries) (UBOS, 2013).

Uganda's Vision 2040 targets to restore Uganda's forest cover from 15% to 24% by 2040 while the National Development Plan (2015/16-2020/21) (NDPII) targets to restore forest cover from 15% to 18% of the Uganda's land surface, including commitment to restore degraded natural forests in forest reserves and forests on private land, reduce pressure on forest cover and promote forestry based industries and trade. The NDPII targets increasing economic productivity of forest-incomes, capacitating institutions in forestry, restoring and improving forest ecosystems.

Environment and Natural Resources: Uganda is endowed with a rich and diverse environment and natural resource base which underpins economic growth and livelihoods security. In addition, environment and natural resource base is core to other sectors of the economy such as water, agriculture, energy, tourism and health and sanitation and contributes to the attainment of regional and international commitments such as the MDGs/SDGs. Indeed, in spite of the on-going structural transformation, Uganda is still a natural resource based economy, with the environment and natural resource sector significantly contributing to food and energy security, GDP, employment, foreign exchange earnings and local revenues. Uganda has sustained significant economic growth over the last two decades with annual GDP growth averaging over 6.5% in 2001-2008. Over the same period,

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about 25% of the GDP (more than US\$ 4 billion annually) was attributed to natural resources. National estimates put the total monetary value of forest products and services, including carbon stocks, at US\$1,276.95 million (NEMA, 2011).

The significant contribution of Environment and Natural Resources sector to national economy notwithstanding, the sector resources are under natural and man-made threats drivers of change emanating from poverty, rapid population growth, unplanned urbanization, expansion of informal settlements, industrialization and impacts of climate change and variability among others. Fragile ecosystems including hilly and mountainous areas, riverbanks, lakeshores and rangelands are facing encroachment and degradation.

Forestry subsector: Uganda's primary forest resources base comprises of Tropical High Forests and Wood lands (Annex 1). According to the National Biomass Study (NFA 2009) a total area of Uganda's forests as of 2005 was 3,594,550 ha, or 15% of the total country's land area. The size of forest cover is declining due to high rates of deforestation nationwide. It was estimated that there was an annual forest loss of 88,638 ha/year from 1990-2005 (NFA, 2009). Between 1990 and 2005, natural forest estate outside Protected Areas (PA) reduced by 35% (from 3.46 million ha in 1990 to 2.3 million ha in 2005) and 12% within PAs (from 1.47 million ha to 1.3 million ha). Forests, especially forests on private land are under pressure to meet livelihoods and economic benefits and there is need to halt or reverse this trend in order to sustain these benefits.

The decline in forest cover is due to high rate of population growth which when coupled with large rural populations continues to fuel drivers of deforestation and forest degradation that were identified in the REDD+ Readiness Preparation Proposal (R-PP) (2012 and National Development Plan II (2015). Among the key drivers of deforestation and forest degradation is agricultural expansion in forested land, charcoal production, firewood harvesting, livestock grazing, timber production and, human settlement and urbanization. In addition to these drivers, institutional performance level and resultant weaknesses in forestry governance have contributed to the high rates of deforestation and forest degradation. The resultant effects of these drivers is a decline in forest vegetation cover, decline in quality and quantity of forest goods and environmental services, loss of livelihood opportunities, declining incomes from forest industry services (employment, ecotourism, wood products), as well as increasing conflicts regarding access, use and control over forest resources. These effects harm the national poverty reduction efforts and over-all economic growth.

With regards to forestry management arrangements, over 1,900,000 ha are managed as protected forests. Of this, 1,270,797 ha is protected as Central Forest Reserves (managed by the National Forestry Authority) (Annex 2), 731,000 ha as National Parks (managed by the Uganda Wildlife Authority) (Annex 3) and 4,997 ha as Local Forest Reserves (managed by Local Governments). The rest of the forest estate (almost 64% of the total forest cover), which is mostly woodland is under private ownership (NEMA 2012).

Government appreciates forestry subsector as an important investment area for eradicating poverty and growing the economy. The FIP investment is therefore needed in order to support this subsector not only to address deforestation and forest degradation issues, but also to create new biomes

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through forest restoration or forest establishment on gazetted forest land and privately owned land. Investments in forestry through private commercial tree farming between 2004 - 2014 raised approximately 80,000ha through combined public investments by NFA and private sector led commercial tree farmers (MWE, 2014). During the same period, commercial farmers supported by SawLog Production Grant Scheme financed by EU, NORAD and Government of Uganda raised approximately 47,000 ha. of plantation forests (SPGS 2014) (Annex 4) Through Government programme (Farm Income Enhancement and Forestry Conservation Project (FIEFOC)) approximately 30,000ha of trees of various species were planted between 2007 to 2012 (PCR, 2012).

Therefore, Government targets to increase investments in the forestry subsector in order to sustain and enhance forestry goods and environmental services, livelihoods, eradicate poverty, and improve rural incomes and grow the economy. In 2014 at the UN Climate Summit, Uganda committed to restore 2.5 million hectares of degraded forests.

Biodiversity: Uganda is one of the most bio-diverse countries in Africa, containing more than half of Africa's bird species and a very diverse set of vegetation types from the montane flora beyond 5,000 meters a.s.l in the Rwenzori's to the lowland forest at 600 metres a.s.l in the Semliki valley (NBI, 2010). Uganda's tropical forests are very rich in biodiversity. They house 1,259 species of trees and shrubs, 1,011 species of birds, 75 species of rodents, 12 species of diurnal primates and 71 butterfly species (NFA, 2011). Among the key forest biodiversity species, 4 primates species, 2 other mammals species, 6 bird species, and 2 butterflies are listed in IUCN Red Data Book (2008) to be globally threatened with extinction (NFA, 2011). Three species of mammals (chimpanzee, elephant, leopard), one species of birds (Grauer's rush warbler) and one species of butterfly (Cream-banded swallowtail butterfly) are listed as "vulnerable". Four species of forest birds (Nahan's francolin, African green Broadbill, Flycatcher and Forest ground thrush) are classified "rare". The Uganda red colobus monkey and Kibale ground thrush are categorized as "intermediate" species and not enough information is available about them (NFA, 2011). Government continues to invest in forestry subsector in order to protect forest biodiversity and sustain biodiversity services and goods to sustain national economy and peoples livelihoods.

Energy: Uganda has an estimated hydropower potential of over 4500MW, biomass co-generation of 1,650MW, geothermal potential of 450MW, and peat power potential of 800MW. High energy potential also exists for solar power, fossil fuel and nuclear energy (MEMD, 2014). Presently, approximately, 92% of Uganda's population depends on traditional biomass for cooking, 7% depends on fossil fuels and only 1% depends on electricity. Most of the biomass energy is consumed in the form of charcoal and firewood. The low level of access to electricity, high electricity tariff and low generation capacity are among the major reasons why the majority of Ugandans use woody biomass energy as a source of fuel. The electricity supplied in the country is generated from hydropower (84%), cogeneration from biomass, specifically bagasse (4%) and thermal power (12%) by both public and private actors (MEMD, 2014). Uganda's energy mix points clearly to the urgent need to increase investments in forest management so as to protect water sources (catchment/watershed) for hydropower generation and sustain supply of biomass in the short and medium term. Government will utilize FIP support to increase investments in the management of water shed/catchment forests (and sustainable forest management over-all) and ensure protection of natural forests which

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generate high returns in form of biodiversity conservation and enhancing environmental goods and services, especially, climate/weather modulation, water sources and protection of fragile landscapes.

The REDD+ process for Uganda: The Ministry of Water and Environment coordinates the REDD+ Process for Uganda through its Forest Sector Support Department (FSSD). A national REDD+ Steering Committee (Annex 5) and National Technical committee (Annex 6) serve as platforms for stakeholder's engagement in the REDD+ process. The REDD+ Process receives active participation from stakeholders within and outside government (NGOs, Private Sector, Academia, Development Partners, etc.).

Uganda became a participant of FCPF in 2008 and in 2009 received a first US\$200,000 Grant from FCPF through the World Bank to prepare a REDD+ Readiness Preparation Proposal (R-PP). Uganda R-PP was approved during the ninth Participants' Committee meeting in Oslo (June 2011) and by World Bank for implementation in June 2012. Since July 2013, Uganda embarked on R-PP implementation which will result into the Uganda REDD+ Readiness Strategy by end of 2016 (Annex 7). One of the key outputs of the REDD process is the REDD+ Strategy by end of 2016. The REDD+ Strategy will include a national/sub national reference scenario of emissions from deforestation and forest degradation, a forest monitoring system and system for addressing grievances or conflicts associated with REDD+ Strategy options. The REDD+ Strategy will include an implementation framework, the initial national forest reference emission level and/or forest reference level; a robust and transparent national forest monitoring system & registry; and a system for providing information on how safeguards are being addressed and respected throughout the implementation of the REDD+ activities. In addition, the REDD+ Strategy will have a clear plan on how to address the key drivers; a clear elaboration of benefit sharing arrangements, including a plan for generation and utilization of non-carbon benefits; and system for addressing grievances or conflicts associated with REDD+ Strategy options. The formulation of REDD+ Strategy will render Uganda Ready for REDD+.

The FIP investment is seen by government as complimentary investment to the REDD+ process for Uganda. The FIP investment will provide an early opportunity to tackle confirmed drivers of deforestation and forest degradation catalyzing the transition between results-based demonstration activities, and the full implementation of results-based actions that have to be fully measured, reported and verified.

Potential to contribute to forest related climate change mitigation (reducing emissions from deforestation and forest degradation): Uganda has great potential to contribute towards reducing emissions from deforestation and forest degradation and potential to contribute through enhancement of forest carbon stocks through ongoing and planned forestry management strategies and interventions. The Vision 2040, National Development Plan II, National Forest Plan (2013), the Strategic Investment Plan for Sustainable Land Management (2010-2020) and R-PP (2012) identify specific measures for addressing key drivers of deforestation. The NDP II targets are expected to be achieved through enhancing forest protection (controlling forest utilization and encroachment), reforestation or restoration of degraded forest within forest reserves, afforestation activities and establishment of industrial plantations, promoting renewable efficiency technologies, sustainable

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land management practices, among others. These measures include mobilizing and engaging stakeholders in forestry resources development. The FIP investment will boost government efforts to implement the NDPII targets in the forestry subsector.

There are ongoing successful government programmes providing incentives for commercial tree farming on private land (e.g., the Saw Log Grant Production Scheme) as well as NGO-led programmes supporting tree planting for carbon markets (e.g., WWF, IUCN, ECOTRUST, JGI). Government, NGOs and Private business are promoting ecotourism within protected areas and other natural forest on private land to generate revenues for forest owners and neighbouring communities while conserving these forests. These initiatives demonstrate a viable opportunity to encourage use of private land for commercial tree farming thereby halting current rate of deforestation or degradation while at the same time, creating new biomes or buffer to natural forests. The FIP investment will build on the initiatives and programmes and provide additional funding to facilitate scaling up of these success stories nationwide.

III. POTENTIAL TO GENERATE ENHANCED DEVELOPMENT CO-BENEFITS

The potential to generate enhanced development co-benefits: presently, forestry sector provide enormous resources that support national economy and sustain livelihoods of majority of rural Ugandans in form of energy resources (charcoal, fuel wood), timber, employment in forestry industry, forest based tourism and forestry resources value chain, wild foods and medicines. National strategies and actions for addressing deforestation and forest degradation will succeed when they sustain these values or generate or add value to these benefits to a wide range of stakeholders.

At macro-economic level, there are huge development co-benefits from forestry resource management. For example, the role of forestry in watershed or catchment protection provides enormous co-benefits including water for supporting industry development, irrigation, fisheries, hydropower generation, tourism, water transport and recreation, and international cooperation.

The Vision 2040 recognizes energy as the key driver to the quest for social economic transformation. For Uganda to achieve the desired socio-economic transformation, it is estimated that this will require 41,738 MW by year 2040 thus increasing its electricity consumption per capita to 3,668 kWh. This will be done through developing the hydro power potential and complementing them with other renewable forms of energy including; wind, solar and bio-gas (MEMD 2014).

At micro-economic level, FIP investment will support governments to increase citizen participation in forestry value chains that will provide additional benefits such as carbon finance, employment and bio-based enterprises (ecotourism, value addition), among others. Uganda has limited experience in carbon trade or similar incentives for rewarding custodian of environment goods, including the forest dependent people. However, the country has rich experience in applying nonmonetary incentives to encourage conservation or protection of natural resources. These experiences include Collaborative Forest Management (under NFA), Collaborative Resources Management (under UWA)

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and Revenue Sharing Schemes (under UWA). The FIP support will build on these experiences to scale up incentive mechanisms for extending multiple benefits from forestry conservation.

The potential to enhance conservation of biodiversity and other environmental services: As indicated in section II, Uganda is one of the most bio-diverse countries in Africa and among Countries considered an international priority for conservation of endemic forest species in Africa (NBI 2010). Uganda's biodiversity richness is attributed to its latitudinal range (600m – 5,400m a.s.l) and her geographical location. There are the six different biogeographic regions (phytochoria) which converge within the country (White, 1983). These phytochoria are: *Sudanian* in the north, *Somalia-Masai* in the northeast, *Guinea-Congolian* in the west, *Guineo-Congolian /Sudanian transition* in the north-west, *Afro-montane/Afroalpine* scattered in different mountains all over the country and the *Lake Victoria regional mosaic*.

Uganda's biodiversity is spread across the country with high concentrations in protected areas (forests, savannah grasslands and wetlands) and aquatic habitats (lakes and rivers). It is believed that the general landscapes outside protected areas and below ground (soils) have high abundance of biodiversity that is not well documented. Therefore, investments in sustainable forest management, including biodiversity forest corridors and buffer zones, will generate high returns in form of biodiversity conservation; incomes from forestry resourced based employment and ecotourism, while enhancing environmental goods and services, especially, climate/weather modulation, water sources and protection of fragile landscapes.

IV. ENABLING REGULATORY ENVIRONMENT AND CAPACITY FOR IMPLEMENTATION

Overview of the existing policies, legal framework, and regulatory structure for reducing/avoiding deforestation and forest degradation:

Policies, legal framework, and regulatory structure: there are adequate policy and legal frameworks and regulatory structures for reducing or avoiding deforestation and forest degradation, and for addressing important policy and regulatory barriers in the forestry subsector. The key frameworks are described hereunder:

- a. **Legal framework:** legal framework regulating forestry sector are based on the Constitution of the Republic of Uganda (amended 2005). Principle XIII of the Constitution provides for protection of natural resources, including natural forests. Other legislations addressing forestry resources include the National Environment Act, Cap 153, National Forestry and Tree Planting Act (8/2003), the Land Act (cap 227), the Local Government Act (1997) and, the Wildlife Act (cap 200).

The National Forestry and Tree Planting Act (2003) is the principal legislation providing for the conservation, sustainable management and development of forests. The Act also provides for declaration of reserves for purposes of protection and production of forests and forest produce,

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sustainable use of resources and enhancement of productivity capacity of forests, promotion of tree planting, among other provisions.

With regards to regulation, a complete set of regulations implementing the National Forestry and Tree Planting Act has been adopted by Cabinet awaiting publication. Environmental Regulations (Annex 8) also support forestry resources regulation.

- b. **Policy framework:** the principal policy for forestry resources management is the National Forestry Policy (2002). Other related policies include the National Environment Policy (1995), National Wetlands Policy (1994), and the Uganda Wildlife Policy (2014). Uganda developed a National Forest Plan (2013) to guide planning and investment in forestry sector.
- c. **Institutional framework:** Uganda's Forestry Sector is managed by the Ministry of Water and Environment (MoWE) through i) the Forestry Sector Support Department (FSSD) which is in charge of forest policy, sector coordination and support to districts and, ii) the National Forest Authority (NFA) which is in charge of managing Central Forest Reserves (CFRs) and also is charged with responsibility to provide technical services to various forestry sector stakeholders. Management of Local Forest Reserves is decentralized to Local Governments through the District Forest Services departments at district levels. Additionally, Local Governments are responsible for forest resources development outside forest reserves. Forests within Wildlife Protected Areas are managed by Uganda Wildlife Authority (UWA).
- d. **Forest governance** (Public and Stakeholder Participation in Forestry Management). There are policy and operational measures for facilitating active citizenship (especially of the rural poor neighbouring the forests) and stakeholder's participation in planning, management and utilization of forestry resources. The National Forestry Policy, the National Forest Plan and the National Forestry and Tree Planting Act promote public participation and partnership between government and private companies in forest management. The Act also requires the Minister to consult before taking major decisions on forests reserves. The National Environment Management Policy, Wildlife Policy, and the Forestry Policy emphasize the participation of the private sector and communities in national resource management and provide measures for applying incentives such as Collaborative Forest Management (CFM), Collaborative Resources Management and Concessions to serve as a tool for promoting benefit-sharing in selected forest protected areas. These measures aim at enhancing the integrity, transparency, and accountability of all forestry sector players. However, there are policy gaps in areas related to conflicts and grievances management, tenure of forestry resources and management of trans-boundary forest resources.

Whilst these measures are deemed adequate, their enforcement and or implementation have been affected by inadequate institutional capacities to ensure compliance with the legal and policy measures. Institutional capacities are weak in terms of manpower, financing and management short comings (e.g., corruption and abuse of authority).

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Potential to address important policy and regulatory barriers: With FIP support, Uganda will have financial resources for addressing inadequacies in the institutional capacities and ensure compliance with the policies and Regulations. Further, Uganda will utilize the FIP investment to address the identified policy gaps.

Potential opportunities for attracting private investments in the program: Uganda's forestry and forestry related policy and legal frameworks provide mechanisms and incentives for private sector participation in forestry sector development. Private sector in forestry subsector falls under four broad categories namely; i) Commercial tree farmers, ii) Commercial tree nurseries, iii) Wood industry players (carpentry/furniture, value addition to wood e.g., plywood, etc.) and, iv) Dealers in forestry produce (timber, charcoal, poles, etc.). With regards to forestry development, private sector is most active in form of commercial tree farmers on private land and gazetted forest land. The FIP support will be utilized to scale up private sector led commercial tree farming, development and uptake of technologies for value addition and efficient utilization forestry produce, scale up non-consumptive use of forest resources (e.g., ecotourism).

Potential to enhance the enabling regulatory environment that supports the development of the private sector: Whereas there are frameworks for regulating private sector engagement in forestry, Regulators have Capacity challenges to provide adequate technical support to forestry industry players, enforce the Forestry regulations and monitor compliance with these regulations. Additional gaps are: i) capacities for monitoring forestry resources development, utilization and trade in forest products; ii) capacities to develop forest standards and, iii) capacities for managing incentives for private sector investments in forestry sector. The FIP investment will build on existing capacities and efforts and contribute towards creating more capacity within Regulators in these priority capacity areas so as to render them capable of fulfilling their regulatory mandates that would ultimately, secure active private sector engagement in the forestry sector.

Analysis of the institutional and technical capacity for implementation, including the government's ability to effectively absorb additional funds, and a preliminary assessment of potential implementation risks:

Institutional: The Ministry of Water and Environment and the lead agencies (NFA, FSSD, UWA, NEMA) have clear policy and legal mandates for managing the forestry sector. The Ministry Top Policy Organ provides platform for policy – level decision making and for carrying out an oversight function. The Top Policy organ is assisted by the Joint Water and Environment Sector Working Group, which is a representative platform for stakeholder under which forestry subsector issues are coordinated. Donors in the Environment and Natural Resources Sector (ENR) convene under the Joint Partnership Fund mechanism to coordinate their programmes in the sector. The line departments under the ministry are supervised by the Permanent Secretary while the semi-autonomous agencies (NFA, NEMA and UWA) are supervised by Boards of Directors appointed by line minister. The Ministry of Water and Environment implements the National Climate Change

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Policy. The Ministry received support from the Climate Change Policy Committee. The ministry coordinates the Uganda REDD+ Process.

These institutional arrangements in the forestry's sector are adequate for steering the forestry subsector forward. Lead institutions (FSSD, NFA and UWA) have qualified technical personnel in forestry resources management and project implementation. Additional technical expertise is found in Academic and Research institutions (Universities, Forest Research Institutes, Agriculture Research Institutes), NGOs and Private Sector. However, technical capacities in Lead agencies are undermined by inadequate manpower and facilities. The major capacity requirement for the private sector is access to technical support and access to investment funds. In this regards, the FIP support will be utilized to address technical capacity needs, facilities and to provide source of investment financing for the private sector.

Financial Management: There are adequate Government finance and budget management procedures and systems that are applied by government and donor programmes. Multi-million dollar programmes under the Ministry of Water and Environment (Annex 9) have successfully applied these procedures. Some of the issues regarding financial and budget management that have been identified for improvement include compliance with the budget control procedures, procurement and financial reporting.

Potential Risks: There may be a moderate risks to the utilization of FIP support. The potential risks are presented in two categories: Finance and management risks and, technical risks.

a) Finance and Management:

- i. Budgeting (cost estimates may fluctuate due to inflationary factors).
- ii. Budget overruns if budget control measures are violated.
- iii. Sub - standard accounting practices due to deviations in implementation of financial management procedures or failure to account for the funds advanced or failure to maintain proper books of accounts.
- iv. Weak internal controls which could be caused by poor monitoring of the project implementation, failure by the internal audit to carry out proper oversight function and, inability to follow up reported internal control weaknesses).
- v. Financial information when it is availed late or unreliable for purposes of preparation of required reports.
- vi. Delays in disbursement of funds which would hurt the smooth implementation of the activities.

b) Technical:

- i. Access to land for long term forestry investments.
- ii. Tenure arrangements for long term private sector investment in gazette forest land.
- iii. Market risks for the forest products.
- iv. Conflicts relating to land tenure and access and use forest products.
- v. Forestry investment risks such fires and diseases.

Note: These potential risk areas will be assessed further when evaluating Uganda's capacity to effectively utilize the FIP funds.

How the proposed FIP interventions may potentially realize transformational impact, including any potential to scale up public, private and other resources and activities:

Since 2005, there is evidence to show that investments on forestry resources development are feasible and yield investment returns in relatively short period (Section II). This evidence creates the optimism that Uganda will start harvesting these soft wood plantations by 2018 thereby addressing shortages of timber, poles and other forestry products. This windfall will reduce pressures on the natural forests for wood products, create more wealth to forest owners and the economy through the forestry products value chain. Therefore, FIP investments will be utilized to increase investment in forestry establishment and sustain future supply and to increase utilization efficiency through promoting technologies for the value addition along the value chain. Over-all, Uganda will utilize FIP support to:

- a. Reduce forest degradation and forest degradation in targeted areas.
- b. Increased government investment into the forestry sector
- c. Increased forest resource and carbon stock.
- d. Enhance multiple benefits to the rural poor (increased access to forestry environmental services, reduced conflicts over forest resources access and use and incomes from forestry resources, ecotourism and forest carbon).
- e. Increase private sector investment in forestry sector.
- f. Strengthen institutional and stakeholders capacity for forestry sector regulation.

Collectively, these results have great potential for scaling up sustainable forestry management practices.

Ongoing and planned international and national programs/plans relevant to REDD+, forest conservation and management

Ongoing or planned international and national programmes related to REDD or forest

Conservation: There are several international and national programmes in the Environment and Natural Resources Sector supported or finance through the multilateral development banks (MDBs) or other development partners with interventions that are relevant to REDD process or forest conservation (Annex 9). These programmes are financed through several arrangements including, bilateral programmes, project support, regional cooperation, and through private sector. Their implementation involves government, NGOs/CSO and private sector players.

Coordination (current projects/programmes): Forestry subsector (including REDD process) programmes are coordinated by the MoWE with assistance from the Joint Water and Environment Sector Working Group. Funding is channeled through the Ministry of Finance Planning and Economic Development. Sector donor support is coordinated through the Joint Partnership Fund hosted by the MoWE and Donor Coordination Groups for ENR and Water Sector.

Coordination with FIP: The Government will ensure that the FIP funding support is integrated in the investment and budget frame work for the Environment and Natural Resources sector. The FIP support will be used to finance identified priorities and funding will be channeled through the official GoU donor funding in inflow procedures.

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V. RATIONALE FOR SELECTED SECTORS FOR FIP FINANCING

Barriers for reducing/avoiding deforestation and forest degradation: there are barriers to national effort to reduce or avoid deforestation and forest degradation. These barriers are presented within the context of enabling environment for ensuring sustainable forest management of protected forests, tackling drivers of deforestation and forest degradation and for increasing opportunities and incentives for private sector investment in forestry management. The following are key barriers:

- a. **Land tenure arrangements:** approximately 65% of forest resources in Uganda are found on privately owned land, thus decisions by landowners have strong influence on land use or long term land based investments that would improve forestry resources base (restoration, afforestation, commercial forestry and sustainable land management) or reduce or avoid deforestation and forest degradation.
- b. **Over-reliance on forestry goods and services for energy (wood biomass) and non-wood products for supporting livelihoods:** of the majority of rural populations will in foreseeable future sustain continued pressures on forest resources for energy sources and other livelihoods support services (forestry goods and services)..
- c. **Low levels of compliance with forestry policy, legal and regulatory measures:** due to weak enforcement and compliance monitoring capacities within the lead Agencies.

The Government will utilize the FIP funding to compliment ongoing efforts by government and forestry industry players by supporting the following interventions that will address these barriers (Table 1):

Table 1: Relationship between barriers to addressing deforestation and forest degradation and priorities for FIP investment

| Barrier | Issues | Priorities for FIP investments |
|---|--|---|
| Land tenure arrangements | <ul style="list-style-type: none"> ✚ Low levels of long term investments in forestry development within and outside protected forests ✚ Conflicts regarding forests resource use and access ✚ Poor land use/agriculture practices and pressures for more agricultural land from forest and other marginal areas | <ul style="list-style-type: none"> ✚ Incentives for long term investments in forestry development within and outside protected areas by private sector players ✚ Incentives for commercial tree farming |
| Over- forestry goods and services for energy (wood biomass) and other livelihoods needs | <ul style="list-style-type: none"> ✚ Forest degradation due to over harvesting of forest/wood for fuel wood, charcoal, livestock grazing ✚ Deforestation due to agriculture encroachment ✚ Declining quality of forest goods and services | <ul style="list-style-type: none"> ✚ Enhanced protection of catchments /watersheds forests that result into continued supply of water for power generation and other co-development benefits ✚ Promotion of technologies for value addition and efficient use of forest products ✚ Sustainable Land management practices that increase land productivity |
| Low levels of compliance | <ul style="list-style-type: none"> ✚ Violations of forest policy and regulations (encroachment on forest lands, unsustainable harvesting levels, low returns due to low | <ul style="list-style-type: none"> ✚ Institutional capacities for: <ul style="list-style-type: none"> ➤ Enforcing and monitoring compliance with forestry policy and Forest |

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| | | |
|---|--|---|
| with forestry policy, legal and regulatory measures | <ul style="list-style-type: none"> ✚ utilization efficiencies, etc.) ✚ Inadequate knowledge/information on forest resources base and economic potentials ✚ Declining forest resource base | <ul style="list-style-type: none"> ➤ Regulations ➤ Strengthening provision of technical support to private tree farming ➤ Regulating private sector engagement in forestry resources development |
|---|--|---|

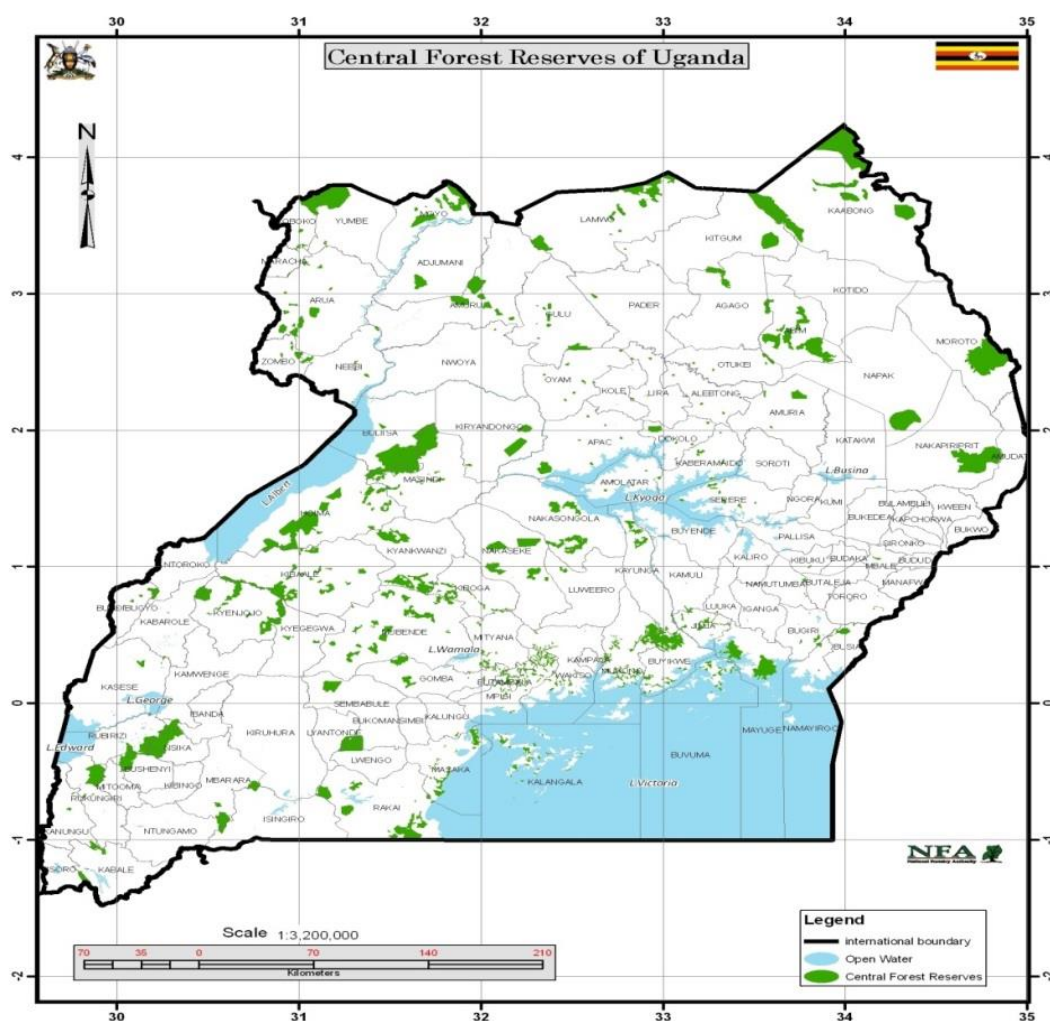
Mechanisms for disbursement of FIP funds: FIP funding will be channeled through official GoU donor funding in inflow procedures. The coordination structures and process mentioned in section IV will be applied.

Annexes:

Annex 1: Proportion of Forest types in Uganda

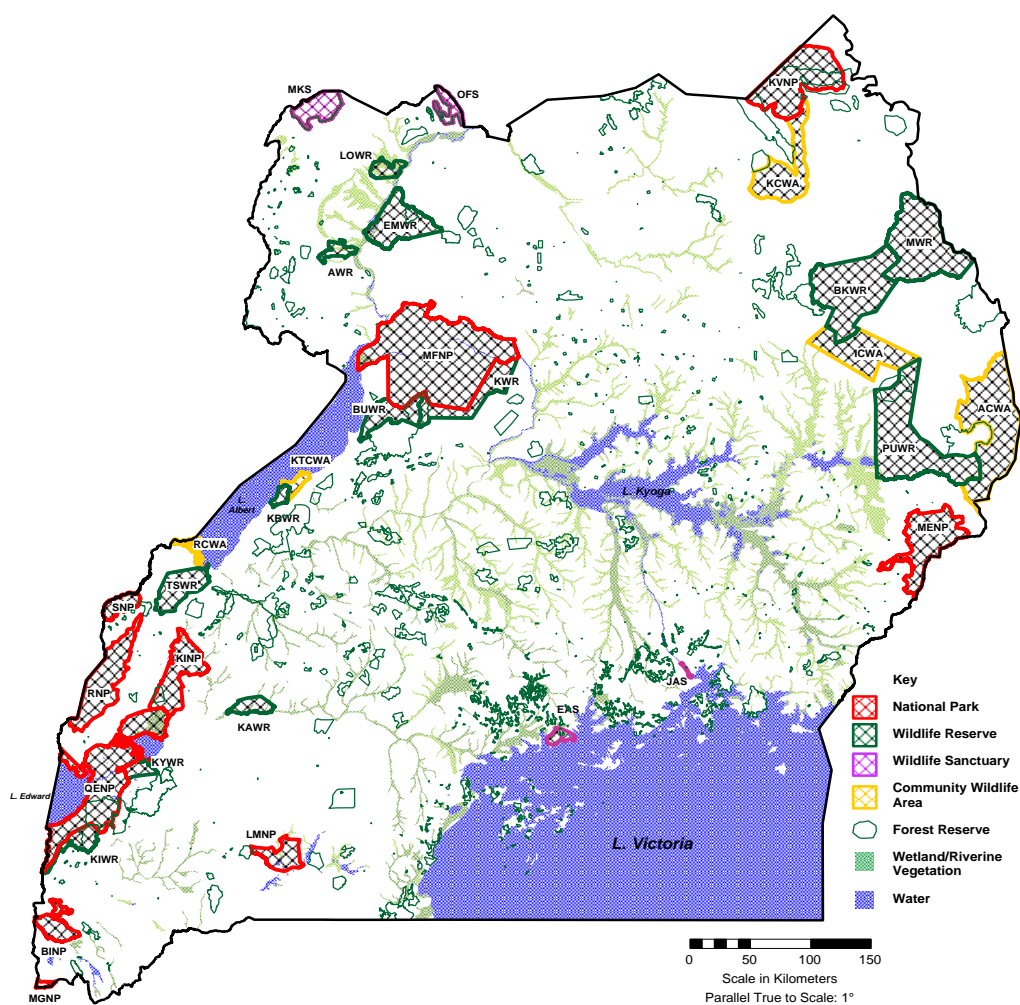
| Forest type | Extent in 2005 (ha) |
|-------------------------------------|------------------------|
| Tropical high forests, well stocked | 600,956.81 |
| Tropical high forests, Low stocked | 191,694.36 |
| Woodland | 2,777,997.8 |

Annex 2: Central Forest Reserves of Uganda



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Annex 3: Wildlife Protected Areas of Uganda



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Annex 4: Performance of Sawlog Production Scheme (2004-2014)

| Category of planters | Total Planted (ha) |
|-------------------------------------|--------------------|
| Community and wood lots (0.5-25 ha) | 4,969 |
| Small-Medium Scale (25-500ha) | 31,256 |
| Large scale (501-3,000ha) | 10851 |

Annex 5: Composition of Climate Change Policy Committee

| | |
|------------------------------------|---------------------------|
| Mr. OO Obong | Permanent Secretary, MWE |
| Mr. George Sserunjogi | MoFPED |
| Mr. Sanne Frosthelt | Royal Danish Embassy |
| Mr. Stephen Koma | M.O.L.G. |
| Ms. Pamela Komujuni | O.P.M. |
| Didacus B. Namanya | M.O.H. |
| Mr. Stephen Muwaya | MAAIF |
| Ms. Ketra Katunguka | MoJ |
| James Baanabe | MEMD |
| Ms. Edith Kasajja-Kateme | NPA |
| Charles Mutemo | M.O.W.T. |
| Michael Nkalubo | Department of Meteorology |
| Director for Environment | MWE |
| Commissioner for Wildlife | MTWA (Wildlife) |
| Commissioner Physical Planning | MLHUD |
| Commissioner Community Development | MGLSD |
| Commissioner for Forests | FSSD |

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| | |
|--|--------|
| Commissioner for Environment | MWE |
| Commissioner for Wetlands | |
| Executive Director | NEMA |
| Executive Director | NFA |
| Executive Director | UWA |
| Director Forestry Resources Research Institute | NaFORI |
| International NGO | IUCN |
| National NGO | EA |
| Private /Commercial Tree Farmers | UTGA |
| Private/Commercial Dealers | ???? |
| Representative of Indigenous/Minority Groups | ????? |
| Representative of Donor(s) | ADC |
| Representative of Donors (s) | WB |

Annex 6: Technical Expertise in the Composition of Technical Committee

| |
|---|
| Forest Surveys & mapping & database |
| Forest biodiversity and ecology |
| Land use planning |
| Biodiversity |
| Wildlife management |
| Environmental management |
| Wetlands management |
| Climate Change Mitigation/adaptation and policy processes/REDD+ |
| Community/Rural development and participatory approaches |
| Carbon Trade/Payment for Environmental Services |

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| |
|---|
| SEA /Safeguard (Social- Economic) |
| Institutional development |
| Natural Resources economics/Trade and value chain |
| CSO/NGO engagement |
| Engagement of minority groups |
| Legal and Policy |

Annex 7: Status of R-PP implementation

The Uganda REDD-Plus is one of the national level investments seeking to prepare the country to tackle drivers of deforestation and forest degradation. The REDD-Plus will contribute towards achieving NDP11 objectives for forestry under the environment sector through generating up-to-date information on forestry resource base (national forest inventory and maps), provision of strategies and incentives for addressing drivers of deforestation and forest degradation, mechanisms for addressing conflicts and grievances regarding forest resources use and development and incentives for generating multiple benefits from forestry resources for the rural people whose livelihoods depend on forestry resources.

The REDD-Plus is national undertaking that links Uganda to other global actions seeking to address climate change issues through enhancing the role of forestry as key factor establishing or retaining carbon stocks and in providing options to address livelihoods and forestry based incomes on sustainable basis.

Uganda is a party to the United Nations Framework on Climate Change Convention and other international policy regimes towards enhancing the role of forestry in climate change mitigation. Since 2009, Uganda has actively participated in the Global Forest Carbon partnership process (FCPC) and has received grants to assist in preparing the country to address issues of deforestation and forest degradation and enhancement of forestry in biodiversity conservation and provision of multiple benefits to the national economies and livelihoods. The Water and Environment Sector Working Group approved the proposal for incorporation of this project in the sector with effect from FY 2014/15.

With support from the FCPF/World Bank (US\$ 200,000) and NORAD (US\$ 186,000) Uganda formulated US\$ 10.617 million investment proposals (REDD-plus Readiness Preparation Proposal (R-PP)) during the period 2010-2012. This proposal has attracted financing grants from FCPF/WorldBank (US\$ 3.634 million), Austrian Development Cooperation (ADC) (US\$0.890 million). Uganda government has committed 0.9 billion shillings during 2014/15 FY to this undertaking. Additional grant amounting US\$ 1.86 is under negotiation with UNREDD.

Objective: To address drivers of deforestation and forest degradation, enhance forest resources for biodiversity conservation and provision of multiple benefits to the economy and livelihoods. The REDD + Strategy will facilitate national, district and community or household level actions and processes that enables the country better equipped with capacities to address deforestation and forest degradation while engaging

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multiple stakeholders in forestry resources protection, development and utilization. The National REDD+ Strategy will address:

- a) National capacity for planning and implementation of strategies that address drivers of deforestation and forest degradation.
- b) Knowledge and information on national forest resource base, future forestry trends and role of forestry as mitigation to effects of climate change.
- c) Field activities demonstrating good forestry practices and opportunities for earning revenue from sell of carbon stocks.
- d) Systems and procedures for addressing social, economic and environmental concerns regarding forestry resources development and management as a mitigation tool for climate change effects.

The ongoing/planned activities are:

- a) Carrying out Forest inventory and mapping.
- b) Developing strategies for addressing deforestation and forest degradation and enhancing Carbon Stock (e.g. increasing tree cover).
- c) Designing a national forest monitoring system
- d) Designing a framework for assessing key social and environment risks and potential impacts of REDD+ strategy options and implementation.
- e) Designing a national system for monitoring benefits and impacts arising out of implementation REDD+ strategy.
- f) Pilot demonstration activities.
- g) Preparing national Strategy for addressing deforestation and forest degradation (REDD+ Strategy).

The National REDD+ is coordinated by the Ministry of Water and Environment through the Forest Sector Support Department (FSSD)/REDD+ as the Focal Point which also functions as REDD+ Secretariat for Uganda. The FSSD executes the project implementation through a Project Implementation Unit housed in the FSSD.

The MWE is supported by the Climate Change Policy Committee (CCPC) which will serve as a Steering Committee for the project and an official platform for policy level stakeholder participation. The Steering Committee provides policy level guidance to the REDD+ process for Uganda. The CCPC tasks the National Technical Committee to ensure that the technical aspects of the project are effectively addressed, including adherence to REDD+ principles, national policy and legal frameworks as well as World Bank safeguards. The National Technical Committee reports report to the CCPC on technical aspects of the project.

The National Technical Committee establishes and assigns work to three taskforces namely: SESA, Forestry Policy and, MRV. The Taskforces will provide specialist inputs in respective technical work.

Annex 8: Environmental Legislation and Regulations

Legislation

- i. The Constitution of Republic of Uganda (amended 2005)
- ii. The Environment Act, Cap 153.
- iii. The Water Act, Cap 152.
- iv. The Local Governments Act Cap 243.
- v. The Land Act Cap 227.
- vi. The National Forests and Tree Planting Act, 2003.
- vii. The Wildlife Act, cap 200.

Policies

- i. The National Environment Management Policy (1994)
- ii. The National Water Policy (1997)
- iii. The National Land Use policy (2000)
- iv. The Wildlife Policy (2013).
- v. The Forestry Policy (2001).
- vi. The National Tourism Policy (2003).
- vii. The National Oil and Gas Policy (2008).
- viii. The National Policy for Conservation and Management of Wetland Resources (2005).

Regulations

- i. The National Forests Regulations (*unpublished*)
- ii. The National Environment (Environment Impact Assessment) Regulations, S.1 No. 153-1
- iii. The National Environment (Wetlands, River Banks and Lakeshores Management) Regulations. S.1 No. 153-5.
- iv. The National Environment (Minimum Standards for Management of Soil Quality) Regulations, S.1. No. 59/2001.
- v. Petroleum (Exploration and Production)(Conduct of Exploration Operations) Regulations

Development Plans

- i. Vision 2040
- ii. The National Development Plan II (2009).
- iii. The National Biodiversity Strategy and Action Plan (2002).
- iv. The National Environment Action Plan (1994).
- v. The National Forest Plan (2013).
- vi. The Wetlands Sector Strategic Plan (2013).
- vii. The Land Sector Strategic Plan (2001)
- viii. Energy and Minerals Invest Plan (2014)
- ix. Uganda Strategic Investment Framework for Sustainable Land Management (2010-2020)

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Annex 9: Multi-lateral and other donors funded programmes in forestry

| Programme | Budget (US\$ “000,000”) | Duration and location | Key actors (Multi- lateral Development Banks (MDB) | Key actors/sources of support |
|--|-------------------------------|--|--|--|
| Preparation of REDD+ Strategy for Uganda | 11.67 | July 2014- December 2016 | World Bank (FCPF) | MWE; MAAIF, MEMD; Austria Government, UN- REDD |
| Farm Income Enhancement and Forest Conservation Project | 82.9 | Phase I: 2005 - December 2012 Phase II: 2016 - 2021 | African Development Bank; Nordic Development Fund | MWE; MAAIF; Local Governments; African Development Bank; Nordic Development Fund; GoU |
| Water Management and Development Project | 135 | 2012 - 2017 | World Bank | MWE; Local Governments; World Bank |
| Lake Victoria Environment Management Programme II | 105.8 | 2010 - 2015 | World Bank | MWE; Local Governments; KCCA; MAAIF; GEF; GoU; |
| Sawlog Production Grant Scheme Project Phase III | 12 | 2015-2020 | EU | EU; FAO; Government of Norway |
| Forest Restoration (Kibale National Park) | 6.4 | 2003-2030 | UWA, FACE the Future | UWA, FACE the Future |

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Annex 10: References

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- Government of Uganda. (2002); National Biodiversity Strategy and Action Plan. NEMA.
- Government of Uganda. (2007); Uganda National Adaptation Programmes Plan of Action (NAPA).
- Government of Uganda. (2009); National Development Plan (2009-2014).
- Government of Uganda. (2012); Uganda REDD+ Readiness Preparation Proposal.
- Government of Uganda. (2013); The National Forest Plan (211/12-2012/22).
- MEMD (2014); Sector Investment Plan
- MTWA (2014); the Uganda Wildlife Policy (2014)
- MWE (2014); Ministerial Policy Statement (2014/15 Budget)
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- NFA (2009); Land cover of Uganda 2005 by NFA
- NFA (2010); Annual Report.
- NFA (2011); Annual Report
- NFA (2012); National Forest Plan.
- UBOS (2013); Statistical Abstract (2013)
- UBOS (2014); Summary 2014 Population Census
- UWA (2012); Annual Report.

5.2 Annex 2: Composition of NCCAC

| No. | NAME | INSTITUTION | DESIGNATION |
|-----|----------------------------|--|---|
| 1. | David O. Obong | Ministry of Water and Environment | Permanent Secretary (MWE) And Chair CCPC |
| 2. | David Okwi | MoFPED | Senior Economist |
| 3. | Koma Stephen | M.O.L.G. | Principal Inspector |
| 4. | Ogwang Jimmy | O.P.M. | Senior Disaster Management Officer |
| 5. | Namanya B. Didacus | M.O.H. | Geographer |
| 6. | Muwaya Stephen | MAAIF | UNCCD Focal Person & Senior Range Ecologist Directorate of Animal Resources |
| 7. | Katunguka Ketrach | MIN. OF JUSTICE | Commissioner, Contracts and Negotiations |
| 8. | James Baanabe | MEMD | Commissioner Energy Department |
| 9. | Edith Kateme-Kasajja (Mrs) | National Planning Authority (NPA) | Deputy Executive Director |
| 10. | Charles Mutemo | Ministry of Works and Transport | Senior Environmentalist |
| 11. | Festus Luboyera | Uganda National Meteorological Authority | Executive Director |
| 12. | Chebet Maikut | CCD/MWE | UNFCCC National Focal Point |
| 13. | | | |
| 14. | Jane Mpagi Sanyu | Ministry of Gender, Labour and Social Development | Director For Gender And Community Development |
| 15. | Dennis Kavuma | Private sector | UTGA |
| 16. | Margaret Lomonyang | Indigenous groups | |
| 17. | Ofwono Opondo | Uganda Media Centre | Executive Director |
| 18. | Ambrose Agona (PhD) | National Agricultural Research Organization (NARO) | Ag. Director General |
| 19. | Andrew G. Seguya | Uganda Wildlife Authority (UWA) | Executive Director |
| 20. | Vincent Byaindamira | Ministry of Lands, Housing and Urban Development | Director of Lands |
| 21. | Pierre Andriamampianina | ENR /CC Development Partners Group | French Embassy |
| 22. | Tom Okurut | NEMA | Executive Director |
| 23. | Michael Mugisa | National Forestry Authority (NFA) | Executive Director |
| 24. | Margaret Adata | Forestry Sector Support Department (FSSD) | Commissioner |
| 25. | Paul Mafabi | Directorate of Environmental Affairs/MWE | Director |
| 26. | James Lutalo | Ministry of Tourism Wildlife and Antiquities | Commissioner Wildlife Conservation |
| 27. | David Duli | CSO (International) | WWF |
| 28. | Achilles Byaruhanga | CSO (Local/National) | NatureUganda |

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5.3 Annex 3: Composition of FIP TPC

1. Policy and Planning Department (MWE)
2. Department of Environment Support Services (MWE)
3. Department of Forestry Support Services (MWE)
4. Department of Climate Change (MWE)
5. Ministry of Finance, Planning and Economic Development
6. Ministry of Lands, Housing and Urban development
7. Ministry of Health
8. Office of Prime Minister
9. Ministry of Agriculture, Animal Industry and Fisheries
10. National Forestry Authority.
11. National Environment Management Authority.
12. Uganda Wildlife Authority.
13. National Planning Authority.
14. Directorate of Water Resources Management
15. Department of Renewable Energy (MEMD).
16. Department of Wildlife (MTWA).
17. Local Government (Districts (one for each region).
18. Private Sector (UTGA).
19. Civil Society (International + national).
20. Special interest groups (Indigenous people + Cultural institutions.
21. Development Partners.

5.4 Annex 4: FIP Stakeholders Engagement Strategy and Plan



Stakeholders Engagement Strategy and Plan (SESP) (FIP Formulation Process (October 2015 – November 2016))

FIP National Focal Point
Ministry of Water and Environment
Kampala.

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Acronyms

| | |
|----------|--|
| ADC | Austrian Development Cooperation |
| AFD | French Development Cooperation |
| AfDB | African Development Bank |
| CBD | Convention on Biological Diversity |
| CCD | Climate Change Department |
| CDO | Community Development Officer |
| CFR | Central Forest Reserve |
| CIF | Climate Investment Fund |
| CSO | Civil Society Organization |
| DAO | District Agricultural Officer |
| DCO | District Commercial Officer |
| DEA | Directorate of Environment Affairs |
| DEO | District Environment Officer |
| DESS | Department of Environment Support Services |
| DFO | District Forest Officer |
| DWRM | Directorate of Water Resources Management |
| EAC | East African Community |
| ECOTRUST | Environmental Conservation Trust of Uganda |
| Eoi | Expression of Interest |
| FAO | Food and Agriculture Organization |
| FIP | Forestry Investment Plan |
| FSSD | Forestry Sector Support Department |
| GoU | Government of Uganda |
| IGAD | Inter-government Authority on Development |
| IP | Indigenous Peoples |
| ITFC | Institute of Tropical Forestry Conservation |
| IUCN | International Union for Conservation of Nature and Natural Resources |
| LVBC | Lake Victoria Basin Commission |
| MAAIF | Ministry of Agriculture, Animal Industry and Fisheries |
| MDB | Multilateral Development Bank |
| MEMD | Ministry of Energy and Minerals Development |
| MLHUD | Ministry of Lands Housing and Urban Development |
| MoFPED | Ministry of Finance, Planning and Economic Development |
| MoGLSD | Ministry of Gender, Labour and Social Development |
| MoJCA | Ministry of Justice and Constitutional Affairs |
| MoWT | Ministry of Works and Transport |
| MTWA | Ministry of Tourism, Wildlife and Antiquities |
| MUBFS | Makerere University Biological Field Station |
| MWE | Ministry of Water and Environment |
| NaFORRI | National Forestry Resources Research Institute |
| NARO | National Agricultural Research Organization |
| NBI | Nile Basin Initiative |
| NCCAC | National Climate Change Advisory Committee' |
| NEMA | National Environment Management Authority |
| NFA | National Forestry Authority |
| NP | National Park |

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| | |
|-------|---|
| NPA | National Planning Authority |
| PPD | Policy and Planning Department |
| REDD | Reducing Emission from Deforestation and Forest Degradation |
| SESP | Stakeholder Engagement Strategy and Plan |
| SPGS | Sawlog Production Grant Scheme |
| UBOS | Uganda Bureau of Statistics |
| UEGCL | Uganda Electricity generation Company Limited |
| UFA | Uganda Forestry Association |
| USAID | United States Agency for International Development |
| UTB | Uganda Tourism Board |
| UTGA | Uganda Timber Growers Association |
| UWA | Uganda Wildlife Authority |
| WCS | Wildlife Conservation Society |
| WESWG | Water and Environment Sector Working Group |
| WWF | Worldwide Fund for Nature |

1. INTRODUCTION

Uganda's FIP and Strategy and Plan is expected to be country-led and country-driven, designed to support Uganda's REDD Readiness efforts, by providing upfront bridge financing for readiness reforms and public and private investments identified through national REDD readiness strategy building efforts, while taking into account opportunities to help Uganda adapt to the impacts of climate change on forests and to contribute to multiple benefits such as biodiversity conservation, ecosystem services, protection of the rights of indigenous peoples and local communities, poverty reduction and rural livelihoods enhancements.

The processes of formulating Uganda's FIP started in March 2015 when Uganda submitted its EoI to access FIP Funds (Annex 1: EoI). The formulation process is expected to be completed by November 2016. Uganda's FIP and Strategy and Plan document will have broad based consensus from government, business, civil society/NGOs and development partners will contain the following:

- a. Definition of nationally agreed investment objectives and priorities for addressing the underlying causes of deforestation and forest degradation.
- b. Technical information from assessments of the targeted topics.
- c. Stakeholder's engagement plan and description of stakeholder roles and responsibilities in the implementation of the investment strategy and related projects and programs.
- d. Financing mechanism for Investment Plan and Strategy implementation.
- e. Results framework for monitoring and evaluating the implementation and outputs/outcomes of the Forest Investment Plan and Strategy.

The Forestry Investment Plan and Strategy elaboration process is intended to be participatory involving representatives of all major stakeholders, including CSOs, Private Sector and Indigenous People. Against this background, it is essential to ensure effective engagement of Stakeholders in the formulation of the FIP and strategy and deliver nationally agreed priorities and strategies for forest investment.

The Stakeholder Engagement Strategy and Plan (SESP) have been developed by the MWE/FIP Focal Point to guide the FIP formulation process. The SESP provides:

- a. Baseline/map FIP Stakeholders in the forestry sector.
- b. Strategies and actions for ensuring effective and inclusive engagement at all levels and across sectors.

2. THE STAKEHOLDER ENGAGEMENT STRATEGY AND PLAN

The overall goal of the Stakeholder Engagement Strategy and Plan (SESP) is “Forestry Resources stakeholders effectively contributing to the FIP formulation process and formulation of Uganda’s FIP and Strategy”. This goal obligate MWE to; i) ensure that stakeholders are adequately mobilized and facilitated to participate in the entire FIP process and; ii) objectively listen to stakeholders aiming at securing ownership of the FIP process and outputs.

Therefore, the purpose of the SESP is to provide MWE, Forestry Stakeholders and Partners in Forestry, a roadmap for ensuring an effective structured engagement of stakeholders in the FIP process, enhancing inclusivity and ensuring improved understanding of priority investment areas within the forestry sector in Uganda. The SESP recognizes that stakeholder involvement is critical for strengthening ownership and ensuring relevance to the recommended forestry investment objectives and priorities.

The SESP elaborates on the stakeholders to be engaged in the FIP process, Stakeholder interests, capacity and information needs that are necessary for effective in participating in the FIP process, stakeholder engagement approaches, strategies and interventions.

The SESP seeks to promote engagement of stakeholders throughout the entire FIP process; i.e., during a) designing/validating FIP formulation methodology and process; b) establishing baseline information for the FIP on forestry resources; d) identifying investment objectives and priorities; e) identification of FIP implementation requirements and designing implementation arrangements and processes; and, f) definition of means to monitor and evaluate FIP implementation progress and outcomes.

The SESP recommends several engagement approaches that include Face to Face meetings, Focused Group Discussions meetings, dialogue platforms/workshops and via electronic communications at successive stages of FIP process. Different approaches will be applied for purpose of:

- e. Information sharing for effective participation in consultative and dialogue processes of FIP. This approach aims to ensure that stakeholders are prepared for participation and are provided opportunity to participate and provide knowledge and or ideas.
- f. Analysis of issues through dialogue platforms (workshops, meetings) or through providing comments and inputs into technical assessment reports.
- g. Securing stakeholder commitments to own and implement FIP and Strategy and actions through negotiations and consent platforms aiming at ensuring that the FIP strategy options and actions reflect institutional/stakeholder interests and consent.
- h. Providing technical and policy oversight and monitoring role (by the FIP NTC and NCCAC, respectively) during the FIP process.

The implementation of SESP will follow the FIP process implementation schedule (FIP Roadmap) jointly developed by GoU and the MDBs supporting the FIP process (Annex 2: FIP Road Map). The MWE (through the PPD) has lead responsibility for implementing this SESP. A successful application of this SESP will result into the following results:

- a. Credible FIP Process and FIP and Strategy for Uganda.

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- b. Stakeholder ownership of the FIP and Strategy.
- c. Increased understanding and appreciation of climate change effects on forestry resources and stakeholders.

3. STAKEHOLDER FOR FIP PROCESS

3.1 Stakeholder engagement - progress to-date

To date, stakeholders have been involved in initial preparatory work of the FIP process as follows:

- a. Technical/preparation of Expression of Interest: a process led by REDD Secretariat involved the following stakeholder institutions: FSSD, NFA, DEA, CCD, MofPED, World Bank, AfDB and Top Policy of the MWE.
- b. Stakeholder endorsement: the EIO was reviewed and endorsed by the NCCAC in March 2015 before Uganda's submitted the EIO to CIF/FIP (Appendix 3: Participants in March 2015 NCCAC).
- c. Joint FIP/PPCR Formulation Mission (October 2015); Uganda's FIP process was discussed, preliminary sectoral and sub-sectoral interests shared and the process for preparing the FIP agreed upon between Joint Mission delegation, MWE and Stakeholders within and outside the Government, including private sector, CSO, IPs, etc. (Appendix 4: Aide Memoire) .
- d. Joint FIP/PPCR Technical Mission (March 2016); Uganda's FIP Road map was discussed and FIP priority areas and focus recommended.

3.2 Planned Stakeholder engagement (January – November 2016)

The planned stakeholder consultations process and scope (audiences, locations and issues for consultations) are aimed to mobilizing stakeholders input and ownership of the FIP. The scheduling of the Consultations for FIP will be synergized with the planned stakeholder engagement under the R-PP (Strengthening Participatory Structures, REDD Strategy options development and SESA) as much as possible.

Basing on the preliminary (identified) priorities for FIP developed during the March 2016 Joint Technical Mission, consultations will focus on area specific issues (areas of FIP focus) and issues relevant to the targeted audiences.

3.2.1 Targeted Stakeholders

Stakeholders to be engaged during the FIP formulation in the remaining period of 2016 are grouped under six broad categories aiming at engaging them at national, district and grassroots levels, across all relevant sectors and scales (Table 1).

Table 1: Atlas of FIP Stakeholders

| Institution | Mandate/Interest | Target |
|-------------|------------------|--------|
|-------------|------------------|--------|

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| Category #1: Mandated institutions | | |
|---|--|---|
| Ministry of Water and Environment | Policy, Sector Planning and Coordination | Political Leaders, Top Policy, PPD; NCCAC WESWG |
| Directorate of Environment Affairs (DEA) | Subsector Coordination | Director DEA, Commissioner DESS |
| Forest Sector Support Department (FSSD) | Planning, Regulation & Standards, Monitoring, Saw Log Production Grant Scheme (SPGS) | Commissioner + Technical Staff |
| National Forestry Authority (NFA) | Central Forest Reserves (CFRs), Data and monitoring, Enforcement, Investment, value addition | Executive Director + Technical Staff |
| National Environment Management Authority (NEMA) | Environment Policy; Monitoring and Coordination; Convention on Biological Diversity (CBD) | Executive Director + Technical Staff |
| Climate Change Department (CCD) | Climate Change -planning, coordination | Commissioner + Technical Staff |
| Directorate of Water Resources Management (DWRM) | Water, Catchment protection | Commissioner + Technical Staff |
| Ministry of Energy and Minerals Development (MEMD) | Energy Policy, Renewable Energy (Biomass; Hydropower) | Commissioner (Renewable energy), Commissioner (Electricity)+ Technical Staff |
| Power Generation (UEGCL) | Water, catchment protection | Executive Director + Technical Staff |
| Ministry of Tourism, Wildlife and Antiquities (MTWA) | Wildlife Policy, Regulation (CITES Desk) | Commissioner (Wildlife) + Technical Staff |
| Uganda Wildlife Authority (UWA) | Wildlife management/National Parks | Executive Director + Technical Staff |
| Uganda Tourism Board (UTB) | Tourism development and promotion | Executive Director + Technical Staff |
| Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) | Agriculture (land use/on farm tree farming/livestock) | Commissioner (Crops) and Commissioner (Livestock) |
| National Agricultural Research Organization (NARO) (National Forestry Resources Research Institute NaFORRI) | Forestry Research and Technology Development | Executive Director + Technical Staff |
| Focal Point (Convention to Combat Desertification (CCD) | Desertification | CCD Focal Point |
| Ministry of Land, Housing and Urban Development (MLHUD) | Land policy, Land use Planning, Land Commission, Settlement | Directorate responsible for: Land administration, Land Policy and physical planning |
| Ministry of Trade and Industry (MTI) | Trade policy, Regulating trade in tree products (timber, charcoal) | Department responsible for Trade and licensing (In country and export trade) |

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| | | |
|---|--|--|
| Ministry of Finance, Planning and Economic Development (MoFPED) | Macro - economic Policy, Fiscal policy, Budgeting & Finance | Directorate responsible for: Economic policy, budgeting |
| National Planning Authority (NPA) | National Planning | Executive Director + Technical Staff |
| Uganda Bureau of Standards (UBOS) | Statistics | Executive Director + Technical Staff |
| Population Secretariat | Demography | Executive Director + Technical Staff |
| Ministry of Internal Affairs (MoIA) | Law enforcement | Environmental Police; Law Enforcement (Police) and Local Administration Police |
| Ministry of Justice and Constitutional Affairs (MoJCA) | Prosecutions | Civil litigation |
| Ministry of Works and Transport (MoWT) | Infrastructure development | Commissioner and Technical Staff |
| Ministry of Gender and Social Development (MoGLSD) | Gender/Minority groups | Commissioner and Technical Staff |
| Districts/Local Government | Local Forest Reserves, development planning, community development, trade regulation, extension services | DFO, CDO, DAO, DEO, DCO |
| Inter-governmental bodies (NBI, LVBC, EAC, IGAD) | Regional Cooperation, Policy harmonization, Demonstration activities | Focal Points |
| Category #2: Academia/Research | | |
| Universities | Knowledge, manpower development, technology | Makerere University (College of Agriculture and Environmental Sciences) |
| Research Institutes/Centres of Excellence | Knowledge, manpower development, technology | MUBFs, ITFC, NaFORRI |
| Category #3: Private Sector | | |
| Commercial Tree farmers (UTGA, UFA, individuals) | Commercial Tree Farming | UTGA, Individuals Commercial Tree Farmers |
| Dealers in Forest Products - Timber, Charcoal | Trade and value addition | Associations for Traders/Dealers in Forest produce |
| Carbon Trade | Incentives for Carbon trade | Uganda Carbon Bureau Nature Harness Initiative ECOTRUST WCS |
| Category #4: CSOs/NGOs | | |
| International | Training and capacity building, research, demonstrations/pilots | IUCN, WWF, WCS, |
| National & CSO Networks | Tree planting, lobby, advocacy and awareness, demonstration, capacity building; Rights, Governance | ENR-CSO NETWORK; CAN-U |

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| | | |
|---|---|---|
| Local/Community and CSO networks | Tree planting, lobby and awareness | Uganda Forestry Working Group Uganda Forestry Learning Group CSO (TBD) |
| Category #5: Indigenous/Minority Groups | | |
| Forest Dependent people | Access and use of forests; Rights | Iki, Benet, Batwa/Pygimies |
| Special interest Groups (Cultural institutions, Forest resource use Groups) | Access and use of forests; Rights | Cultural Institutions (Major land owners): Collaborative Forest Management/Collaborative Resources Management Groups |
| Category #6: Development Partners | | |
| REDD Process & Climate Change | National capacity, safeguards, demonstrations | WB, ADC, AfDB, UNDP, FAO, USAID |
| ENR Subsector/Forestry | National capacity, safeguards, demonstrations | WB, ADC, AfDB, UNDP, FAO, USAID, AFD |
| Energy | National capacity, safeguards, demonstrations | WB, AfDB, GIZ |

The above stakeholders will be engaged through the following approaches:

- f. Meeting(s) of the National Climate Change Advisory Committee (NCCAC) to consider and approve planning process roadmap/methodology and the FIP (Annex 5: NCCAC members). The NCCAC will provide supervisory responsibility to ensure effective implementation of the FIP formulation process, regularly updating the MDBs on the progress made and endorsement/approval of the Uganda's Forestry Investment Plan and Strategy.
- g. Meetings of FIP Planning Team to provide technical inputs and policy/sectoral level guidance and harmonization. Additionally, FIP Planning Team members will be engaged through reviewing and provided comments/inputs into draft document (Annex 6: National Technical Planning Committee members). The Planning Team will be established by MWE with responsibility of providing technical inputs and providing necessary sector orientations during the elaboration process.
- h. National and District level consultative meetings and workshops with key stakeholders (government, civil society, NGOs, private sector, indigenous people/minority and special interest groups) for the identification of priority areas for the FIP.
- i. National and District level validation meetings and workshops with key stakeholders for the identification of priority areas for the FIP.
- j. Meetings for development partners.
- k. Meetings for IPs and other Interest Groups.

3.2.2 Engagement approaches

Stakeholders will be mobilized using different approaches at different stages of FIP process. This intended to ensure that the stakeholders are mobilized to engage to participate in all FIP preparation activities using tools and approaches presented in Table 2.

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Table 2: Tools and approaches for mobilizing FIP stakeholders

| FIP Step | Target/Category | Tools/Approaches | Lead |
|---|--|--|---|
| Defining the problem through gaining an understanding of climate change drivers and effects on Forestry | <ul style="list-style-type: none"> ♣ Mandates institutions ♣ CSOs/NGOs ♣ Private Sector ♣ Academia/Research ♣ Indigenous/Minority Groups ♣ MWE Specialized institutions ♣ FIP Mission | <ul style="list-style-type: none"> ♣ Introduction letter/Invitation letters ♣ Briefing statements about the FIP process and outputs ♣ Briefing Notes about Climate Change effects on Forestry resources ♣ Conducting (Face to Face meetings, Focused Group Discussions meetings, dialogue platforms/workshops and via electronic communications) | <ul style="list-style-type: none"> ♣ FIP Team ♣ FIP Mission |
| Selecting the method scenarios for preparing FIP | <ul style="list-style-type: none"> ♣ Multi-Sector Technical Planning Team ♣ FIP Mission | <ul style="list-style-type: none"> ♣ Focused Group Meetings ♣ Workshops | <ul style="list-style-type: none"> ♣ FIP Team ♣ FIP Mission |
| Assessing issues for investment in forestry sector | <ul style="list-style-type: none"> ♣ Multi-Sector Technical Planning Team | <ul style="list-style-type: none"> ♣ Face to face ♣ Focused Group Meetings ♣ Workshops | <ul style="list-style-type: none"> ♣ FIP Team ♣ FIP Mission |
| Identifying priorities for investments | <ul style="list-style-type: none"> ♣ Mandates institutions ♣ CSOs/NGOs ♣ Private Sector ♣ Academia/Research ♣ Indigenous/Minority Groups ♣ MWE Specialized institutions ♣ FIP Mission | <ul style="list-style-type: none"> ♣ Face to face ♣ Focused Group Meetings ♣ Workshops | <ul style="list-style-type: none"> ♣ FIP Team ♣ FIP Mission |
| Evaluating investment objectives and priorities | <ul style="list-style-type: none"> ♣ Mandates institutions ♣ CSOs/NGOs ♣ Private Sector ♣ Academia/Research ♣ Indigenous/Minority Groups ♣ MWE Specialized institutions | <ul style="list-style-type: none"> ♣ Focused Group Meetings ♣ Workshops | <ul style="list-style-type: none"> ♣ FIP Team |
| Designing implementation arrangements and mechanism for monitoring FIP success and outcomes. | <ul style="list-style-type: none"> ♣ Mandates institutions ♣ CSOs/NGOs ♣ Private Sector ♣ Academia/Research ♣ Indigenous/Minority Groups ♣ MWE Specialized institutions | <ul style="list-style-type: none"> ♣ Focused Group Meetings ♣ Workshops | <ul style="list-style-type: none"> ♣ FIP Team |

3.3.3 Engaging IPs and other special Groups

Consultations with Indigenous People and Special Groups are essential in order to ensure an inclusive FIP Strategy Plan formulation process. Consultations during the FIP Formulation process will

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aim to publicize the FIP and to secure their (IPs) view and contributions into FIP design. Additionally, IPs will be consulted on the FIP Investment Options with view to ensure that these options are understood and any likely implications on the livelihoods and rights of IPs are assessed and appropriate mitigation measures developed.

The following categories of IPs are identified to be engaged during the FIP process (Table 3):

Table 3: IPs for FIP Formulation process

| Category | Interest | Target |
|---|---|--|
| Forest Dependent people | Access and use of forests and forest resources | Mt Elgon landscape <ul style="list-style-type: none"> ♣ Tepeth : Mt. Moroto, Mt Napaka and Kadam ♣ Benet (Ndorobos): Mt Elgon Albertine Rift landscape <ul style="list-style-type: none"> ♣ Batwa/Pygimies: Semliki NP, Bwindi NP, Echuya CFR and Mgahinga NP |
| Special interest Groups (Cultural institutions, Forest resource use Groups) | Access and use of forests Forest resources development | Mt Elgon landscape <ul style="list-style-type: none"> ♣ CFM groups (MT Elgon national park + Namatala CFR) Albertine Rift <ul style="list-style-type: none"> ♣ CFM groups (Budongo CFR + Kasyoha Kitomi CFR) Cattle Corridor <ul style="list-style-type: none"> ♣ Cultural Institutions (Major land owners): Bunyoro, Buruli/Nakasongora and Buganda |

IPs will participate in the FIP process as follows:

- a. Representation in the FIP Technical Planning Team
- b. Dedicated consultation process/forums convened for the targeted IPs. The FIP Process will seek to engage services of NGOs currently engaged with the IPs or CSO representatives in the FIP process (and or REDD) or other skilled people to facilitate the engagement with IPs, as appropriate.

4. APPROVAL AND DISCLOSURE

The approval of FIP and Strategy will be processed through the following approval processes or platforms

- a. The Water and Environment Sector Working Group (WESWG).
- b. The National Climate Change Advisor Committee (NCCAC).
- c. MWE Top Policy.

Uganda's FIP and Strategy will be disclosed through publishing and disseminating the document electronically (via MWE website) and distribution of hard copies to key stakeholders. A popular version will be prepared and circulated widely. However, it is intended to disclose the progress and merging issues through the consultations/planning meetings as well.

6. ANNEXES

5.1 Annex 1: Uganda's Expression of Interest to join FIP

To be inserted

5.2 Annex 2: FIP Road map (November 2015)

To be inserted

5.3 Annex 3: Participants in NCCAC Meeting (March 2015)

To be inserted

5.4 Annex 4: FIP/PPCR Joint Mission (Aide memoire, November 2015)

To be inserted

5.5 Annex 5: Composition of NCCAC

| No. | NAME | INSTITUTION | DESIGNATION |
|-----|----------------------|--|---|
| 29. | David O. Obong | Ministry of Water and Environment | Permanent Secretary (MWE) And Chair CCPC |
| 30. | David Okwi | MoFPED | Senior Economist |
| 31. | Koma Stephen | M.O.L.G. | Principal Inspector |
| 32. | Komujuni Pamela | O.P.M. | Senior Disaster Management Officer |
| 33. | Namanya B. Didacus | M.O.H. | Geographer |
| 34. | Muwaya Stephen | MAAIF | UNCCD Focal Person & Senior Range Ecologist Directorate of Animal Resources |
| 35. | Katunguka Ketrach | MIN. OF JUSTICE | Commissioner, Contracts and Negotiations |
| 36. | James Baanabe | MEMD | Commissioner Energy Department |
| 37. | Edith Kateme-Kasajja | National Planning Authority (NPA) | Deputy Executive Director |
| 38. | Charles Mutemo | Ministry of Works and Transport | Senior Environmentalist |
| 39. | Festus Luboyera | Uganda National Meteorological Authority | Executive Director |
| 40. | Chebet Maikut | CCD/MWE | UNFCCC National Focal Point |
| 41. | Mohammed Semambo | CCD | Senior Climate Change Officer- Adaptation |

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| | | | |
|-----|---------------------|--|---|
| 42. | Sanyu Jane Mpagi | Ministry of Gender, Labour and Social Development | Director For Gender And Community Development |
| 43. | Executive Director | Private sector | UTGA |
| 44. | Margaret KJ | Indigenous groups | |
| 45. | Ofwono Opondo | Uganda Media Centre | Executive Director |
| 46. | Ambrose Agona (PhD) | National Agricultural Research Organization (NARO) | Ag. Director General |
| 47. | Andrew G. Seguya | Uganda Wildlife Authority (UWA) | Executive Director |
| 48. | Director of Lands | Ministry of Lands, Housing and Urban Development | |
| 49. | Onesmus Muhwezi | ENR /CC Donor Partners subgroup/UNREDD | UNDP |
| 50. | Tom Okurut | NEMA | Executive Director |
| 51. | Michael Mugisa | National Forestry Authority (NFA) | Executive Director |
| 52. | Margaret Adata | Forestry Sector Department (FSSD) | Commissioner |
| 53. | Paul Mafabi | DEA/MWE | Director |
| 54. | James Lutalo | Ministry of Tourism Wildlife and Antiquities | Commissioner Wildlife Conservation |
| 55. | David Duli | CSO (International) | WWF |
| 56. | Achilles Byaruhanga | CSO (Local) | NU |

5.6 Annex 6: Composition of the National Technical Committee

- a. Policy and Planning Department (MWE)
- b. Department of Environment Support Services (MWE)
- c. Department of Forestry Support Services (MWE)
- d. Department of Climate Change (MWE)
- e. Ministry of Finance, Planning and Economic Development
- f. Ministry of Lands, Housing and Urban development
- g. Ministry of Health
- h. Office of Prime Minister
- i. Ministry of Agriculture, Animal Industry and Fisheries
- j. National Forestry Authority.
- k. National Environment Management Authority.
- l. Uganda Wildlife Authority.
- m. National Planning Authority.
- n. Directorate of Water Resources Management
- o. Department of Renewable Energy (MEMD).
- p. Department of Wildlife (MTWA).
- q. Local Government (Districts (one for each region).
- r. Private Sector (UTGA).
- s. Civil Society (International + national).
- t. Special interest groups (Indigenous people + Cultural institutions.
- u. Development Partners.

Note: Special attention will be paid to **Gender and inclusiveness** issues.

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