



SAFEGUARDS INFORMATION SYSTEM (SIS)

FOR

NATIONAL REDD+ STRATEGY AND ACTION PLAN

**Ministry of Water and Environment
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1. TABLE OF CONTENTS

| | |
|---|-----|
| Acronyms | 1 |
| 1. Introduction | 3 |
| 2. International context | 4 |
| 2.1 UNFCCC guidance on REDD+ Safeguards and SIS | 4 |
| 2.2 Country safeguards approaches | 5 |
| 2.3 Development of a SIS as part of a country safeguards approach | 7 |
| 3. Methodology for development of SIS in Uganda..... | 9 |
| 3.1 Overview of technical approach and methodology..... | 9 |
| 3.2 Steps for development of SIS in Uganda..... | 10 |
| 4. Clarification of Cancun Safeguards and development of National Safeguards Standards | 11 |
| 4.1 Inputs into the SIS design..... | 11 |
| 4.2 Principles and criteria of Uganda’s National Safeguards Standards..... | 20 |
| 5. Objectives, scope and functions of the SIS | 23 |
| 6. Review of existing information systems in uganda | 26 |
| 7. Identification of indicators..... | 28 |
| 7.1 The Indicators | 28 |
| 7.2 Linkages with other systems | 33 |
| 8. SIS institutional arrangements..... | 35 |
| 9. SIS Information Technology System design and architecture | 39 |
| 10. Conclusions | 41 |
| 11. annexes | 42 |
| 11.1 Annex 1 - Review of Uganda’s Policies, Laws and Regulations for National Clarification of the REDD+ Cancun Safeguards | 42 |
| 11.2 Annex 2 - Existing Information systems in Uganda potentially relevant to SIS | 91 |
| 11.3 Annex 3. Principles, criteria and indicators for Uganda REDD+ SIS including methodology, responsibilities and performance thresholds (circulated separately as an Excel file)..... | 112 |
| 11.4 Annex 4. Detailed responsibilities for information collection and validation for the SIS... 113 | |

List of Figures

| | |
|--|----|
| Figure 2-1: Potential elements of a country safeguards approach..... | 6 |
| Figure 2-2: Potential processes and considerations for the development of a country safeguards approach. | 7 |
| Figure 2-3: Potential objectives and sources for a safeguards information system..... | 8 |
| Figure 3-1: How project tasks will support development of SIS through a country safeguards approach in Uganda..... | 9 |
| Figure 7-1: SIS hierarchy | 28 |
| Figure 8-1: National level organogram for Ugandan REDD+ program. | 36 |
| Figure 8-2: Proposed Institutional arrangements for Uganda’s SIS..... | 37 |
| Figure 9-1: Information flows relevant for the Safeguards Information System. | 40 |

List of Tables

| | |
|--|----|
| Table 4-1: Cancun REDD+ safeguards and relevant Ugandan policies, laws and regulations | 12 |
| Table 5-1: Strategic options and sub-options proposed for implementation | 23 |
| Table 7-1: Principles, criteria and indicators of Uganda’s SIS..... | 29 |
| Table 7-2: Example of an indicator assessed at REDD+ activity level: | 32 |
| Table 7-3: Example of an indicator assessed at District level..... | 32 |
| Table 7-4: Example of an indicator assessed at national level | 33 |

2. ACRONYMS

| | |
|---------|---|
| AAS | Annual Agricultural Survey |
| BSA | Benefit Sharing Arrangements |
| CBD | Convention on Biological Diversity |
| CCBA | Climate, Community & Biodiversity Alliance |
| CI | Conservation International |
| COP | Conference of Parties |
| CSA | Country Safeguards Approach |
| DENRC | District Environment and Natural Resources Committee |
| DNRO | District Natural Resources Officer |
| DTPC | District Technical Planning Committee |
| ERP | Emissions Reductions Program |
| ESMF | Environmental and Social Management Framework |
| FCPF | Forest Carbon Partnership Facility |
| FGRM | Feedback and Grievances Redress Mechanisms |
| FREL/RL | Forest Reference Emissions Levels/ Reference Levels |
| FSSD | Forestry Sector Support Department |
| IPPF | Indigenous Peoples Planning Framework |
| MAAIF | The Ministry of Agriculture, Animal Industry and Fisheries |
| MEMD | Ministry of Energy and Mineral Development |
| MoFPED | Ministry of Finance, Planning and Economic Development |
| MoGLSD | Ministry of Gender Labour and Social Development |
| MRV | Measurement, Reporting and Verification |
| MWE | Ministry of Water and Environment |
| NAFORRI | National Forest Research Institute |
| NCCAC | National Climate Change Advisory Committee |
| NEMA | National Environment Management Authority |
| NFA | National Forest Authority |
| NFMS | National Forest Monitoring System |
| NGO | Non-governmental Organization |
| NSDS | National Service Delivery Survey |
| NTC | National Technical Committee |
| OP | Operational Policy |
| OPM | Office of the Prime Minister |
| PLRs | Policies, Laws & Regulations |
| REDD+ | Reducing Emissions from Deforestation and Forest Degradation, Enhancement of Forest Carbon Stocks, Sustainable Forest Management and Conservation |
| RPF | Resettlement Policy Framework |
| R-PP | Readiness Preparation Proposal |
| SES | Social and Environmental Standards |
| SESA | Strategic Environmental and Social Assessment |
| SIS | Safeguards Information System |
| TCU | Technical Coordination Unit |
| UBOS | Uganda Bureau of Statistics |

| | |
|---------|--|
| UDHS | Uganda Demographic and Health Survey |
| UNDRIP | United Nations Declaration on the Rights of Indigenous Peoples |
| UNFCCC | United Nations Framework Convention on Climate Change |
| UNHS | Uganda National Household Survey |
| UN-REDD | United National REDD+ Programme |
| UTGA | Uganda Timber Growers' Association |
| UWA | Uganda Wildlife Authority |

1. INTRODUCTION

REDD+ is an international mechanism for providing result-based payments for reducing emissions from deforestation and forest degradation, forest conservation, sustainable management of forests and enhancement of carbon stocks (REDD+). It offers an opportunity to support sustainable development in Uganda through managing its forests in a balanced way to contribute to long-term sustainable economic growth, to support the livelihoods of local, rural and forest dependent communities, and to ensure that its important natural heritage is conserved.

The REDD+ process in Uganda started in 2008, when Uganda became a participant of the Forest Carbon Partnership Fund (FCPF). The process of preparing Uganda's REDD+ Strategy received financial and technical support from the FCPF through the World Bank, Austria Development Cooperation, UN-REDD Programme and Government of Uganda. The first REDD+ Readiness preparation support Grant amounting to USD 3.634 million was received by Uganda in 2013 from the FCPF.

Uganda has completed drafting its National REDD+ Strategy and Implementation Plan, Feedback Grievance and Redress Mechanism (FGRM), Benefit Sharing Arrangements (BSA) and Strategic Environmental and Social Assessment (SESA). Uganda has also submitted its Readiness-package to Forest Carbon Partnership Facility (FCPF) and revised its first submission of to the UNFCCC of the Forest Reference Emissions Level (FREL) and made significant progress towards the preparation of National Forest Monitoring System. Design of Emissions Reduction Programs (ERP) during 2019-2020 aims to produce at least two ERPs for implementation of the REDD+ Strategy in the Albertine Rift and Mount Elgon ecosystems.

Parties to the United Nations Framework Convention on Climate Change (UNFCCC) agreed at the Conference of Parties (COP) in Cancun in December 2010 to promote and support seven safeguards when undertaking REDD+ activities and requested countries to develop a system for providing information on how these safeguards are being addressed and respected throughout the implementation of REDD+ activities. Uganda is developing a Safeguards Information System (SIS) to meet this commitment, as described in this document.

Further, Uganda's REDD+ Strategy and Action Plan triggered the following World Bank safeguard policies; i) OP4.01 Environmental Assessment; ii) OP4.36 Forests, (iii) OP 4.04 Natural habitats; (iv) OP4.10 Indigenous Peoples; and (v) OP4.12 Involuntary Resettlement. To address these, Uganda has developed and disclosed safeguards instruments in June 2020 namely; an Environmental and Social Management Framework (ESMF), Resettlement Policy Framework (RPF), a Process Framework (PF) and an Indigenous Peoples' Planning Framework (IPPF). These safeguard instruments, and the new World Bank Environmental and Social Standards in addition to the SESA, provide key inputs for the development of the SIS.

The SIS has been developed through a participatory process with inputs from Uganda's REDD+ Secretariat and REDD+ SESA/Safeguards Task Force. A first draft of this report was prepared in June 2019 and discussed with members of the REDD+ Secretariat, the REDD+ SESA/Safeguards Task Force and the World Bank at a meeting in Kampala on 27 June 2019. The feedback received at this meeting was incorporated into a second draft of the report prepared in August 2019 which was reviewed at a workshop in Kampala on 21-22 August to gather further inputs from the REDD+ Secretariat, REDD+ SESA/Safeguards Task Force and other stakeholders. This Final Report of SIS Design incorporates feedback from the workshop and presents the final design of the SIS prior to the development of the web-based platform and database for the use of the system.

2. INTERNATIONAL CONTEXT

2.1 UNFCCC guidance on REDD+ Safeguards and SIS

The UNFCCC COP 16 in Cancun, Mexico, in 2010, defined seven safeguards to be applied when undertaking all REDD+ activities (referred to as the 'Cancun safeguards'; see Box 1), and requested countries to develop a system for providing information on how these safeguards are being addressed and respected throughout the implementation of REDD+ activities. The Safeguards Information System (SIS) is one of the four key elements that a country must have in place for REDD+, as follows:

- a. National REDD+ Strategy or Action Plan;
- b. National Forest Reference Emission Levels/National Forest Reference Level;
- c. National Forestry Monitoring System including Measurement, Reporting, and Verification Systems; and
- d. Safeguards Information System.

Box1:

- a. That actions complement or are consistent with the **objectives of national forest programmes and relevant international conventions and agreements**;
- b. **Transparent and effective national forest governance structures**, taking into account national legislation and sovereignty;
- c. **Respect for the knowledge and rights of indigenous peoples and members of local communities**, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;
- d. **The full and effective participation of relevant stakeholders**, in particular, indigenous peoples and local communities in the actions referred to in paragraphs 70 and 72 of this decision;
- e. That actions are consistent with the **conservation of natural forests and biological diversity**, ensuring that actions referred to in paragraph 70 of this decision are **not used for the conversion of natural forests**, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to **enhance other social and environmental benefits**;
- f. Actions to address the **risks of reversals**; and
- g. Actions to reduce

In 2011, COP 17 in Durban, South Africa, provided guidance on the SIS, defining that it should be country-driven, transparent, build upon existing systems and provide information that is accessible by all relevant stakeholders (see Box 2). Countries were also requested to submit a summary of information on how all the safeguards have been addressed and respected. In 2013, COP 19 in Warsaw, Poland, reaffirmed that countries should have all four elements of REDD+ including the SIS in place, and should have submitted a summary of information on safeguards before obtaining and receiving results-based finance. The summary of information on safeguards should be included in national communications to the COP every four years after the start of implementation of REDD+ activities and could be provided on a voluntary basis on the UNFCCC web platform. The Warsaw decisions concluded negotiations on REDD+ and all the relevant decisions on REDD+ are referred to as the 'Warsaw framework for REDD+.

Box 2. UNFCCC guidance on safeguards information systems - Decision 12/CP.17

2. Agrees that systems for providing information on how the safeguards ... are addressed and respected should, taking into account national circumstances and respective capabilities, and recognizing national sovereignty and legislation, and relevant international obligations and agreements, and respecting gender considerations:
- a. Be consistent with the guidance identified in decision 1/CP.16;
 - b. Provide transparent and consistent information that is **accessible by all relevant stakeholders** and updated on a regular basis;
 - c. Be **transparent** and flexible to allow for improvements over time;
 - d. Provide information on how **all of the safeguards** referred to in appendix I to decision 1/CP.16 **are being addressed and respected**;
 - e. **Be country-driven** and implemented at the national level; and
 - f. **Build upon existing systems**, as appropriate.

2.2 Country safeguards approaches

Over the last nine years since the Cancun safeguards were agreed in December 2010, countries have been developing their approach to safeguards. Several initiatives have developed guidance and provided technical advice to support these efforts, including Conservation International (CI)/Climate, Community & Biodiversity Alliance (CCBA) REDD+ Social and Environmental Standards (REDD+ SES) Initiative, the UN-REDD Programme¹, World Resources Institute, the Forest Carbon Partnership Facility (FCPF), Climate Law & Policy and the Netherlands Development Organization. These groups collaborated in 2012 to develop a conceptual framework for a Country Safeguards Approach (CSA) that has been further developed and used in slightly different formats by each initiative. In general, the country safeguards approach involves, among other elements (see Figure 2-2):

1. the country's legal framework of policies, laws and regulations (PLR);
2. an institutional framework defining the roles, responsibilities and procedures of the different entities;
3. feedback and grievance redress mechanisms to enable stakeholders to make complaints and seek redress related to safeguards; and
4. a safeguards information system (SIS) to provide information on how safeguards are addressed and respected.

¹ UN-REDD Programme [concept Brief: Country Approaches to Safeguards-1.0-EN](#)

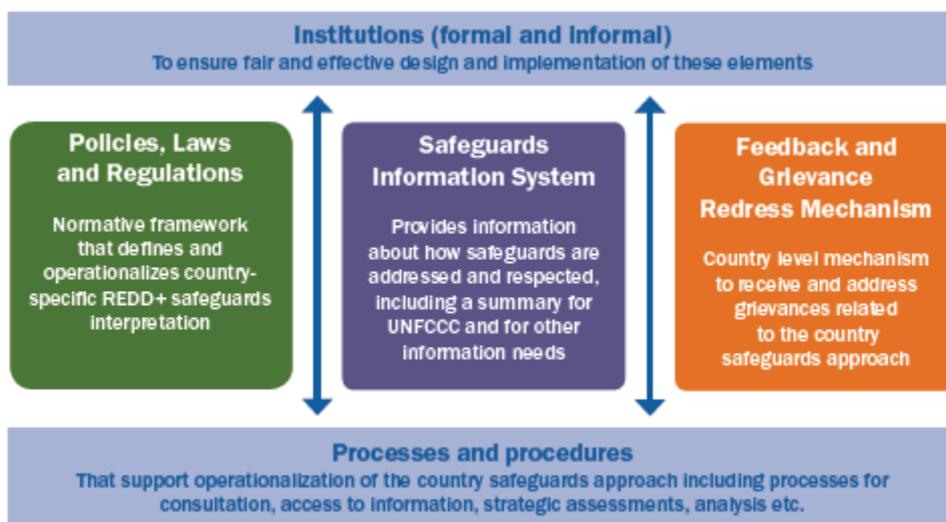


Figure 2-1: Potential elements of a country safeguards approach.

In this context, safeguards in general are understood to be measures to protect from harm and also to 'do good'. The UNFCCC Cancun Agreement defines REDD+ safeguards at international level and for operationalization they need to be clarified at country level to reflect the country's context and the specific risks and opportunities of the country's REDD+ strategy. The actual safeguards at country level are the country's policies, laws and regulations which ensure that the Cancun safeguards are 'addressed'. These policies, laws and regulations (PLRs) are implemented through institutions, processes and procedures which ensure that the Cancun safeguards are 'respected'. The 'Country Safeguards Approach' (CSA) ensures that relevant policies, laws and regulations are implemented and reinforced through effective institutional processes and procedures, informed by a safeguards information system and strengthened by a feedback and grievance redress mechanism, together, effectively address the risks and opportunities of the REDD+ strategy and activities in compliance with UNFCCC decisions related to the Cancun safeguards.

In summary, the CSA identifies and implements the country's own safeguards that address the specific risks and opportunities of the country's REDD+ strategy and the country context, through a country-led and -owned approach. The CSA builds on and strengthens the country's existing legal and institutional frameworks and information systems.

Based on CI/CCBA²'s experience, the following processes are likely to be useful for the development of a CSA:

- a. **Define the goals of the CSA** – Considering the specific risks and opportunities of the REDD+ strategy and the country context, what are safeguards expected to achieve? A participatory process to develop a country-specific interpretation or clarification of the Cancun safeguards is important at this stage.
- b. **Identify/strengthen policies, laws and regulations** – How do existing PLRs address the goals of the CSA and the country-specific interpretation or clarification of the Cancun safeguards? How do existing institutions, processes and procedures ensure effective implementation of the PLRs? What new PLRs are needed and what is the process to develop them? Is there a need to develop 'other safeguards' to support existing PLRs, such as procedures, norms and standards for REDD+ activities,

² Joanna Durbin, CCBA Director at CI has been contracted by Arbonaut to support the development of the SIS in Uganda

particularly in the short to medium term before PLRs can be revised? How do institutional capacities need to be strengthened?

- c. **Identify/develop the safeguards information system** – What are the objectives of the SIS - to provide information for what purposes? What existing systems provide relevant information related to the country-specific interpretation/clarification of safeguards? What are the gaps and how can they be filled? What are appropriate institutional arrangements? A participatory process to collecting and reviewing safeguards information can strengthen credibility and accuracy of the information and promote effective use of the safeguards information to strengthen the REDD+ strategy and safeguards.
- d. **Identify/develop a feedback and grievance redress mechanism** – What PLRs can grievances be raised against? What existing grievance mechanisms could be used for REDD+? Do they need to be strengthened or new ones developed, ensuring a transparent, accessible, fair and efficient process and response to stakeholders?

Different pathways may be taken to define and strengthen the CSA. A potential process is depicted in Figure 2-2 below. The proposed processes may be undertaken in parallel or at different speeds and may be combined or organized differently. The processes will be more interconnected than depicted in this simplified diagram.

Steps for Development of a Country Safeguards Approach

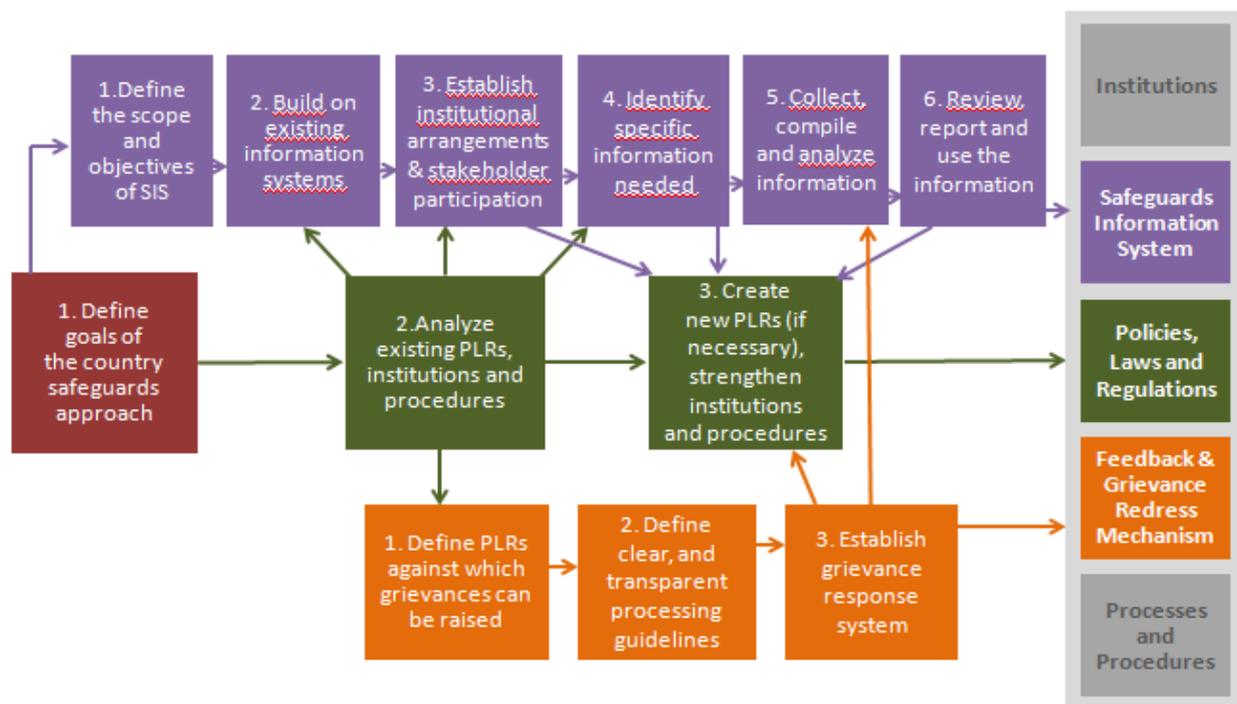


Figure 2-2: Potential processes and considerations for the development of a country safeguards approach.

2.3 Development of a SIS as part of a country safeguards approach

To ensure that safeguards are being addressed and respected, a system must be in place to collect data and provide information to various stakeholders. While a SIS is required to meet UNFCCC guidance on REDD+, and a summary of information on how the Cancun safeguards have been addressed and respected is required for results-based finance, the SIS can be

designed to meet various other objectives and can provide information to domestic and international stakeholders. It can build on existing information systems and draw information from a variety of sources (see Figure 2-3).

A Safeguards Information System: Objectives and Sources

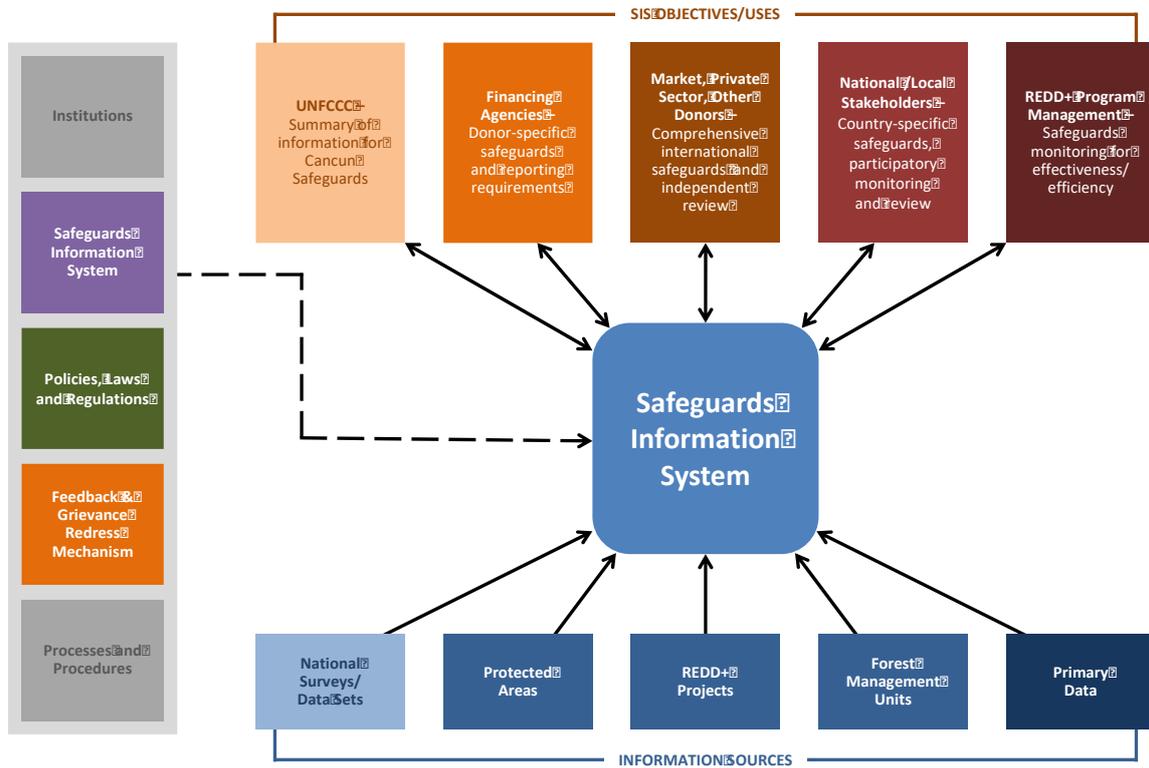


Figure 2-3: Potential objectives and sources for a safeguards information system

3. METHODOLOGY FOR DEVELOPMENT OF SIS IN UGANDA

3.1 Overview of technical approach and methodology

The development of the SIS in Uganda is following the overall approach outlined above for development of the SIS within a country safeguards approach (purple boxes in Figure 3-1), with some adaptation for the country context.

The development of SIS builds on outputs from the SESA already conducted for the REDD+ strategy in Uganda, and the draft ESMF and other safeguards frameworks. It draws from and links with reports already completed in Uganda on development of FGRM and BSA.

Since a national clarification of the Cancun safeguards has not yet been conducted, a definition of the goals of the country safeguards approach (red box in Figure 3-1) has been conducted as part of the development of the SIS through a review of policies, laws and regulations linked with development of the SIS objectives. Figure 3-1 provides an overview of the steps being followed for development of a SIS in Uganda through a country safeguards approach.

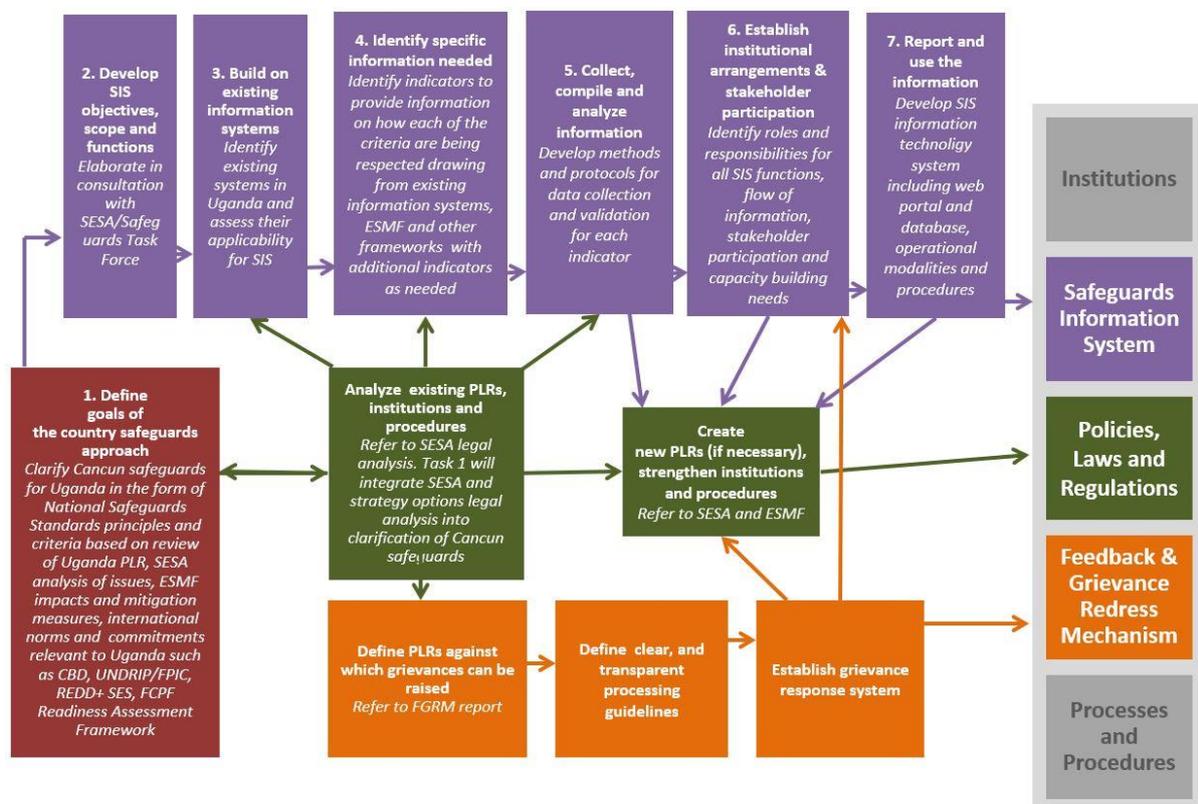


Figure 3-1: How project tasks will support development of SIS through a country safeguards approach in Uganda

All elements of the SIS should be developed through a transparent and participatory manner in collaboration with multi-stakeholder bodies already established for the REDD+ Strategy preparation phase in Uganda. Consultations with the REDD+ SESA/Safeguards Taskforce

provided input on the definition of national safeguards goals for REDD+ (principles and criteria) as well as the objectives and functions of the SIS, and the institutional and governance arrangements for the SIS. This inclusive and transparent process will help to ensure that the SIS fulfils a range of objectives for different stakeholders within Uganda.

In addition, the meetings with the REDD+ SESA/Safeguards Taskforce provide an opportunity to raise awareness and build the capacity of these stakeholders about how REDD+ activities will be implemented and monitored to enhance delivery of multiple positive benefits while avoiding negative impacts through the implementation of nationally-defined standards and safeguards.

3.2 Steps for development of SIS in Uganda

The following steps are being followed for the development of the SIS in Uganda (see Figure 3-1).

1. **Define goals of the country safeguards approach:** Clarify Cancun safeguards for Uganda in the form of National Safeguards Standards principles and criteria based on review of Uganda PLR, SESA analysis of issues, ESMF impacts and mitigation measures, international norms and commitments relevant to Uganda such as Convention on Biological Diversity (CBD), UN Declaration on the Rights of Indigenous Peoples (UNDRIP), REDD+ SES, FCPF Readiness Assessment Framework.
2. **Develop SIS objectives, scope and functions:** Elaborate in consultation with SESA/Safeguards Task Force.
3. **Build on existing information systems:** Identify existing systems in Uganda and assess their applicability for SIS.
4. **Identify specific information needed:** Identify indicators to provide information on how each of the criteria are being respected drawing from existing information systems, ESMF and other frameworks with additional indicators as needed.
5. **Collect, compile and analyse information:** Develop methods and protocols for data collection and validation for each indicator.
6. **Establish institutional arrangements & stakeholder participation:** Identify roles and responsibilities for all SIS functions, flow of information, stakeholder participation and capacity building needs.
7. **Report and use the information:** Develop SIS information technology system including web portal and database, operational modalities and procedures.

4. CLARIFICATION OF CANCUN SAFEGUARDS AND DEVELOPMENT OF NATIONAL SAFEGUARDS STANDARDS

The goals of the country safeguards approach have been identified through clarification of the Cancun safeguards in the context of Uganda. This involved adopting and lightly adapting the Cancun safeguards as principles of the National Safeguards Standards and developing country-specific criteria that reflect the conditions needed in Uganda to meet these principles. These criteria show how the Cancun safeguards are 'addressed' for REDD+ in Uganda. They reflect the safeguards in place in Uganda (the country's policies, laws and regulations or PLRs) and additional commitments or requirements that the country is making for the implementation of REDD+ such as procedures specified in the ESMF and other safeguards frameworks.

4.1 Inputs into the SIS design

The following inputs were used for the identification of principles and criteria of Uganda's National Safeguards Standards:

- a. A detailed analysis of Uganda's policies, laws and regulations with respect to the Cancun Safeguards (see Annex 1 and a summary in Table 4-1).
- b. The analysis of social and environmental issues relevant to REDD+ in Uganda identified in the SESA.
- c. The social and environmental impacts and mitigation measures identified in the ESMF, the RPF and other safeguards frameworks.
- d. International norms and commitments relevant to Uganda including Convention on Biological Diversity, United National Declaration on the Rights of Indigenous Peoples and associated requirements for Free, Prior and Informed Consent, the REDD+ SES, FCPF Readiness Assessment Framework, World Bank Operational Policies and Environmental and Social Standards, Green Climate Fund policies and safeguards, currently the International Finance Corporation Performance Standards.

Table 4-1: Cancun REDD+ safeguards and relevant Ugandan policies, laws and regulations

| Cancun Safeguards | Relevant Ugandan policies, laws and regulations | Gaps in Uganda's policies, laws and regulations in relation to Cancun Safeguards | Recommendations |
|--|---|---|---|
| <p>a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements</p> | <p>REDD+ actions are consistent with Uganda's national forest programmes and relevant international conventions and agreements. The objectives of Uganda's national forest programmes are set out in a number of policies, laws and regulations as well as regional and international conventions and agreements including:</p> <ul style="list-style-type: none"> • The Uganda Forestry Policy (2001) • The Uganda National Land Policy (2013) • The National Climate Change Policy (2015) • The National Environment Management Policy for Uganda (1994) • The Draft National Environment Management Policy for Uganda (2014) • Policy for the Conservation and Management of Wetland Resources (1995) • The National Water Policy (1999) • Uganda National Policy on Conservation and Sustainable Development of Wildlife Resources (2014) • The Renewable Energy Policy for Uganda (2007) • The Energy Policy for Uganda (2002) • National Agriculture Policy (2013) • National Oil and Gas Policy for Uganda (2008) • Vision 2040 • National Development Plan (2015/16 – 2020/21) • Uganda's Intended Nationally Determined Contribution (2015) • The National Forest Plan (2011/12-2021/22) • Uganda Green Growth Development Strategy (2017) • National Adaptation Plan for the Agricultural Sector (2018) | <p>Gaps in the legal and policy framework:</p> <ul style="list-style-type: none"> • The ILO Convention 169 on Indigenous and Tribal Peoples (1989), which contains important provisions on the rights of indigenous peoples and marginalized local communities is yet to be ratified by Uganda. • The UNFCCC (1992) and the Paris Agreement (2015) are yet to be domesticated (i.e. made part of Uganda's laws). However, the draft National Climate Change Bill provides for the domestication of the UNFCCC and the Paris Agreement. • Lack of legislation to operationalize the National Climate Change Policy (2015). It noted however, that the National Climate Change Bill provides for the operationalization of the policy. • The NFTP provides for a limited role of local governments in the management central forest reserves. The law gives the mandate to manage central forest reserves to NFA (which has insufficient management capacity) leaving out the role and | <ul style="list-style-type: none"> • Ratify the ILO Convention 169 on Indigenous and Tribal Peoples (1989). • Domesticate the UNFCCC (1992) and the Paris Agreement (2015). • Enact legislation to operationalise the National Climate Change Policy (2015). • Strengthen enforcement of existing policies, laws and regulations. |

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| | <ul style="list-style-type: none"> • Constitution of Uganda (1995) • The National Forestry and Tree Planting Act (2003) • National Environment Act (2019) • The Land Act (Cap 227 Laws of Uganda) • The Local Governments Act (Cap 243 Laws of Uganda) • The Uganda Wildlife Act (2019) • The Mining Act (No. 9 of 2003) • Water Act (Cap 152 Laws of Uganda) • The Prohibition of Burning of Grass Act (Cap 33 Laws of Uganda) • The Petroleum (Exploration, Development and Production) Act (No 3 of 2013) • Petroleum (Refining, Conversion, Transmission Act and Midstream Storage) (No 4 of 2013) • The Timber (Export) Act (Cap 151 Laws of Uganda) • The Local Governments Act (Cap 243) • National Forestry and Tree Planting Regulations (2016) • The Environmental Impact Assessment Regulations (S.I. No. 13/1998) • Land Regulations (S.I No 100 2004) • National Environment (Access to Genetic Resources and Benefit Sharing) Regulations (2005) • National Guidelines for Implementing Collaborative Management in Uganda (2003) • Guidelines for Mainstreaming Climate Change Adaptation and Mitigation in Agricultural Sector Policies and Plans (2018) • Guidelines for the Registration, Declaration and Management of Community Forests (2015). • The East African Climate Change Policy (2010) • East African Community Climate Change Strategy (2011) • East African Community Climate Change Master Plan (2011-2031) | <p>participation of district local governments. This has affected the effective management of some central forest reserves given that local governments who would otherwise contribute to the resolution of some of the forest management challenges often decline to do so citing the lack of an enabling law.</p> <p>Weaknesses related to implementation:</p> <ul style="list-style-type: none"> • Poor enforcement of existing PLRs (e.g. the Forestry Committees provided for under the National Forestry and Tree Planting Act (2003) (“NFTPA”) have never been put in place since the coming into force of the law; the Tree Fund provided for under the NFTPA has never been established. Some of the structures are not properly facilitated by government to do their work. • The Environmental Tribunal that could potentially resolve REDD+ related disputes is not yet established. • While the PLRs provide for the establishment of community forests, in practice not many community forests have been established. • | |
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| | <ul style="list-style-type: none"> • The Lake Victoria Basin Climate Change Adaptation Strategy and Action Plan (2018-2023) • Treaty for the Establishment of the East African Community (1999) • East African Community Protocol on Environment and Natural Resources (2006) • Agriculture and Rural Development Strategy for the East African Community (2005-2030) • East African Community Vision 2050 • IGAD Environment and Natural Resources Strategy (2007) • NEPAD Action Plan of the Environment Initiative (2003) • United Nations Framework Convention on Climate Change (UNFCCC) (1992) • Kyoto Protocol (1997) • Paris Agreement (2015) • Decision 1/CP.16 The Cancun Agreements: Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention • Warsaw Framework for REDD-plus • United Nations Declaration on the Rights of Indigenous Peoples (2007) • United Nations Convention on Biological Diversity (1992) • United Nations Convention to Combat Desertification (1994) • Indigenous and Tribal Peoples Convention – ILO (1989) | | |
| <p>b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty.</p> | <p>Uganda has a number of policies, laws and regulations that provide for transparent and effective national forest governance structures including:</p> <ul style="list-style-type: none"> • The Constitution of Uganda (1995) • The Right of Access to Information Act (2005) • National Forestry and Tree Planting Act (2003) • The Uganda Wildlife Act (2019) | <p>Gaps in the legal and policy framework:</p> <ul style="list-style-type: none"> • Land policies, laws and regulations recognize competing interests in land ownership (registered owner Vs squatters) which is a source of many conflicts and therefore likely | <ul style="list-style-type: none"> • Amend the land law and remove the legal recognition to multiple interests over the same piece of land. • Amend Right of Access to Information Act (2005) and |

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| | <ul style="list-style-type: none"> • The Access to Information Regulations (2011) • The Anti-Corruption Act (2009) • The Whistle-blowers Protection Act (2010) • The Anti-Money Laundering Act (2013) • The Leadership Code Act (2002) • Land Act (Cap 227) • Local Council Courts Act (2006) • Judicature Act (Cap 13) • Magistrates Courts Act (Cap 16) • Arbitration and Conciliation Act (Cap 4) • Equal Opportunities Commission Act (2007) • Public Finance Management Act (2015) • The National Gender Policy for Uganda (2005) • The Domestic Violence Act (2010) • The Prohibition of Female Genital Mutilation (2010) • Convention on the Elimination of All Forms of Discrimination against Women (1979) • The Protocol to the African Charter on Human and Peoples' Rights on the Rights of Women in Africa (2003) • Criminal Procedure Code Act (Cap 116) • The Trial on Indictments Act (Cap 23) | <p>impact on the observance of Cancun safeguards.</p> <ul style="list-style-type: none"> • Right of Access to Information Act (2005) and the Access to Information Regulations (2011) contravene the Constitution of Uganda by providing for wider restrictions to access to information from public offices than is allowed under Article 41 of the Constitution. • There are outdated laws such as the Official Secrets Act (1964) which may hinder access to information by ordinary citizens under the new legal framework. <p>Weaknesses related to implementation:</p> <ul style="list-style-type: none"> • Some government offices have not designated information officers as provided for in the law to act as the focal person to whom requests for information should be addressed. • The present fees structure under the Access to Information Regulations is not affordable for the majority of Ugandans who live below the poverty line. • Lack of financial and human resources for institutions to carry out their functions. • Conflict of interest in instances where the adjudicators have an interest in the forest/land being contested by parties. • Corruption by the adjudicators of forest/land disputes. | <p>the Access to Information Regulations (2011) to remove unnecessary and unconstitutional restrictions to access to public information.</p> |
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| | | <ul style="list-style-type: none"> • Understaffing and case backlog in adjudication institutions. • Waning influence and respect for traditional and religious leaders in some communities. • Poor implementation of the PLRs. • Lack of awareness of laws granting access to information • Lack of capacity to pursue access to information. | |
| <p>c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples.</p> | <p>There are number of Ugandan policies, laws and regulations that provide for respect of the knowledge and rights of marginalised local communities including the following:</p> <ul style="list-style-type: none"> • The Constitution of Uganda (1995) • Equal Opportunities Act (2007) • The Land Act (Cap 227) • The National Environment Act (2019) • National Forestry and Tree Planting Act (2003) | <p>Gaps in the legal and policy framework:</p> <ul style="list-style-type: none"> • Ugandan PLRs do not have clear provisions for the sharing of revenue (benefits) from REDD+ such as is the case with oil revenue (Public Finance Management Act (2015)) or minerals under the Mining Act (2003) – 17% of revenue from mineral permits goes to district local governments (DLGs) & 3% to the land owner. <p>Weaknesses related to implementation:</p> <ul style="list-style-type: none"> • Rampant abuse of rights of ownership of land by vulnerable and marginalized groups. • The policies, laws and regulations are disregarded, and persons are regularly deprived of property by government without fair and adequate compensation. | <ul style="list-style-type: none"> • Enforce laws on prior payment of fair and adequate compensation to land owners. • Introduce clear legal provisions for the sharing of revenue (benefits) from REDD+ such as is the case with oil revenue. |

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| <p>d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision.</p> | <p>There are a number of policies, laws and regulations that provide for effective participation of relevant stakeholders including:</p> <ul style="list-style-type: none"> • Uganda National Forestry Policy (2001) • National Forestry and Tree Planting Act (2003) • The Environmental Impact Assessment Regulations (1998) • The National Environment Act (2019) <p>Forest sector co-ordination structures proposed under the Uganda Forestry Policy, 2001 provide for wide stakeholder participation and coordination across a wide range of stakeholders from all relevant sectors. These structures have representation from central government ministries involved in the forest sector, local governments, the private sector and civil society.</p> <p>A national consultative forum provided for by the Uganda Forestry Policy, 2001 allows the public, international partners and all interested countries to contribute to a regular debate on the forest sector, to improve sector coordination and inform national priorities.</p> <p>Existing government and non-governmental coordination structures are avenues through which effective stakeholder participation in REDD+ can be achieved. For example, the Policy Committee on Environment (PCE), and the National Climate Change Advisory Committee/Inter-ministerial technical committee on climate change should be used to ensure effective coordination of government agencies while the Environment and Natural Resources Civil Society Organisations Network as well as the Uganda Forestry Working Group – a network of civil society organisations involved in forestry issues – can be used to ensure effective participation of non-governmental actors.</p> | <p>Weaknesses related to implementation:</p> <ul style="list-style-type: none"> • Environmental Impact Assessment (EIA) reports are compiled in technical language that is not easily understood by stakeholders. • Failure to give adequate time to stakeholders to study the EIA reports. Ignoring of stakeholder comments. • Withholding of the approved EIA reports from the public thus stifling any attempt to challenge the decisions of the regulator. • Lack of capacity by stakeholders to challenge EIA reports in courts of law even when they ignore stakeholder views. | <ul style="list-style-type: none"> • Enforce EIA regulations to improve stakeholder participation in REDD+ activities |
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| <p>e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits.</p> | <p>There are a number of Ugandan policies, laws and regulations that are relevant to this safeguard including:</p> <ul style="list-style-type: none"> • The National Forestry and Tree Planting Act (2003) • National Environment Act (2019) • The Constitution of Uganda (1995) | <p>Gaps in the legal and policy framework:</p> <ul style="list-style-type: none"> • Lack of economic or other incentives to conserve natural forests. | |
| <p>f) Actions to address the risks of reversals.</p> | <p>Under Section 8 of the NFTP, before any central forest reserve is de-gazetted, the Minister is required to carry out consultations with the local council and the local community in whose area the forest reserve is located and obtain a resolution of Parliament signifying its approval to the action. In addition, the Minister is required to give simultaneous notice of the proposed declaration in the Gazette, in an appropriate print media, and in any other media that is likely to draw the matter to the attention of all interested persons; consult with the local community through public meetings and other means that will offer the local community an effective opportunity to express their views concerning the declaration of the reserve; and ensure that an environmental impact assessment is carried out. Under Section 8 of the NFTP, where an area of a central forest</p> | <p>Gaps related to Implementation:</p> <ul style="list-style-type: none"> • Poor or weak enforcement of existing policies, laws and regulations. | <p>Enforce existing policies, laws and regulations.</p> |

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| | reserve is reduced, an area in another location equivalent in size to the reduction shall be simultaneously declared a central forest reserve. If a forest reserve is abolished, an area at least equivalent in size to the abolished reserve shall be simultaneously declared a central forest reserve. | | |
| g) Actions to reduce displacement of emissions. | Ugandan policies, laws and regulations do not require assessment of risks of displacement of activities. | Gaps in the legal and policy framework: <ul style="list-style-type: none"> Lack of policies, laws and regulations to promote and support actions to address the risk of displacement. | Put in place a regulatory framework to address displacement of emissions. |

4.2 Principles and criteria of Uganda’s National Safeguards Standards

The following principles and criteria have been developed based on these inputs. Additions to the principles beyond the text of the Cancun safeguards are highlighted in red.

Cancun safeguard (a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements

Uganda safeguard principle (a) - REDD+ activities complement or are consistent with the objectives of the national forest and sustainable development programmes and relevant international conventions and agreements.

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| a.1 REDD+ activities are consistent with and complementary to the objectives of the Uganda Forestry Policy, the National Forest Plan and related policies and plans |
| a.2 REDD+ activities contribute to the National Climate Change Policy, the Nationally Determined Contribution and related policies |
| a.3 REDD+ activities are integrated into Uganda’s Vision 2040, the National Development Plan, the Green Growth Development Strategy and related development strategies and plans |
| a.4 There is effective coordination among agencies and implementing bodies for REDD+, national forest and sustainable development programmes and national policies that enact the relevant international conventions and agreements |

Cancun safeguard (b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty.

Uganda safeguard principle (b) – REDD+ activities promote and support transparent and effective national forest and land use governance structures.

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| b.1 Information about REDD+ strategies, plans and activities is publicly accessible |
| b.2 Finances related to REDD+ strategies, plans and activities are managed with integrity, transparency and accountability |
| b.3 Grievance mechanisms are established and functional for REDD+ strategies, plans and activities |
| b.4 Governance structures for REDD+ strategies, plans and activities are clearly defined, transparent, effective and accountable |
| b.5 REDD+ strategies, plans and activities promote and support law enforcement and avoid corruption |
| b.6 Uganda’s policies, laws and regulations provide enabling conditions for REDD+ strategies, plans and activities |

Cancun safeguard (c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples.

Uganda safeguard principle (c) – REDD+ activities respect the knowledge and rights of forest-dependent indigenous peoples and members of local communities.

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| c.1 Rights to lands and resources relevant to REDD+ activities are identified and mapped |
| c.2 Rights to lands and resources are recognized and respected by REDD+ strategies, plans and activities |

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| c.3 REDD+ strategies, plans and activities support equitable access to forest resources and benefits are shared equitably |
| c.4 Appropriate compensation and/or other remedies are provided in the case of involuntary resettlement and/or economic displacement resulting from REDD+ activities |
| c.5 Free, prior and informed consent of forest-dependent indigenous peoples and local communities is obtained for REDD+ activities affecting their collective rights to lands and resources |
| c.6 Forest-dependent indigenous Peoples and local communities' traditional knowledge and cultural heritage are recognized and respected by REDD+ strategies, plans and activities |

Cancun safeguard (d) The full and effective participation of relevant stakeholders, in particular, indigenous peoples and local communities in the actions referred to in paragraphs 70 and 72 of this decision.

Uganda safeguard principle (d) – REDD+ activities ensure the full and effective participation of relevant stakeholders, in particular forest-dependent indigenous peoples and local communities.

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| d.1 Stakeholders are identified and mapped for all REDD+ strategies, plans and activities |
| d.2 Stakeholders including forest-dependent indigenous peoples, local communities, youth and minorities are consulted effectively in REDD+ strategies, plans and activities |
| d.3 Stakeholders including forest-dependent indigenous peoples, local communities, youth and minorities participate effectively in REDD+ strategies, plans and activities |
| d.3 Stakeholders participate in REDD+ strategies, plans and activities through legitimate and accountable representatives |
| d.4 Stakeholders have the information that they need about the REDD+ strategies, plans and activities to participate effectively |
| d.5 REDD+ strategies, plans and activities promote and enhance gender equality |

Cancun safeguard (e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits.

Uganda safeguard principle (e) - REDD+ activities are consistent with the conservation of natural forests and biological diversity, ensuring that REDD+ activities are not used for the conversion of natural forests, wetlands, and other priority ecosystems, but are instead used to incentivize the protection and conservation of natural forests and ecosystem services, and to enhance other social and environmental benefits.

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| e.1 Natural forests, biodiversity and ecosystem service priorities potentially affected by REDD+ strategies, plans and activities are identified and mapped |
| e.2. REDD+ activities do not lead to the conversion of natural forests or other areas important for maintaining biodiversity and other ecosystem service priorities |
| e.3 REDD+ strategies, plans and activities avoid or minimize adverse environmental impacts and instead maintain and enhance biodiversity and ecosystem service priorities |
| e.4 REDD+ strategies, plans and activities avoid or minimize adverse social impacts and instead promote and enhance human well-being with special attention to women, youth and marginalized groups |
| e.5 REDD+ activities contribute to food security |

Cancun safeguard (f) Actions to address the risks of reversals.

Uganda safeguard principle (f) – REDD+ activities address the risks of reversals.

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| f.1 REDD+ strategies, plans and activities effectively identify drivers and underlying causes of deforestation and forest degradation |
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| f.2 REDD+ strategies, plans and activities effectively address drivers and underlying causes of deforestation and forest degradation |
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Cancun safeguard (g) Actions to reduce displacement of emissions.

Uganda safeguard principle (g) – REDD+ activities reduce displacement of emissions.

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| g.1 REDD+ strategies, plans and activities provide effective incentives for landowners and other rights holders for lands and resources to implement REDD+ activities and contribute to reducing deforestation |
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5. OBJECTIVES, SCOPE AND FUNCTIONS OF THE SIS

The following objectives have been adopted for Uganda's SIS.

1. Produce summaries of information on REDD+ safeguards for UNFCCC

The SIS should enable Uganda to prepare a summary of information on how the Cancun safeguards have been addressed and respected throughout the implementation of REDD+ safeguards to the UNFCCC. A summary must be submitted at least every four years as part of the National Communication to the UNFCCC and may be submitted at other times to the UNFCCC information hub. A summary of information on safeguards is required prior to obtaining results-based payments for REDD+.

2. Provide assurances on safeguards implementation and non-carbon benefits to donors

The SIS should facilitate reporting to current and future international multi-lateral and bi-lateral donors providing finance for REDD+ activities on compliance with their social and environmental operational policies and on non-carbon benefits generated through their support. The current donor for the readiness phase of REDD+ is the World Bank as trustee of the FCPF. Potential future donors for activities that contribute to REDD+ include the African Development Bank, the Green Climate Fund, the Global Environment Facility and the United Nations Development Programme.

3. Provide information to the Ugandan government on contributions to sustainable development

The SIS should help to demonstrate how REDD+ activities contribute to sustainable development in Uganda.

4. Provide assurances to local stakeholders on their social and environmental priorities

The SIS should show how safeguards are addressing risks and opportunities of REDD+ identified through consultations with all stakeholders during the SESA for the National REDD+ Strategy and will help to maintain broad support for REDD+ activities among local communities and other Ugandan stakeholders.

In terms of scope, information should be included in the SIS on how safeguards have been addressed and respected in the implementation of all activities implemented under the National REDD+ Strategy. This means that information needs to be collected for activities undertaken to implement the following strategic options (Table 5-1).

Table 5-1: Strategic options and sub-options proposed for implementation

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| Strategic option 1: Climate smart agriculture |
| <ul style="list-style-type: none">○ Sustainable land management and agroforestry practices;○ Rainwater harvesting with collection tank and drip irrigation;○ Greenhouse cultivation of vegetables; |
| Strategic option 2: Sustainable fuelwood and (commercial) charcoal production |
| <ul style="list-style-type: none">○ Commercial small-holder and community bioenergy woodlots; |

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| <ul style="list-style-type: none"> ○ Commercial small-holder and community poles and timber plantations; ○ Improved charcoal kilns linked to bioenergy woodlots; |
| Strategic option 3: Large-scale commercial timber plantations |
| <ul style="list-style-type: none"> ○ Commercial transmission pole and timber plantation; ○ Commercial pole and saw log plantation; ○ Improved charcoal kilns linked to plantation sites; |
| Strategic option 4: Restoration of natural forests in the landscape |
| <ul style="list-style-type: none"> ○ Designated areas for natural forest regeneration; ○ Restoration of degraded protected natural forest (i.e. national parks and forest reserves and forests on privately owned land); ○ Devolution of forest management through PFM and similar set-ups; ○ Traditional and customary forest management practices; |
| Strategic option 5: Energy efficient cooking stoves |
| <ul style="list-style-type: none"> ○ For fuelwood; ○ For charcoal |
| Strategic option 6: Integrated wildfire management |
| <ul style="list-style-type: none"> ○ Integrated wildfire management |
| Strategic option 7: Livestock rearing in Cattle Corridor |
| <ul style="list-style-type: none"> ○ Change to exotic cattle varieties and cross-breeding; ○ Agroforestry fodder production; ○ Establishment of drinking water dams |
| Strategic option 8: Strengthen Policy implementation for REDD+ |
| <ul style="list-style-type: none"> ○ Strengthen Policy implementation for REDD+ |

The REDD+ National Strategy will be implemented as an integral part of the broader national planning framework (National Development Plan3 2020/21-2024/25) and linked to the respective financing frameworks, for example through government budget allocations. REDD+ activities will be implemented by the relevant sectoral ministries under coordination of the Ministry of Water and Environment (MWE). All entities implementing REDD+ activities will be responsible for ensuring that REDD+ safeguards identified in the National Safeguards Standards are addressed and respected throughout the implementation of REDD+ activities, and that associated information is provided for inclusion in the SIS.

The SIS will provide the following functions:

4. Information collection

Collecting information from diverse sources, drawing from existing information systems as far as possible.

5. Compilation

Compiling information from different sources into a standard format under the structure of principles and criteria.

6. Analysis and interpretation

Analyzing the information to understand the extent to which safeguards are being respected.

7. Quality assurance and validation

Ensuring that the information is accurate. Quality assurance may occur at the source of information and also may occur at other stages, for example to ensure appropriate compilation, analysis, reporting etc.

8. Dissemination

Ensuring that information reaches the different domestic and international stakeholders according to the agreed objectives for the SIS. This may involve developing reports or summaries or ensuring access to information through an online portal or another type of information request.

9. Information management

Managing the information within the system so that it is secure and organized to meet the objectives of the system.

10. 6. REVIEW OF EXISTING INFORMATION SYSTEMS IN UGANDA

The following existing information systems were identified as potentially relevant to the SIS:

1. Environmental and Social Management System (ESMS) - National Agricultural Research Organization (NARO)
2. Eco Survey Management Information System - Ministry of Water and Environment (MWE)
3. Environment Information Network (EIN) Uganda Clearing House - National Environment Management Authority (NEMA)
4. Land Information System (LIS) - Ministry of Lands, Housing and Urban Development (MLHUD)
5. Management Information System (MIST) - Uganda Wildlife Authority (UWA)
6. National Biodiversity Data Bank (NBDB) - Makerere University Kampala (MUK)
7. National Forest Monitoring System (formerly the National Biomass Monitoring Database) - National Forestry Authority (NFA)
8. National Wetlands Information System (NWIS) - Wetlands Management Department (WMD)
9. Uganda National Household Survey – Uganda Bureau of Statistics (UBOS)
10. Demographic and health survey - Uganda Bureau of Statistics (UBOS)
11. Annual Agriculture Survey - Uganda Bureau of Statistics (UBOS)
12. National Service Delivery Survey - Uganda Bureau of Statistics (UBOS)

For each information system, the following information has been compiled (see Annex 2):

- a. Institutional home
- b. Objectives/purpose
- c. Data content (what is the information about, what indicators included– e.g. vegetation cover, literacy rate etc.)
- d. Data type/format (spatial data, map images, database, text files, Excel files etc.)
- e. indicators
- f. Sources of information
- g. Methods for collecting information
- h. What the information is used for
- i. Other institutions involved and role
- j. Geographical coverage
- k. Quality control/reliability/credibility
- l. Location and format of storing the information (How is the information stored: paper documents, files on local computers, files on a server, database etc.)
- m. Access policy (How can the information be accessed, is the data public or restricted) provide web link if available
- n. Periodicity/frequency of updates
- o. When last updated or plans to update
- p. Availability of finance to maintain/update
- q. Challenges/notes

All the information in these systems is publicly accessible and could be used as a source of information for the SIS. In order to identify whether these systems are appropriate, screening

is being conducted to identify a) which systems have relevant information that is accurate and up-to-date, and b) what detailed information they contain that could be used as indicators for the SIS.

11. IDENTIFICATION OF INDICATORS

7.1 The Indicators

Based on the principles and criteria of Uganda’s National Safeguards Standards and the objectives, scope and functions of the SIS, indicators have been identified. These were drawn from:

- a. Indicators identified in the ESMF and other frameworks.
- b. Indicators identified in existing information systems in Uganda.
- c. Additional indicators to ensure that comprehensive information is collected for the National Safeguards Standards principles and criteria, drawing from the REDD+ SES framework for indicators.

The indicators have been developed to enable assessment of performance in meeting each of the principles and criteria. The following hierarchy is used as a structure for the SIS (Figure 7-1).

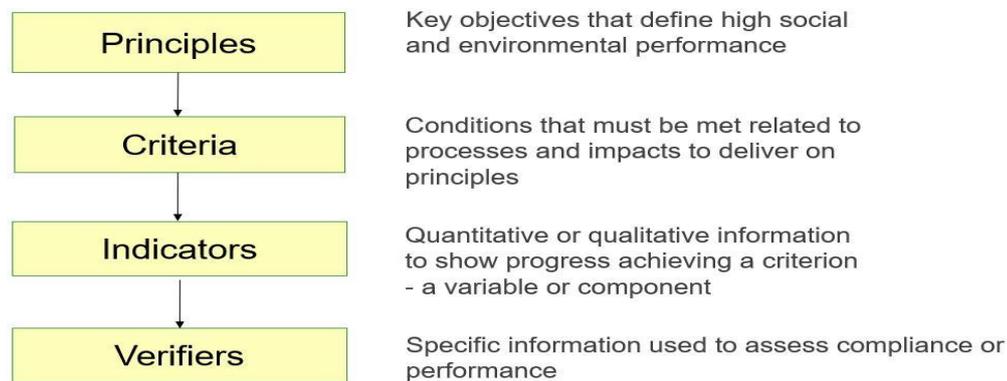


Figure 11-1: SIS hierarchy

A variety of indicators have been identified for the SIS including those that assess:

- a. Structures – policies, laws and regulations that address the safeguards
- b. Processes - measures implemented to respect the safeguards
- c. Outcomes - environmental and social changes resulting from REDD+ implementation

Indicators are qualitative (yes-no, presence-absence or high-medium-low) or quantitative (quantity, trend or rate).

In order to identify indicators to assess performance and compliance of REDD+ activities, it was important to consider the implementing entities and processes for implementation of activities under the National REDD+ Strategy options (see Section 10. SIS Institutional Arrangements). REDD+ activities will be implemented by a range of different governmental and non-governmental entities. They will be implemented across one or more Districts and will be coordinated at District level by the District Technical Planning Committee and at national level by the REDD+ Secretariat in the Forest Sector Support Department (FSSD) of the Ministry of Water and Environment (MWE). As such, respect for safeguards will be assessed through indicators at the activity level, at District level and at national level (Table 7-1 – 7.4).

Table 11-1: Principles, criteria and indicators of Uganda's SIS

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| Safeguard (a) - REDD+ activities complement or are consistent with the objectives of the national forest and sustainable development programmes and relevant international conventions and agreements |
| a.1 REDD+ activities are consistent with and complementary to the objectives of the Uganda Forestry Policy, the National Forest Plan and related policies and plans |
| a.1.1 REDD+ activities are registered by the FSSD/REDD+ Secretariat |
| a.2 REDD+ activities contribute to the National Climate Change Policy, the Nationally Determined Contribution and related policies |
| a.2.1 REDD+ strategy implementation contributes to the mitigation, adaptation and finance objectives of the National Climate Change Policy (NCCP) and Nationally Determined Contribution (NDC) |
| a.3 REDD+ activities contribute to Uganda's Vision 2040, the National Development Plan, the Green Growth Development Strategy and related development strategies and plans |
| a.3.1 REDD+ activities contribute to the District Development Plan(s) |
| a.4 There is effective coordination among agencies and implementing bodies for REDD+, national forest and sustainable development programmes and national policies that enact the relevant international conventions and agreements |
| a.4.1. REDD+ activities are coordinated through the District Technical Planning Committee |
| a.4.2. REDD+ activities are coordinated through the MWE/FSSD - REDD+ Steering Committee (NCCAC) |
| Safeguard (b) – REDD+ activities promote and support transparent and effective national forest and land use governance structures |
| b.1 Information about REDD+ strategies, plans and activities is publicly accessible |
| b.1.1. Information on proposals and reports for REDD+ activities are available online and in relevant District offices |
| b.1.2 Information on national REDD+ strategy design, implementation and results is available online |
| b.2 Finances related to REDD+ strategies, plans and activities are managed with integrity, transparency and accountability |
| b.2.1 Entities leading REDD+ activities pass an annual financial audit |
| b.3 Grievance mechanisms are established and functional for REDD+ strategies, plans and activities |
| b.3.1 Grievances are registered and resolved in a timely manner |
| b.3.2 Stakeholders report that the grievance mechanism is addressing grievances related to the REDD+ activity |
| b.4 Governance structures for REDD+ strategies, plans and activities are clearly defined, transparent, effective and accountable |
| b.4.1 Meeting reports of REDD+ governance structures are publicly accessible showing regular meetings and decision making |
| b.5 REDD+ strategies, plans and activities promote and support law enforcement and avoid corruption |
| b.5.1 Community-based natural forest resource agreements supported by REDD+ |
| b.5.2 Collaborative forest management agreements supported by REDD+ |
| b.5.3 Reduction in illegal activities in natural forests where REDD+ activities are implemented. |
| b.5.4 Enhanced enforcement activities in natural forests where REDD+ activities are implemented. |
| b.5.5 Corruption cases are detected, and action is taken in areas where REDD+ activities are implemented |
| b.6 Uganda's policies, laws and regulations provide enabling conditions for REDD+ strategies, plans and activities |
| b.6.1 Institutions provided for under existing legislation that should support REDD+ are established and functional |
| b.6.1 Laws/regulations are gazetted and published for benefit sharing for REDD+ |
| Safeguard (c) – REDD+ activities respect the knowledge and rights of forest-dependent indigenous peoples and members of local communities |

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| c.1 Rights to lands and resources relevant to REDD+ activities are identified, mapped and recognized |
| c.1.1 Statutory and customary land ownership is mapped and recognized in Districts targeted for REDD+ activities |
| c.1.2 Collective rights of forest-dependent indigenous peoples (FDIP) are mapped and recognized |
| c.2 Rights to lands and resources are recognized and respected by REDD+ strategies, plans and activities |
| c.2.1 REDD+ activities are implemented on land with secure land tenure |
| c.2.2 REDD+ activities do not cause conflicts over land and resources |
| c.3 REDD+ strategies, plans and activities support equitable access to forest resources and benefits are shared equitably |
| c.3.1 Eligible beneficiaries receive carbon benefits (from REDD+ revenues) according to the agreed benefit sharing plan |
| c.4 Appropriate compensation and/or other remedies are provided in the case of involuntary resettlement and/or economic displacement resulting from REDD+ activities |
| c.4.1 Screening is conducted for involuntary resettlement and/or economic displacement, and a resettlement action plan (RAP) is approved and implemented if required |
| c.5 Free, prior and informed consent of forest-dependent indigenous peoples and local communities is obtained for REDD+ activities affecting their collective rights to lands and resources |
| c.5.1 Consent is obtained after provision of full information for REDD+ activities on land traditionally used by forest-dependent indigenous peoples (FDIP) and other local communities |
| c.6 Forest-dependent indigenous Peoples and local communities' traditional knowledge and cultural heritage are recognized and respected by REDD+ strategies, plans and activities |
| c.6.1 Relevant traditional knowledge and cultural heritage is identified and measures taken for their respect |
| Safeguard (d) – REDD+ activities ensure the full and effective participation of relevant stakeholders, in particular forest-dependent indigenous peoples and local communities |
| d.1 Stakeholders are identified and mapped for all REDD+ strategies, plans and activities |
| d.1.1 Stakeholders for each REDD+ activity are identified and mapped |
| d.2 Stakeholders including forest-dependent indigenous peoples, local communities, youth and minorities are consulted effectively in REDD+ strategies, plans and activities |
| d.2.1 Affected stakeholders are consulted and provide input that influences the REDD+ activity design and implementation |
| d.3 Stakeholders including forest-dependent indigenous peoples, local communities, youth and minorities participate effectively in REDD+ strategies, plans and activities |
| d.3.1 Stakeholders from all groups including forest-dependent indigenous peoples, youth and minorities participate effectively in REDD+ activities |
| d.4 Stakeholders participate in REDD+ strategies, plans and activities through legitimate and accountable representatives |
| d.4.1 Legitimate representatives for each stakeholder group participate in committee meetings discussing REDD+ activities and channel information to and from the people they represent |
| d.5 Stakeholders have the information that they need about the REDD+ strategies, plans and activities to participate effectively |
| d.5.1 Local stakeholders are informed about REDD+ activities in their area |
| d.6 REDD+ strategies, plans and activities promote and enhance gender equality |
| d.6.1 Women and men participate effectively in REDD+ activities |
| d.6.2 Measures are taken to enhance gender equality |
| Safeguard (e) - REDD+ activities are consistent with the conservation of natural forests and biological diversity, ensuring that REDD+ activities are not used for the conversion of natural forests, wetlands, and other priority ecosystems, but are instead used to incentivize the protection and conservation of natural forests and ecosystem services, and to enhance other social and environmental benefits |
| e.1 Natural forests, biodiversity and ecosystem service priorities potentially affected by REDD+ strategies, plans and activities are identified and mapped |
| e.1.1 Natural forests and High Conservation Value (HCV) areas, RAMSAR sites, World Heritage Conservation Sites, Important Bird Areas, Key Biodiversity Areas, animal sanctuaries and protected areas are mapped in areas where REDD+ will be implemented |

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| e2. REDD+ activities do not lead to the conversion of natural forests or other areas important for maintaining biodiversity and other ecosystem service priorities |
| e.1.2 No conversion of natural forests and other habitats important for maintaining High Conservation Value Areas, RAMSAR sites, World Heritage Conservation Sites, Important Bird Areas, Key Biodiversity Areas, animal sanctuaries and protected areas in REDD+ implementation areas |
| e.3 REDD+ strategies, plans and activities avoid or minimize adverse environmental impacts and instead maintain and enhance biodiversity and ecosystem service priorities |
| e.3.1 REDD+ activities have completed environmental screening and classification, conducted ESIA if required and have approved and implemented ESMP or other plans as required |
| e.3.2 Forestry concessions supported by REDD+ are follow their approved forest management plans |
| e.3.3 REDD+ activities involving pesticide use have integrated pest management plans in place and implemented |
| e.4 REDD+ strategies, plans and activities avoid or minimize adverse social impacts and instead promote and enhance human well-being with special attention to women, youth and marginalized groups |
| e.4.1 Change in annual household income in Districts where REDD+ is implemented |
| e.4.2 Change in production of food crops and livestock production supported by REDD+ in Districts where REDD+ is implemented |
| e.5 REDD+ activities contribute to food security |
| e.5.1 Change in nutrition status in Districts where REDD+ activities are implemented |
| Safeguard (f) – REDD+ activities address the risks of reversals |
| f.1 REDD+ strategies, plans and activities effectively identify drivers and underlying causes of deforestation and forest degradation |
| f.1.1 Existence of spatial analysis of drivers of deforestation |
| f.2 REDD+ strategies, plans and activities effectively address drivers and underlying causes of deforestation and forest degradation |
| f.2.1 REDD+ activities are designed and implemented to explicitly address local drivers of deforestation |
| Safeguard (g) – REDD+ activities reduce displacement of emissions |
| g.1 REDD+ strategies, plans and activities provide effective incentives for landowners and other rights holders for lands and resources to implement REDD+ activities and contribute to reducing deforestation |
| g.1.1 Landowners and other rights holders agree to REDD+ activities |
| g.1.1 Landowners and other rights holders support implementation of REDD+ activities |

Methods and protocols for collection and validation of information have been proposed for each indicator as follows:

- a. Indicator for monitoring
- b. Verifier/specific information to assess compliance or performance
- c. Source/where the information is found
- d. Methodology/ how information is collected
- e. Who collects/provides the information
- f. Who validates/ensures the quality of the information
- g. Data entered in SIS database (for previous calendar year unless specified)

The full set of these details for all indicators is provided in Annex 3 - Principles, Criteria and Indicators for Uganda's REDD+ SIS circulated as a separate Excel file. A few examples of different indicators are provided below (Table 7-2).

Table 11-2: Example of an indicator assessed at REDD+ activity level:

| Indicator for monitoring | d.6.1 Women and men participate effectively in REDD+ activities |
|--|--|
| Verifier/specific information to assess compliance or performance | Numbers of women and men participating in each REDD+ activity |
| Source/where the information is found | REDD+ activity reports |
| Methodology/ how information is collected | Include in reports information on numbers of women and men participating in all activities and meetings. Calculate annual average % women participants across all activities |
| Who collects/provides the information | REDD+ activity lead |
| Who validates/ensures the quality of the information | District Environment and Natural Resources Committee (DENRC) supported by Community Development Officer (CDO)- District Community-based Services (responsible for gender policy) |
| Data entered in SIS database (for previous calendar year unless specified) | For each activity: annual average % women participating in the REDD+ activity |
| Performance thresholds | <ul style="list-style-type: none"> • High - > 50% women • Medium - 30%-50% • Low - < 30% |

Table 11-3: Example of an indicator assessed at District level

| Indicator for monitoring | c.1.1 Statutory and customary land ownership is mapped and recognized in Districts targeted for REDD+ activities |
|---|--|
| Project-level verifier/specific information to assess compliance or performance | Land titles and certificates of customary land ownership - individual or collective |
| Source/where the information is found | District Directorate of Natural Resources |
| Methodology/ how information is collected | Identify land titles and certificates of land ownership in the District and add up the area they cover (ha), calculate the % total District land area that they cover |
| Who collects/provides the information | District Senior Lands Management Officer |
| Who validates/ensures the quality of the information | District Environment and Natural Resources Committee (DENRC) |
| Data entered in SIS database (for previous calendar year unless specified) | For each District: % of District land area covered by certificates of customary land ownership; % covered by land titles |
| Performance thresholds | <ul style="list-style-type: none"> • High - More than 80% of District is covered by certificates/titles • Medium 50-80% • Low - less than 50% |

Table 11-4: Example of an indicator assessed at national level

| Indicator for monitoring | b.3.1 Grievances are registered and resolved in a timely manner |
|---|--|
| Project-level verifier/specific information to assess compliance or performance | Percentage of registered grievances that are resolved within and after the allocated time, including after being passed to a higher level as required |
| Source/where the information is found | REDD+ Registry/FSSD FGRM office |
| Methodology/ how information is collected | Compile annual report on grievances registered and resolved/not resolved |
| Who collects/provides the information | FSSD FGRM office |
| Who validates/ensures the quality of the information | National REDD+ Technical Committee |
| Data entered in SIS database (for previous calendar year unless specified) | For National REDD+ Strategy: Number of grievances registered, number of grievances resolved within allocated time, % registered grievances resolved in allocated time |
| Performance thresholds | <ul style="list-style-type: none"> • High - >80% registered grievances are resolved in the allocated time • Medium - 50-80% • Low < 50% |

7.2 Linkages with other systems

The following indicators from existing information systems have been included:

- e.1.1 Natural forests and High Conservation Value (HCV) areas, RAMSAR sites, World Heritage Conservation Sites, Important Bird Areas, Key Biodiversity Areas, animal sanctuaries and protected areas are mapped in areas where REDD+ will be implemented – National Forest Monitoring System at the National Forestry Authority.
- e.1.2 No conversion of natural forests and other habitats important for maintaining High Conservation Value Areas, RAMSAR sites, World Heritage Conservation Sites, Important Bird Areas, Key Biodiversity Areas, animal sanctuaries and protected areas in REDD+ implementation areas - National Forest Monitoring System at the National Forestry Authority.
- e.4.1 Change in annual household income in Districts where REDD+ is implemented - Uganda National Household Survey (UNHS) at Uganda Bureau of Statistics (UBOS) – conducted every 3 years.
- e.4.2 Change in production of food crops and livestock production supported by REDD+ in Districts where REDD+ is implemented – Annual Agricultural Survey (AAS) at UBOS conducted every year.
- e.5.1 Change in nutrition status in Districts where REDD+ activities are implemented - Uganda Demographic Health Survey (UDHS) at UBOS conducted every 5 years.

The SIS Managers in FSSD/DESS would need to request the information from the relevant agencies to update the SIS manually each year. No direct automatic linkage is envisaged.

The UNHS, AAS, UDHS publish data for each sub-region and not at District level so FSSD will need to request UBOS to provide information about the changes in Districts where REDD+ is

implemented. In addition, while the AAS is updated annually, the UNHS is only updated every 3 years and the UDHS every 5 years so the changes could only be detected over longer time frames for these data.

Once information systems for the grievance mechanism (FGRM) and benefit sharing mechanism are established, then data can be sourced from these mechanisms for the following indicators:

- b.3.1 Grievances are registered and resolved in a timely manner (future linkage to FGRM system).
- c.3.1 Eligible beneficiaries receive carbon benefits (from REDD+ revenues) according to the agreed benefit sharing plan (future linkage to Benefit Sharing Mechanism system).

At some point, FSSD/REDD+ Secretariat may want to establish a web-based management system for registration, monitoring and evaluation of REDD+ activities. This should be designed to link automatically with the SIS and the other REDD+ management systems like the FGRM and the benefit sharing mechanism systems.

8. SIS INSTITUTIONAL ARRANGEMENTS

Roles and responsibilities have been proposed for each of the proposed functions of the SIS: information collection, compilation, analysis and interpretation, quality assurance and validation, dissemination and information management.

Institutional and coordination arrangements for the SIS are based on the implementation arrangements developed for the National REDD+ Strategy, which will be implemented as an integral part of the broader national planning framework (National Development Plan II 2015/16-2019/20). REDD+ activities will be implemented by the relevant sectoral ministries under coordination of the Ministry of Water and Environment (MWE). MWE will function through the Forestry Sector Support Department (FSSD), the National Forest Authority (NFA), the Directorate of Water Development and the Directorate of Water Resources Management. FSSD will provide technical and coordination responsibility through the National REDD+ Technical Coordination Unit (TCU). MWE will collaborate with the Uganda Wildlife Authority (UWA; Strategic Options 4, 6 - forests in wildlife conservation areas, wildfires), the Ministry of Agriculture, Animal Industry and Fisheries (MAAIF; Strategic Options 1,2,7 - climate smart agriculture and livestock rearing), the Ministry of Energy and Mineral Development (MEMD; Strategic Option 5 - sustainable fuel wood utilization, Energy Efficiency technologies), Districts (Strategic Options 1-8: Local Forest Reserves, forest outside protected areas, climate smart agriculture, sustainable fuel wood and (commercial) charcoal use, energy efficient cooking stoves, integrated wildfire management). The Office of the Prime Minister (OPM) through department responsible for Disaster Preparedness will supervise the involvement of refugees. The Ministry of Gender Labour and Social Development (MoGLSD) will supervise actions that support ethnic minority and marginalized people.

The National Climate Change Advisory Committee (NCCAC) that comprises representatives of all ministries with climate change related issues on their respective mandates is the national coordinating and advisory body to MWE in REDD+ implementation. NCCAC oversees a National Technical Committee (NTC), which provides a technical coordinating and supporting role in REDD+ implementation. Closely linked to NTC there are further Taskforces for MRV, FGRM, BSA, SESA/Safeguards and REDD+ Policy/Strategy. The overall national level organogram is presented in Figure 8-1.

At sub-national level, NFA will provide technical advisory services at the district and lower levels while FSSD will support districts in forest policy implementation, and law enforcement and regulation of forest utilization.

To enhance the implementation of the REDD+ Strategy, institutional synergies will be maximised amongst the stakeholders to achieve efficiency in resource use through a well-coordinated and strategic partnership within the Government and the private sector, development partners, the civil society and other non-state actors. Two key structures to allow for their participation are a Private Sector/Civil Society Forum and sector working groups. The lead agencies for implementation of the identified strategic options will use their respective working groups to include REDD+ in annual plans and budgets.

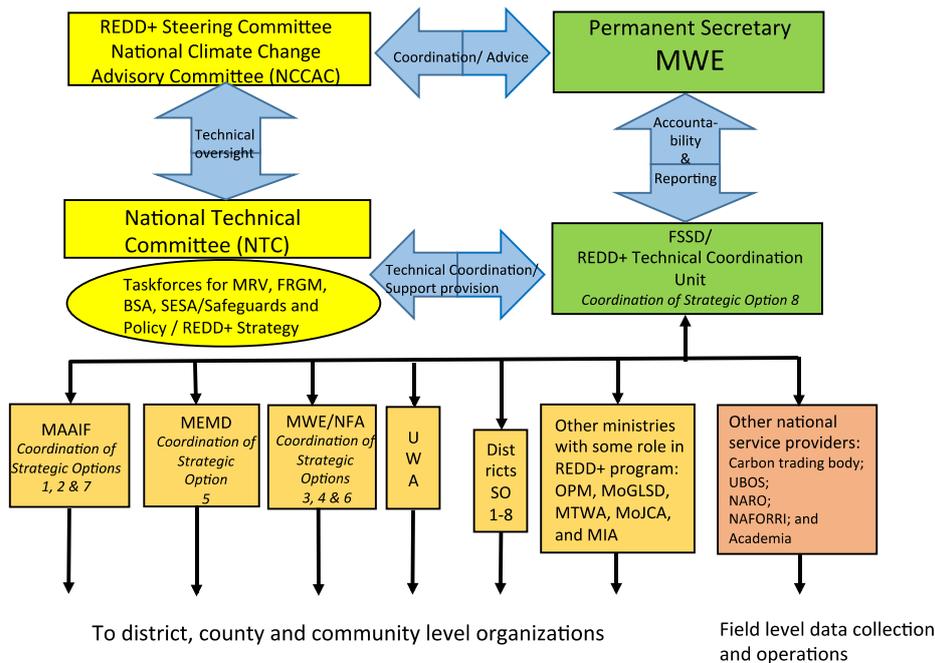


Figure 8-1: National level organogram for Ugandan REDD+ program.

Responsibility for addressing and respecting safeguards including following the procedures of the ESMF and other safeguards frameworks and providing safeguards information is often linked to finance for REDD+ activities. The Ministries leading the implementation of each of the National REDD+ Strategic options and the Local Governments they work with will receive funding for REDD+ activities through government planning, budgeting and reporting systems. Civil society organizations and private sector will be able access the resources based on Memorandum of Understanding with Strategic Option lead agencies for activities under the REDD+ National Strategy and/or as service providers with contracts, to which provision of safeguards information can be linked. However, it is planned that REDD+ activities will be implemented through numerous on-going and planned international and national donor projects on topics related to climate change and even carbon financing in many sectors. Many of these on-going projects could be designed differently in their next phases to better take into consideration the REDD+ strategic option activities and to enable direct financing support for the grass-root level households, communities, CBOs and private business entities.

Monitoring and evaluation of the implementation of the REDD+ Strategy will be coordinated by TCU/FSSD and will involve stakeholders responsible for implementing REDD+ activities including relevant government agencies, private sector and civil society entities. Besides the overarching monitoring and evaluation set-up, some national level organizations will also contribute with annual national surveys on performance in various regions of Uganda including the Uganda Bureau of Statistics (UBOS), Forest Sector Support Department (FSSD), Uganda Timber Growers' Association (UTGA), National Forest Research Institute (NAFORRI) and UWA. These entities may all play a role in collecting information for the SIS depending on their mandates and responsibilities related to REDD+.

These integrated and complex institutional and financial arrangements for the implementation, financing and monitoring of National REDD+ Strategy implementation present challenges for the development of clear roles and responsibilities for the SIS. Safeguards information should be validated by entities able to assess the accuracy of the information and distinct from the those providing the information. Validation of safeguards

information may involve a multi-stakeholder body that includes representatives of stakeholders potentially affected by the specific activities. Multi-stakeholder bodies established to support the coordination and oversight of REDD+ activities in Uganda will play an important role in quality assurance for the SIS.

Institutional arrangements are proposed for the SIS shown in Figure 6 are proposed for the SIS (Figure 8-2)

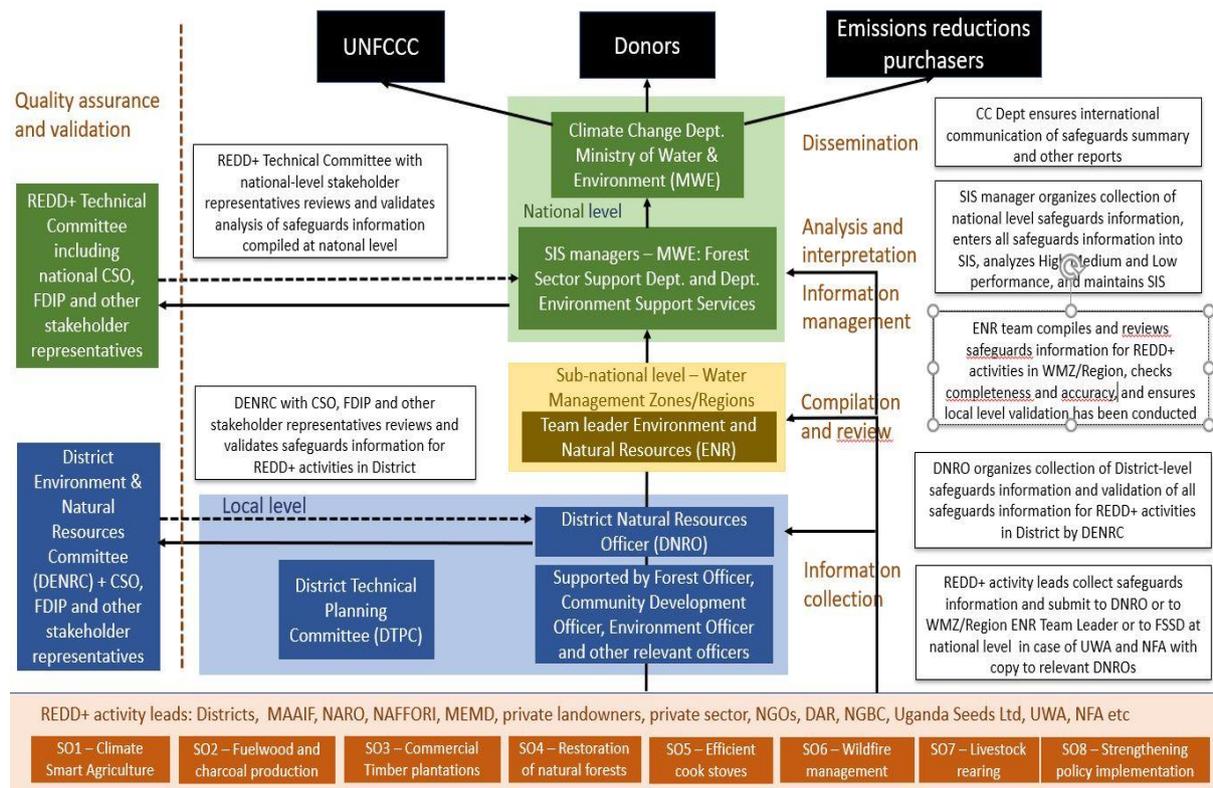


Figure 8-2: Proposed Institutional arrangements for Uganda's SIS

- a. **Information collection:** For indicators assessed at the activity level, REDD+ activity leads are responsible for collecting information and preparing safeguards reports which are submitted to District Natural Resources Officer (DNRO). For indicators assessed at the District level, the DNRO ensures the information is collected, collaborating with other officers such as the Forest Officer and Community Development Officer. For areas under the authority of the National Forest Authority (NFA) and the Uganda Wildlife Authority (UWA), information is collected by Sector and Range managers as relevant. For indicators assessed at national level, the REDD+ Secretariat is responsible for collecting information and submitting safeguards reports to the SIS manager. Information will flow to the SIS Managers based on FSSD/DESS in response to annual requests for information from FSSD to the relevant authorities, for example as part of the annual request for information for the Sector Performance Report for Forestry.
- b. **Compilation and review:** The Environment and Natural Resource team at Water Management Zone and Regional level supports the collection, compilation and review of the information for REDD+ activities in their area, compiling and reviewing information from Districts with information from NFA/UWA and other sources, checking that the information is complete and accurate, and supporting the validation process.

- c. **Quality assurance and validation:** For all safeguards information at the District level, the DNRO collaborates with the Community Development Officer, Environment Officer and other relevant officers to review information with input from communities and lower government levels through barazaas (public meetings) and other relevant channels. The DNRO then submits safeguards reports compiled for all activities in the District for validation by the District Environment & Natural Resources Committee (DENRC) accompanied by their recommendation based on their review. Representatives of local communities, forest-dependent indigenous peoples (where relevant), civil society organisations and other relevant stakeholder groups are included in the DENRC meetings where safeguards information is validated, where activities involve areas managed by NFA or UWA, these agencies are convened to participate in meetings of the District Environment Committee and DTPC.
- d. **Compilation, analysis and interpretation and data management:** The SIS managers in FSSD and Department of Environment Support Services (DESS) in MWE enter the information into the database. The data entry involves assessing the performance for each indicator at High, Medium or Low level according to the thresholds established for each indicator. Information on each REDD+ activity, District and national level is updated in each calendar year.
- e. **Dissemination:** The Climate Change Department in MWE is responsible for providing safeguards reports in appropriate formats to the UNFCCC, to donors of the REDD+ strategy, and to emissions reductions purchasers. In addition, stakeholders and members of the public will be able to access the safeguards information through the SIS online portal. They will be able to see safeguards information for individual REDD+ activities, for Districts where REDD+ is implemented, and also across the whole country. The information will be accessible for each calendar year for which data exists from the start of REDD+ strategy implementation.

Detailed lists of the responsibilities of each entity with respect to the SIS data collection and validation for each indicator are included in Annex 4.

9. SIS INFORMATION TECHNOLOGY SYSTEM DESIGN AND ARCHITECTURE

The SIS IT architecture will be developed once the SIS has been designed. It will involve engaging with the REDD+ Secretariat and Taskforces to establish a web-based portal to manage the SIS:

- a. Ensuring that the web-portal is designed to support the SIS objectives, scope and including national, regional and international information needs that the SIS will serve.
- b. Ensuring that the web-portal provides a framework for the provision of information on how safeguards are being addressed and respected to be included in the SIS defined in the National Safeguards Standards.
- c. Developing an approach to store and manage safeguard-related information over time including roles and responsibilities for all functions of SIS – information collection, compilation, analysis, validation, dissemination, and managing information.
- d. Ensuring that the IT infrastructure supports the identified SIS institutional arrangements including capacities and levels of these capacities.
- e. The operational modalities, procedures, navigation and platforms including new or linked web portal.
- f. The other important SIS design elements.

The SIS reports will be accessed through a web portal that integrates up-to-date information about the proposed indicators for all REDD+ activities, for relevant Districts and at national level. The functionality will allow the users of the system to view the relevant stored information, which facilitates geographic information dissemination and publishing.

The webportal will include a document library for the existing reports and other publications with information related to safeguards. Furthermore, the system will provide links to relevant institutions responsible for guaranteeing implementation of the safeguards and their compliance with the legal framework, as well as links to relevant regulations and laws that are relevant for the implementation of the safeguards.

The webportal will include a map viewer allowing data illustration for different indicators from relevant external databases or systems.

The information contents will be defined in course of the SIS development. Tentatively, the broad content of the web portal is expected to comprise:

- a. General information about REDD+ and Safeguards in Uganda.
- b. Information related to the fulfilment of UNFCCC Cancun, World Bank and major donor safeguards for all REDD+ activities national and sub-national level, including the hot spots identified in the SESA.
- c. Information related to the fulfilment of UNFCCC Cancun safeguards for all REDD+ activities on national and sub-national level, including the hot spots identified in the SESA.

The full content of the web portal will be based on consideration of the SIS design elements as described above. Overview of the information flows relevant for the portal is shown in Figure 9-1.

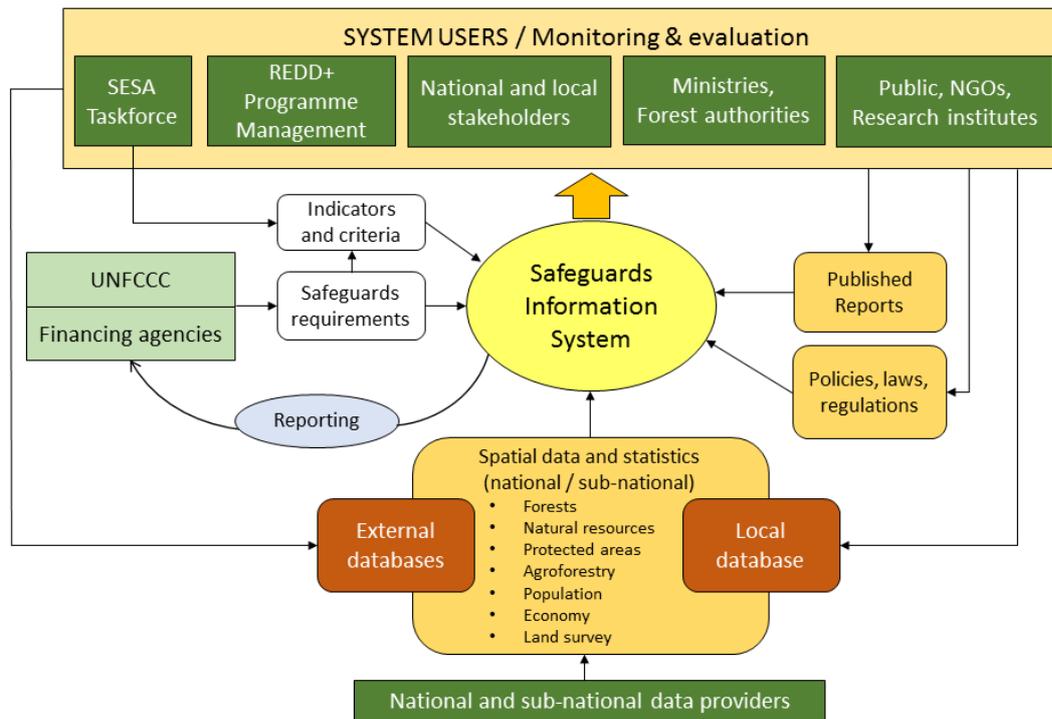


Figure 9-1: Information flows relevant for the Safeguards Information System.

The information system will be built on Open Source software components. The software selection process will prioritize easy usage and easy possibilities for updating the content. The software selection will also be based on considerations such as capability of creating linkages with external data sources and the required reporting functionality. The contents of the portal can be managed and updated through a website content management system.

The system will be based on following components:

- a. PostgreSQL – Open Source database solution for storing data, rendering web-site content, reports and map layers.
- b. GeoServer – Open Source map server solution for serving spatial data, to be used for the mapping components of the web site;
- c. File System – Optional Storage for spatial layers’ data for GeoServer.
- d. Content Management System (CMS) – Open Source solution for providing functionality, tools and interfaces for simplified creation and management of the content which will be presented to the end users via the web site.
- e. Map plugin – CMS plugin, allowing presenting dynamic maps on web pages.

10. CONCLUSIONS

Uganda's SIS provides an integrated approach for monitoring social and environmental risks and benefits that may arise from the implementation of REDD+ activities in consistency and compliance with national, regional, international and development partners safeguard frameworks. Safeguards reports will contain information on how these safeguards are respected and addressed.

This Final SIS Design report explains the purpose, functions and proposed institutional arrangements of the system, and provides details on the indicators for which information will be collected and analyzed.

The next stage of SIS establishment involves development of the web portal, database and reporting functions for the online SIS.

11. ANNEXES

11.1 Annex 1 - Review of Uganda's Policies, Laws and Regulations for National Clarification of the REDD+ Cancun Safeguards

Cancun safeguard (a): REDD+ actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements

a.1 Consistency and complementarity with the objectives of the national forest programme

What PLR in Uganda clarify the objectives of the national forest programme?

Policies:

1. The Uganda Forestry Policy (2001)
2. The Uganda National Land Policy (2013)
3. The National Climate Change Policy (2015)
4. The National Environment Management Policy for Uganda (1994)
5. The Draft National Environment Management Policy for Uganda (2014)
6. Policy for the Conservation and Management of Wetland Resources (1995)
7. The National Water Policy (1999)
8. Uganda National Policy on Conservation and Sustainable Development of Wildlife Resources (2014)
9. The Renewable Energy Policy for Uganda (2007)
10. The Energy Policy for Uganda (2002)
11. National Agriculture Policy (2013)
12. National Oil and Gas Policy for Uganda (2008)

Planning Frameworks:

1. Vision 2040
2. National Development Plan (2015/16 – 2020/21)
3. Uganda's Intended Nationally Determined Contribution (2015)
4. The National Forest Plan (2011/12-2021/22)
5. Uganda Green Growth Development Strategy (2017)
6. National Adaptation Plan for the Agricultural Sector (2018)

Laws:

1. Constitution of Uganda (1995)
2. The National Forestry and Tree Planting Act (2003)
3. National Environment Act (2019)
4. The Land Act (Cap 227 Laws of Uganda)
5. The Local Governments Act (Cap 243 Laws of Uganda)
6. The Uganda Wildlife Act (2019)
7. The Mining Act (No. 9 of 2003)
8. Water Act (Cap 152 Laws of Uganda)
9. The Prohibition of Burning of Grass Act (Cap 33 Laws of Uganda)
10. The Petroleum (Exploration, Development and Production) Act (No 3 of 2013)
11. Petroleum (Refining, Conversion, Transmission Act and Midstream Storage) (No 4 of 2013)
12. The Timber (Export) Act (Cap 151 Laws of Uganda)

13. The Local Governments Act (Cap 243)

Regulations:

1. National Forestry and Tree Planting Regulations (2016)
2. The Environmental Impact Assessment Regulations (S.I. No. 13/1998)
3. Land Regulations (S.I No 100 2004)
4. National Environment (Access to Genetic Resources and Benefit Sharing) Regulations (2005)

Guidelines:

1. National Guidelines for Implementing Collaborative Management in Uganda (2003)
2. Guidelines for Mainstreaming Climate Change Adaptation and Mitigation in Agricultural Sector Policies and Plans (2018)
3. Guidelines for the Registration, Declaration and Management of Community Forests (2015)

What are the objectives?

What requirements/mechanisms are in place to ensure consistency and complementarities with these objectives?

1. POLICIES

1.1 The Uganda Forestry Policy (2001)

The goal of the forestry policy is 'An integrated forest sector that achieves sustainable increases in the economic, social and environmental benefits from forests and trees by all the people of Uganda, especially the poor and vulnerable'. The forestry policy outlines eleven policy statements for achieving this goal, five of which are relevant to this review.

Under **policy statement number 1**, the objective of government is to protect, maintain and sustainably manage the forest reserves on government land, with the intention of setting aside the reserves '...permanently for the conservation of biodiversity, the protection of environmental services, and the sustainable production of domestic and commercial forest produce'.

Under **policy statement number 2**, the government aims at promoting the development and sustainable management of natural forests on private land. The government recognises that without deliberate action, natural forests on private lands will continue to decline.

Under **policy statement number 3**, the government aims at promoting profitable and productive forest plantation businesses through the private sector.

Under **policy statement number 5**, government will develop collaborative partnerships with rural communities for the sustainable management of forests, through collaborative forest management (CFM).

Under **policy statement number 7**, government will promote conservation and management of Uganda's forest biodiversity in support of local and national socio-economic development and international obligations.

1.2 The Uganda National Land Policy (2013)

The government's policy statement is to clarify the nature of property rights, remove uncertainties and allow for evolution. Government strategy to achieve this policy statement is to amend the Land Act and other relevant laws so as to provide clarity to the nature of property rights. The policy recognizes that over time several changes have occurred leading to tenure insecurity and uncertainty.

In order to realize the above policy statements, the government will undertake a number of legislative and other measures, including the following:

- ensure that the operations of land tribunals are devoid of technical procedures and litigation technicalities usually associated with ordinary courts;
- provide clear rules for the application of the law by Land Tribunals; provide room for the application of traditional and indigenous principles in the resolution of land disputes;
- recognize and institutionalize traditional mechanisms for the resolution of land disputes as mechanisms;
- provide clear hierarchy of dispute resolution mechanisms and levels of appeal;
- provide free legal services to vulnerable sections of society; and
- encourage and build capacity for alternative dispute resolution as well as the application of principles of natural justice.

The government's policy strategy with regard to land management institutions is to refine and clarify the mandates of the various agencies charged with the management of land-based resources so as to remove overlaps, gaps and conflicts.

1.3 The National Climate Change Policy (2015)

The country's strategies to address the climate change challenge are set out in the National Climate Change Policy (2015). The policy "emphasises climate change adaptation as the top priority for Uganda, while mitigation efforts are embraced by the policy as secondary, given Uganda's stage in the development process and its current low levels of emissions."

The main objective of the policy is "to ensure that all stakeholders address climate change impacts and their causes through appropriate measures, while promoting sustainable development and a green economy." The specific objectives of the policy are:

- Identify and promote common policy priorities to address climate change in Uganda;
- Identify and promote adaptation policy responses for Uganda;
- Identify and promote mitigation policy responses for Uganda;
- Identify and promote monitoring, detection, attribution and prediction policy responses for Uganda;
- Support the integration of climate change issues into planning, decision making and investments in all sectors and trans-sectoral themes through appropriate institutional arrangements and legal framework; and
- Facilitate the mobilisation of financial resources to address climate change in Uganda.

The country's policy priority on REDD+ is "To continue to actively promote joint REDD+ efforts involving the public and private sectors". Specific strategies for tackling this sectoral policy priority include, conserve the existing forests and implement REDD+ programmes to access additional funds from carbon markets; and set-up mechanisms to regulate the implementation of REDD+ projects and the set-up of equitable benefit sharing schemes.

1.4 The National Environment Management Policy for Uganda (1994)

The overall policy goal of the policy is sustainable social and economic development which maintains or enhances environmental quality and resource productivity on a long-term basis that meets the needs of the present generation without compromising the ability of future generations to meet their own needs.

The specific policy objectives are:

- to enhance the health and quality of life of all people in Uganda and promote long-term sustainable socio-economic development through sound environmental and natural resource management and use;
- to integrate environmental concerns in all development policies, planning and activities at national, district and local levels with full participation of the people;

- to conserve, preserve and restore ecosystems and maintain ecological processes and life support systems, especially conservation of national biological diversity;
- to optimize resource use and achieve a sustainable level of resource consumption;
- to raise public awareness to understand and appreciate linkages between the environment and development; and
- to ensure individual and community participation in environmental improvement activities.

The policy was adopted when the extent of the climate change problem was yet to be fully understood, and as a result it does not contain elaborate strategies for dealing with the challenges of climate change.

1.5 The Draft National Environment Management Policy for Uganda (2014)

The overall goal of the policy is ‘...sustainable development which maintains and promotes environmental quality and resource productivity for socio-economic transformation’. With regard to climate change, the policy objective is ‘to ensure that all stakeholders harmoniously address climate change impacts and their causes through appropriate adaptation and mitigation measures’.

With respect to forestry resources, the policy objectives are to achieve sustainable increase in the economic, social and environmental benefits from forests and trees by all the people of Uganda, especially the poor and vulnerable; to sustainably manage forest and forest resources in protected areas, public and private land; and to promote increased forest production by the private sector and communities.

The policy calls for the establishment of an *environmental appeals tribunal* to handle disputes related to the environment.

1.6 Policy for the Conservation and Management of Wetland Resources (1995)

The policy has five goals – to establish the principles by which wetland resources can be optimally used now and in the future; to end practices which reduce wetland productivity; to maintain the biological diversity of natural or semi-natural wetlands; to maintain wetland functions and values; and to integrate wetland concerns into the planning and decision making of other sectors.

The policy provides for a number of policy statements that aim at achieving the set goals: ensuring no drainage occurs unless more important environment management requirements supersede; ensuring that only non-destructive uses are carried out in and around wetlands; ensuring that wetland developments are subject to environmental impact assessment and audit; and maintaining an optimum diversity of uses and users and consideration for other stakeholders when using a wetland.

The policy provides for the role of district authorities in wetland management and provides that: district authorities will control all activities in wetlands by regulating brick-making, requiring that the brick-makers form a voluntary society and be licensed in accordance with the policy.

1.7 The National Water Policy (1999)

The policy underpins the importance of forests in the protection of catchments and the water quality and general survival of the water systems. The policy calls on concerned ministries of government to develop specific and detailed policies for selected sectors including agricultural production, energy, forestry, which should be consistent and compatible with the policy. The policy recommends the formation of District Environment and Natural Resources Committee and a Department with the same name comprising water, environment, forestry and meteorology with the aim of ensuring coordinated management of natural resources and the environment.

1.8 Uganda National Policy on Conservation and Sustainable Development of Wildlife Resources (2014)

The goal of the policy is 'To conserve wildlife resources of Uganda in a manner that contributes to the sustainable development of the nation and the well-being of its people'. One of the key objectives of the policy is 'To conserve wildlife resources of Uganda in a manner that contributes to the sustainable development of the nation and the well-being of its people'.

The policy calls for the effective combating of wildlife crime through several strategies that include: the surveying, marking, monitoring and securing of wildlife protected area boundaries; and collaboration with all relevant enforcement agencies and other stakeholders at local, national, regional and international level.

The policy imposes a responsibility on NFA to manage wildlife that is found in forest reserves under its jurisdiction under technical guidance of UWA. The role of local governments is clearly specified, and they are to be in charge of management of wildlife that is found in areas outside protected areas under district jurisdiction including private lands.

1.9 The Renewable Energy Policy for Uganda (2007)

According to the policy, biomass (which includes firewood, shrubs, grasses, forest wastes and agro-industrial residues) contributes "...over 90% of the total energy consumed in the country and provides almost all the energy used to meet basic energy needs for cooking and water heating in rural areas, most urban households, institutions, and commercial buildings." The policy notes that fuel wood requirements have greatly contributed to the degradation of forests. The policy outlines several strategies aimed at managing the biomass resource base in a sustainable manner.

1.10 The Energy Policy for Uganda (2002)

The policy outlines several strategies for developing the use of biomass and other renewable energy resources for both small and large-scale applications. Some of the strategies outlined by the policy to achieve this objective include the following:

- Support the dissemination of biomass and other Renewable Energy Technologies (RETs) to increase their positive impact on the energy balance and the environment.
- Facilitate adequate financing schemes for RETs by establishing sustainable financing mechanisms to make them more accessible.
- Ensure that RET producers and importers ascribe to certified performance and technical standards.
- Include renewable energy and energy efficiency in the curricula of schools, polytechnics, vocational training centres and other institutions of education.
- Promote geothermal energy development and exploration.
- Utilise geothermal energy to supply base-load electricity and provision of direct heat.
- Support efforts to develop biomass resources in agreement with the Uganda Forestry Policy and the National Forest Plan.

1.11 National Agriculture Policy (2013)

The broad objective of the agriculture policy is '...to achieve food and nutrition security and improve household incomes through coordinated interventions that focus on enhancing sustainable agricultural productivity and value addition; providing employment opportunities and promoting domestic and international trade'.

The government will pursue six specific objectives to achieve the above broad objective by implementing various strategies:

- Ensure household and national food and nutrition security for all Ugandans;
- Increase incomes of farming households from crops, livestock, fisheries and all other agriculture related activities;
- Promote specialization in strategic, profitable and viable enterprises and value addition through agro-zoning;
- Promote domestic, regional and international trade in agricultural products;

- Ensure sustainable use and management of agricultural resources; and
- Develop human resources for agricultural development

1.12 National Oil and Gas Policy for Uganda (2008)

The policy describes government's policy priorities with regard to the entire spectrum of exploration, development and production of the country's oil and gas resources. The policy correctly observes that '...many of the areas with the potential for petroleum production in the country also coincide with areas of important biodiversity like national parks, water bodies, game and forest reserves among others.' With this mind, the policy urges caution so as to ensure harmony between developing the country's oil and gas resources and conserving its rich biodiversity.

The policy identifies key ministry stakeholders in oil and gas, including the Ministry responsible for forests and wetlands, whose role will be to: ensure that oil and gas policies are in harmony with policies for the development and utilization of forest resources; and ensure that oil and gas activities are carried out in a manner that preserves and enhances forest reserves and wetlands.

2. PLANNING FRAMEWORKS

2.1 Vision 2040

Vision 2040 provides that the government will spearhead efforts '...to restore and add value to the ecosystems (wetlands, forests, range lands and catchments) by undertaking re-forestation and afforestation on public land, promoting participation of the population in tree planting on both private and public land and enhancing private investment in forestry through promotion of commercial tree planting on private land and adoption of green agriculture practices'.

2.2 National Development Plan (2015/16 – 2020/21)

The overall government plan for the period 2015-2021 is to increase national forest cover and economic productivity of forests. The specific objective for the NDP is to 'Increase afforestation, reforestation, adaptation and mitigate deforestation for sustainable forestry'. The following specific interventions are outlined:

- Develop countrywide community based and institutional tree planting initiatives.
- Promote sustainable development of commercial forest plantations and industry including value addition.
- Promote implementation of sustainable management of forests through restoration of natural forests on protected and private land
- Promote forestry research and development.
- Develop markets for forest products and services.
- Develop a National REDD+ Strategy and costed action plan.
- Develop a Forest Emissions Reference Level and a Forest Reference Level.
- Develop a robust and functional National Forest Monitoring System (NFMS) for the monitoring and reporting of the REDD+ activities included in the REDD+ Strategy.
- Promote forestry in urban development planning.
- Scale up agroforestry-based alternative livelihood systems.

2.3 Uganda's Intended Nationally Determined Contribution (2015)

This instrument outlines Uganda's commitments to address climate change consistent with its national circumstances and socio-economic status. The instrument sets out Uganda's long-term objective on these issues 'Uganda has the overarching objective of ensuring that all stakeholders address climate change impacts and their causes through appropriate measures, while promoting sustainable development and green growth. The country will continue to work on reducing vulnerability in the following priority sectors: agriculture and livestock, forestry, infrastructure (with an emphasis on human settlements, social infrastructure and transport), water, energy and health'.

The instrument sets out the following priority adaptation actions in the forestry sector:

- Promoting intensified and sustained forest restoration efforts (afforestation and reforestation programmes, including in urban areas);
- Promoting biodiversity & watershed conservation (including re-establishment of wildlife corridors);
- Encouraging agro-forestry; and
- Encouraging efficient biomass energy production and utilization technologies.

The instrument sets out the following additional measures to improve the management of the forestry sector:

- Development of enabling environment for forestry management, including (community forest management groups; forest law enforcement and governance; and strengthening forest institutions responsible for forest management and development);
- Reverse deforestation trend to increase forest cover to 21% in 2030, from approximately 14% in 2013, through forest protection, afforestation and sustainable biomass production measures.

The instrument notes that 'Uganda's greatest mitigation potential is in the land use, land-use change and forestry sectors. Reversing the current deforestation trend (of approximately 14% in 2013) to increase forest cover to 21% in 2030 is highly ambitious considering that 89.5% of the country's energy needs are currently met by charcoal and firewood'.

2.4 The National Forest Plan (2011/12-2021/22)

The National Forest Plan (NFP) which was first developed in 2002 is a sector-wide national instrument for managing and utilising the forestry resources in Uganda. The Vision of the Plan is 'A sufficiently forested, ecologically stable and economically prosperous Uganda'. The goal is 'An integrated forest sector that achieves sustainable increases in economic, social and environmental benefits from forests and trees by all the people of Uganda, especially the poor and vulnerable'. The strategic objectives are to increase economic productivity and employment through forest production, processing and service industries; raise incomes for households through forest-based initiatives; and restore and improve ecosystem services derived from sustainably managed forest resources.

Regarding forest law enforcement and governance, the Plan will pursue the following strategies:

- Strengthen the development, dissemination and implementation of relevant forestry policies, regulations, standards and guidelines, and the periodic reviews thereof;
- Prepare and implement participatory Forest Management Plans;
- Restore the physical integrity of forests in protected areas;
- Promote professionalism among forestry practitioners (codes of ethics, skills, professional standards);
- Develop the capacity of CSOs and local communities to contribute to FLEG and hold government institutions accountable;
- Strengthen collaborative forest management partnerships for improvement of the wellbeing of
- forest-edge communities; and
- Increase collaboration and coordination between formal forestry institutions and law enforcement agencies.

According to the NFP, collaborative forest management (CFM) has since 1997, grown to cover sites in 43 Central Forest Reserves (CFRs), involving 85 CFM groups. In 2004, two CFM agreements were signed (Budongo and Tororo CFRs). By end of 2010, 25 CFM agreements had been signed, while 60 were at various stages of development (WWF, 2010). The absence of clear procedures for the transmission of benefits to communities under CFM has been cited as one of the challenges for the successful implementation of CFM.

2.5 Uganda Green Growth Development Strategy (2017)

The UGGDS identifies prioritized areas for investment in green growth including Sustainable Forestry Management. Proposed activities include, undertaking forest landscape restoration especially on private land through agro-forestry and afforestation actions; supporting incentive programmes oriented towards livelihoods enhancement, environmental stewardship and landscape management for climate change adaptation, mitigation, food security and sustainable energy.

2.6 National Adaptation Plan for the Agricultural Sector (2018)

The plan describes a framework of climate change adaptation actions for the agriculture sector. The plan is a “means for countries to reduce their vulnerability to the impacts of climate change, by building adaptive capacity and resilience, while facilitating the integration of climate change adaptation into development planning processes and strategies across all sectors and scale.”

3. LAWS

3.1 Constitution of Uganda (1995)

Under *Objective Principle Number XXVII of the National Objectives and Directive Principles of State Policy* of the Constitution, Uganda is obliged to promote sustainable development and public awareness of the need to manage land, air and water resources in a balanced and sustainable manner for the present and future generations. The utilisation of the natural resources of Uganda is to be managed in such a way so as to meet the development and environmental needs of present and future generations of Ugandans. Uganda is obliged to take all possible measures to prevent or minimise damage and destruction to land, air and water resources resulting from pollution or other causes. Uganda is under an obligation to promote and implement energy policies that will ensure that people’s basic needs and those of environmental preservation are met. Uganda is obliged to create and develop parks, reserves and recreation areas and ensure the conservation of natural resources; and promote the rational use of natural resources so as to safeguard and protect the biodiversity of Uganda.

Under *Article 39* of the Constitution, every Ugandan has a right to a clean and health environment. Under *Article 245* of the Constitution, Parliament shall, by law, provide for measures intended; to protect and preserve the environment from abuse, pollution and degradation; to manage the environment for sustainable development; and to promote environmental awareness.

Article 41(1) of the Constitution provides that every citizen has a right of access to information in the possession of the State except where the release of the information is likely to prejudice the security or sovereignty of the State or interfere with the right to the privacy of any other person.

3.2 The National Forestry and Tree Planting Act (2003)

Section 2 of the Act sets out the purposes of the Act including the creation of “an integrated forest sector that will facilitate the achievement of sustainable increases in economic, social and environmental benefits from forests and trees by all the people of Uganda.”

Section 4 of the Act classifies forests into the following five categories:

- central forest reserves;
- local forest reserves;
- community forests;
- private forests; and
- forests forming part of a wildlife conservation area declared under the Uganda Wildlife Act (Cap...).

Section 13(3) of the Act provides that a forest reserve shall be managed in accordance with generally accepted principles of forest management as may be prescribed in guidelines issued by the Minister.

Under *Section 14(1)* of the Act, it is prohibited for any person to cut, disturb, damage, burn or destroy any forest produce, or remove or receive any forest produce from a forest reserve except as may be permitted by the law.

Section 15 of the Act gives legal recognition to collaborative forest management, and in this respect, a responsible body may enter into a collaborative forest management arrangement with a forest user group for the purpose of managing a central or local forest reserve or part of it in accordance with regulations or guidelines issued by the Minister.

Under *Section 22* of the Act, a person may register with the District Land Board, a private plantation forest situated on land owned in accordance with the Land Act 1998, or a forest or land in respect of which a licence is granted in accordance with the Act. In such cases, all forest produce in a private plantation forest belongs to the owner of the plantation and may be used in any manner that the owner may determine. However, the forest produce on a private forest plantation can only be harvested in accordance with the management plan and regulations made under the Act. *Section 22(3)* of the Act empowers the District Forest Officer to issue directions to the owner of a plantation forest, requiring the owner to manage the forest in a professional and sustainable manner.

Section 23 of the Act provides that any person may enter into a contractual or other arrangement with the owner or holder of an interest in a private forest, for the right to harvest, purchase, or sell or arrange for the management, harvesting, purchase, or sale of all or any part of the forest produce in the private forest. Where such a contract is entered into, the contract may be registered against the title of that owner or occupier of the land to which the contract relates in accordance with the *Registration of Titles Act* and the *Land Act 1998*. Under *Section 23(3)* of the Act where land has not been alienated, or where no certificate of title to ownership of land has been issued, the District Land Board shall register the contract as a separate folio on the Register Book.

Section 24 of the Act makes provision for a register of rights and interests in a private forest at the District Land Board. Some of the particulars that may be entered in the said register include: the nature of the right or interest; the manner in which it came into existence; and the name of the holder or beneficiary of the right or interest.

Section 25 of the Act provides that a traditional or cultural institution or leader may hold, own or manage a forest, subject to directions as may be issued by the responsible Minister.

Under *Section 27(1)* of the Act, government or a local government has no ownership over trees or forest produce situated on private land. However, under *Section 27(2)* of the Act, a district forest officer may issue directions to the owner of trees or forest produce situated on private land, requiring the owner to manage the trees or forest produce in a professional and sustainable manner.

Section 28 of the Act provides for the development of management plans in respect of forest reserves or community forests in consultation with the community. Once a management plan is agreed, it shall be binding upon all persons having interests and dealings in the forest. It is mandatory for all forest reserves under the Act to have management plans within one year of the coming into force of the Act (*Section 28(7) of the Act*).

Section 29 of the Act provides for Uganda's sovereignty over biological resources within the forest. It provides that all forest biological resources and their derivatives, whether naturally occurring or naturalised within a forest, shall be conserved and managed for the benefit of the people of Uganda. The transfer of any forest biological resources and their derivatives from the territorial jurisdiction of Uganda shall not diminish or extinguish the sovereignty of Uganda over those resources.

Section 41 of the Act provides for the grant of licenses to interested persons for: the cutting, taking, working or removing of forest produce from a forest reserve or community forest; or the sustainable utilisation and management of the forest reserve or community forest. The grant of a

licence is subject to terms and conditions. *Section 41(3)* of the Act prohibits the transfer to or vesting in the person granted a licence, any privilege, right, title, interest or easement over the forest reserve or community forest, other than that stated in the terms of the licence.

Section 46 of the Act provides that the Minister responsible for forestry shall be responsible for: policy formulation and planning; and ensuring the implementation of functions connected with the implementation of the forestry policy, the National Forest Plan and the Act.

Section 47 of the Act spells out the roles of the Minister responsible for forestry in relation to local governments, which include the following:

- inspecting, monitoring and co-ordinating Government initiatives and policies in the forest sector as they apply to local governments;
- co-ordinating and advising persons and organisations in relation to forest projects involving direct relations with local governments; and
- assisting in the provision of technical advice, support, supervision and training to local governments to enable them to carry out the delivery of forestry services in their respective areas, and to develop their capacity to manage local forest reserves and community forests.

Sections 48(1) & (2) of the Act provides for the establishment of the District Forestry Office by the District Council to be funded by the Government. Under *Section 48(3)* the functions of the District Forestry Office include the following:

- to advise the District Council on all matters relating to forestry;
- to liaise with the Authority and other lead agencies on matters relating to forestry;
- to promote forestry awareness in the district;
- to promote the planting of trees;
- to undertake duties involved in the management of local forest reserves;
- to advise and support the management of community forests;
- to assist in the development and provision of advisory services relating to private forests;
- to cause to be prosecuted, any person wilfully destroying any forest resources in contravention of this Act; and
- to perform any other function as the District Council may prescribe.

Section 63(1) of the Act provides for the establishment of Forestry Committees by NFA in consultation with the local governments. The terms of service of such committees shall be prescribed by the NFA Board. Under *Section 63(2)* of the Act, Forestry Committees shall be comprised of the following persons:

- a chairperson appointed by NFA;
- one person to represent each of the district administrations covered by the respective forest management area;
- a senior employee of the Authority in the area who shall be the secretary to the committee; and four persons including at least one female, who are knowledgeable in forestry matters nominated by a process of public advertisement.

Section 64(1) of the Act the functions of the Forestry Committees include:

- to inform NFA of the ideas, desires and opinions of the people in the respective areas on all matters relating to the conservation and use of the central forest reserves;
- to assist local communities to benefit from the central forest reserves;
- to advise NFA on the implementation of its functions under this Act; and
- to perform such other functions as NFA may require or delegate to it.

Section 5(2) of the Act empowers any person or responsible body to bring an action against a person whose actions or omissions have had or are likely to have a significant impact on a forest; or for the protection of a forest.

Section 51 of the Act gives wide powers to the Minister to, designate as many officers as he or she may deem fit, from duly qualified public officers, to be authorised persons for the purposes of the

Act and to state the area where they are assigned, and functions and limits of operation of the authorised persons.

Under *Section 38* of the Act, a person intending to undertake a project or activity which may or is likely to have a significant impact on a forest shall undertake an environmental impact assessment.

Part IX of the Act creates several offences under the Act and punishments for the offences ranging from imprisonment to fines and penalties including cancellation of forest licenses, confiscation and forfeiture of forest produce illegally obtained as well as weapons, machinery or vehicle used in the commission of offences under the Act. Courts established by the Judiciary have the jurisdiction to hear and determine such cases.

3.3 National Environment Act (2019)

Section 64 of the Act provides that the lead agency (NFA) may in consultation with the authority (NEMA) issue guidelines and prescribe measures for the management of forests in Uganda, which shall take into account, forests on land subject to interests held by private persons; forests in protected areas, including forest reserves and national parks; measures to encourage the planting of trees and woodlots by individual land users, institutions and communities; forests on public land or communal land; and forests in wetlands and in protection zones of riverbanks and lakeshores. Section 64(3) of the Act provides that forests shall be managed in accordance with the principle of sustainable development. Section 64(4) of the Act provides that the commercial exploitation of any forest shall be carried out in accordance with the principle of optimum sustainable yield. Section 64(5) of the Act provides that the traditional uses of forests which are indispensable to the local communities and are compatible with the principle of sustainable development shall be protected. Section 64(6) of the Act provides that the lead agency may prohibit human activities in any forest area by declaring a forest area a specially protected forest.

Section 69(1) of the Act provides that the lead agency (Climate Change Department) may, in consultation with the Authority (NEMA), put in place guidelines and prescribe measures to: address the impacts of climate change on ecosystems, including by improving the resilience of ecosystems, promoting low carbon development and reducing emissions from deforestation and forest degradation, sustainable management of forests and conservation of forest carbon stock; and advise institutions, firms, sectors or individuals on strategies to address the impacts of climate change, including those related to the use of natural resources.

Section 69(2) of the Act provides that the lead agency (Climate Change Department) shall, within its mandate and in consultation with the Authority (NEMA) – take measures and issue guidelines to address the impacts of climate change, including measures for mitigating and adaptation to the effects of climate change; and liaise with other lead agencies to put in place strategies and action plans to address climate change and its effects.

Section 69(3) of the Act provides that the Authority may liaise with the lead agency (Climate change Department) to assist Government institutions, private sector, civil society and other stakeholders to mainstream mitigation and adaptation strategies in their planning and decision-making processes.

Schedule 5 to the Act provides that forestry projects are listed among those that require mandatory environmental and social impact assessments (ESIA). Activities that require ESIA include gazetting or degazetting of forest reserves; conversion of forested land to other land uses within catchments and watersheds; introduction of new tree species; commercial charcoal production; extraction of rubber and resins; and establishment of plantations of more than 500 ha.

In Schedule 10 to the Act, projects planned to be located in or near environmentally sensitive areas such as community forests, forests in former public land and private forests require environmental and social impact assessments.

3.4 The Land Act (Cap 227 Laws of Uganda)

Section 2 of the Act provides for four main land tenure systems namely, customary; freehold; mailo; and leasehold. *Section 34* of the Act provides that a person who owns land should utilize it in accordance with the Forests Act, the National Environment Act, the Water Act, the Uganda Wildlife Act and any other law. *Section 74* of the Land Act provides for the establishment of district land tribunals to adjudicate land disputes, but the operation of these land tribunals has since been suspended by the judiciary due to lack of resources.

3.5 The Local Governments Act (Cap 243 Laws of Uganda)

The Act establishes the local government system. Local forest reserves are under the management of the local government. *Part 2* of the second schedule to the Act provides for functions and services for which district councils are responsible including forests and wetlands (*paragraph 5*). Under *paragraph 15*, district councils are responsible for assisting the Government to preserve the environment through protection of forests, wetlands, lake shores, streams and prevention of environmental degradation.

3.6 The Uganda Wildlife Act (2019)

Under *Section 2* the main purpose of the Act is to provide for, conservation of wildlife throughout Uganda; the sustainable management of wildlife conservation areas; the protection of rare, endangered and endemic species of wild plants and animals; the enhancement of economic and social benefits from wildlife management; the implementation of international treaties, conventions and agreements to which Uganda is a party; and public participation in wildlife management.

Section 5 of the Act provides for the establishment of Uganda Wildlife Authority (UWA) and under *Section 6* of the Act, the main function of UWA is to ensure the sustainable management of wildlife conservation areas. Under *Section 20* of the Act, a Community Wildlife Committee is established with the main function of acting as a liaison between the local community and UWA. Under *Section 22* of the Act, UWA may enter into suitable commercial or collaborative arrangements with any person for the management of conservation areas. Under *Section 23* of the Act, projects which may have a significant effect on any wildlife species or community are required to undertake an environmental impact assessment. *Section 29* of the Act defines several offences in wildlife conservation areas. Under *Section 32* of the Act, UWA is mandated to put in place guidelines for communities neighbouring wildlife conservation areas to access resources which are historically crucial to the survival of those communities. *Section 64* of the Act provides that the Wildlife Fund that was in existence under the old Act shall continue to exist.

Part IV of the Act governs wildlife conservation areas – it provides for the procedure of declaring a wildlife conservation area, the purpose of a wildlife protected area, provides for offences in wildlife conservation areas and the sustainable use of wildlife resources.

3.7 The Mining Act (No. 9 of 2003)

Sections 21 and 78 of the Act restrict mining activities in a forest reserve. Holders of prospecting or exploration licences/mining leases must first obtain permission from relevant authorities before carrying out mining activities in a forest reserve and must comply with conditions given by such authorities. Under *Section 110* of the Act, an exploration licence or a mining lease granted under this Act should include a condition requiring the holder to submit an environmental restoration plan of the exploration or mining area that may be damaged or adversely affected by exploration or mining operations. The environmental restoration plan should include a requirement for reforestation of the affected land.

3.8 Water Act (Cap 152 Laws of Uganda)

The Act regulates the use, protection and management of water resources and supply. *Section 14* of the Act permit authorised persons to enter land and investigate water resources, and for this purpose '...may take such measures and construct or operate works as may be necessary for the

investigation, use, control, protection, management or administration of water.’ Section 15 of the Act, requires authorised persons to ‘...leave the land as nearly as possible in the condition in which it was prior to entry being made.’ This means that if any forest has been degraded as a result of any water works and construction activities, it must be restored. Under *Section 33* of the Act, where damage is caused to the land including the destruction of trees, compensation must be paid to the owner of the land.

3.9 The Prohibition of Burning of Grass Act (Cap 33 Laws of Uganda)

The Act prohibits the burning of grass by any person in all areas of Uganda. Under *Section 3(1)* of the Act, the burning of grass can only be carried out with the permission of a sub-county chief, and under the supervision of a parish or sub-parish chief. Under *Section 3(2)* of the Act in the case of the burning of grass in a forest reserve, the burning shall be carried out, or authorised in writing, by an officer of the forest authority not below the rank of a forest ranger. *Section 5* of the Act creates exceptions to the general prohibition by allowing the burning of grass for purposes of: clearing a compound; clearing land for farming; cleaning a town or city; or making a fire break for protecting life or property.

3.10 The Petroleum (Exploration, Development and Production) Act (No 3 of 2013)

Section 135(1)(d) of the Act provides that a holder of licence for petroleum activities shall not carry any activities in a forest reserve without the written consent of NFA. *Section 55* of the Act provides that a person affected by a proposed exploration activity may lodge with the Minister an objection to the grant of a petroleum exploration licence, and the Minister may make a decision within fourteen days. A person aggrieved by the decision of the Minister may appeal against the decision to the High Court within thirty days.

3.11 Petroleum (Refining, Conversion, Transmission Act 4 and Midstream Storage) (No 4 of 2013)

The main purpose of the Act is to ‘...ensure that midstream operations in Uganda are carried out in a sustainable manner that guarantees optimum benefits for all Ugandans both the present and future generations.’

Section 3 of the Act requires a holder a licence for midstream operations to comply with environmental principles as prescribed by the National Environment Act and all other applicable laws. *Section 3* of the Act provides that the holder of a licence shall ensure that ‘...the management of transportation, storage, treatment or disposal of waste arising out of midstream operations is carried out in accordance with the environmental principles and safeguards prescribed under the National Environment Act and other laws applicable.’

3.12 The Timber (Export) Act (Cap 151 Laws of Uganda)

The Act provides for control of the export of timber and its inspection, grading, marking and handling in transit. *Section 3* of the Act imposes restrictions on the export of timber without a valid certificate of grading and export issued by the chief conservator of forests. Under *Section 4* of the Act timber can only be exported through ports or places of exit as may be declared by the chief conservator of forests. Under *Section 7* of the Act, the marking and grading of timber for export can only be carried by authorised by the chief conservator of forests.

3.13 The Local Governments Act (Cap 243)

The Act describes a system of local government which is based on the district as a unit under which there are lower local governments and administrative units. The Act provides for the entire local government set up including the election and composition of various district and local government councils.

4. REGULATIONS

4.1 National Forestry and Tree Planting Regulations (2016)

The Regulations are meant to facilitate the implementation of the National Forestry and Tree Planting Act by providing details and specific responsibilities of various forest stakeholders and institutions.

Regulation 8 provides for the development of the District Forestry Development Plan by each district.

Part IV of the Regulations provides for Collaborative Forest Management. Regulation 18 provides that a CFM arrangement may be concluded between a responsible body and any eligible party for purposes of: rehabilitation of a degraded forest reserve; maintenance of forestry reserve boundaries; access to forest produce; joint law enforcement; sharing of benefits; and financing of joint projects.

Regulation 19 provides for parties that are eligible to participate in a CFM arrangement, and these include: local community; a forest user group or association of forest user groups and a responsible body; and any other entity recognised under the law. The Regulations are clear that groups do not need to be legal entities for purposes of participating in a CFM arrangement.

The Regulations provide for detailed procedural steps for concluding a CFM including the application procedures; and actions required to be taken by a responsible body on the application as well as the timelines that have to be complied with.

Under *Regulation 26* where the application to join a CFM arrangement is rejected, the aggrieved party may lodge a complaint with the Minister, and the Minister is required to address the complaint within 60 days of receiving the complaint.

Regulation 29 provides that the duration of a CFM arrangement shall initially be for a period of 5 years and may be extended up to 20 years.

Regulation 42 provides that districts shall be responsible for the management of forest fires in the district, and that a District shall appoint a District Forest Fire Management Committee.

Regulation 44 provides for forest fire management by lower councils. The districts have the responsibility to formulate guidelines for the management of forest fires by lower local governments including the development of forest fire management plans and budgets.

4.2 The Environmental Impact Assessment Regulations (S.I. No. 13/1998)

The regulations provide a framework for conducting environmental impact assessment in the country. The regulations apply to projects included in the Third Schedule to the National Environment Act; and this includes forestry-related activities: timber harvesting; clearance of forest areas; reforestation and afforestation. *Regulation 12* provides for the participation of the community in undertaking an environmental impact assessment study. Under *Regulation 12(1)* the developer is required to take all necessary measures to seek the views of the people in the communities which may be affected by the project.

In order to ensure that the input of the people is obtained, the developer is required to undertake the following measures:

- publicise the intended project, its anticipated effects and benefits through the mass media in a language understood by the affected communities for a period of not less than fourteen days;
- after the expiration of the period of fourteen days, hold meetings with the affected communities to explain the project and its effects; and
- ensure that the venues and times of the meetings are convenient to the affected persons and are agreed with the leaders of local councils.

Regulation 22 makes provision for the holding of a public hearing to enable NEMA make a fair and just decision. *Regulation 29(1)* provides that any project brief, environmental impact review report, environmental impact evaluation report, environmental impact statement, terms of reference, public comments, report of the presiding officer at a public hearing or any other information submitted to NEMA shall be public documents.

Under *Regulation 32*, NEMA is given power to enter on any land, premises or other facility to determine how far the predictions made in the project brief or the environmental impact statement are complied with.

Under *Regulation 38*, any person who is aggrieved by any decision of the executive director of NEMA may within thirty days of the decision, appeal to the High Court.

4.3 Land Regulations (S.I No 100 2004)

Regulation 87 provides for mediation in respect of applications relating to: certificate of customary ownership; conversion of customary tenure to freehold tenure; or sub-division of land held by an association and to transfer portions of the sub-divided land to individuals. Under *Regulation 88*, mediation may be in respect of any other dispute over land. *Regulation 89* provides guidance on the general principles of mediation, including on the principles of objectivity, fairness and justice.

4.4 National Environment (Access to Genetic Resources and Benefit Sharing) Regulations (2005)

The main object of the regulations is, to prescribe the procedure for access to genetic resources for scientific research, commercial purposes, bio-prospecting, conservation or industrial application; to provide for the sharing of benefits derived from genetic resources; and to promote the sustainable management and utilisation of genetic resources. The overall aim of the regulations is to contribute to the conservation of the biological resources of Uganda.

5. GUIDELINES

5.1 National Guidelines for Implementing Collaborative Management in Uganda (2003)

The guidelines were developed specifically for the collaborative management of Central and Local Forest Reserves. They describe a process for concluding a CFM Agreement between the Responsible Body and a CFM Partner. The Guidelines explain the steps required for negotiating and signing a CFM Agreement in line with the CFM regulations.

The guidelines document some of the lessons learnt in the pilot sites including the following: improved sense of ownership and responsibility; increased understanding of community; improved relationships with responsible body; helped resolving conflicts; promoted forest regeneration; helped to reduce poverty; improved quality of life for women; improved equity in access to forest resources; empowered communities to share authority and make decisions; increased employment and new skills; and increased forest revenues and improved revenue sharing. One of the key reasons advanced for using a CFM arrangement is the desire to overcome conflicts with neighbouring communities.

The guidelines outline nine basic steps for concluding a CFM arrangement as follows: initiating the process; preparation of an application for CFM; official meeting between applicant and responsible body; participatory situation analysis; negotiating and drafting a Collaborative Forest Management Plan; establishment and registration of a community institution; negotiating and drafting the CFM agreement and plan; final consultative meeting between applicant and responsible body; review, finalize, sign and launch the CFM Plan and CFM Agreement; and implementation of the CFM Agreement and Plan.

5.2 Guidelines for Mainstreaming Climate Change Adaptation and Mitigation in Agricultural Sector Policies and Plans (2018)

The objective of the guidelines is to provide practical, step-by-step guidance for all stakeholders in agriculture sector on how to mainstream climate change adaptation and mitigation in their planning and decision-making processes. The guidelines are consistent with the National Guidelines for Climate Change Mainstreaming as well as other government development planning frameworks and protocols developed under the UNFCCC.

5.3 Guidelines for the Registration, Declaration and Management of Community Forests (2015)

The aim and scope of the guidelines is to promote regulation of access to the community forests through setting up a community institution for equitable governance, registration and planning for sustainable management of the community forests. The guidelines are intended to be used by various stakeholders including, local government personnel (at district, sub-county, parish and village levels); Civil Society Organizations (CSOs); community-based workers; national level government and civil society stakeholders; private sector partners and stakeholders; and leading community members.

a.2 Consistency with regional and international commitments on climate; contribution to national climate policy objectives, including those of mitigation and adaptation strategies.

What regional commitments has Uganda made related to climate?

1. The East African Climate Change Policy (2010)
2. East African Community Climate Change Strategy (2011)
3. East African Community Climate Change Master Plan (2011-2031)
4. The Lake Victoria Basin Climate Change Adaptation Strategy and Action Plan (2018-2023)
5. Treaty for the Establishment of the East African Community (1999)
6. East African Community Protocol on Environment and Natural Resources (2006)
7. Agriculture and Rural Development Strategy for the East African Community (2005-2030)
8. East African Community Vision 2050
9. IGAD Environment and Natural Resources Strategy (2007)
10. NEPAD Action Plan of the Environment Initiative (2003)

The East African Climate Change Policy (2010)

Section 3.2 calls upon Partner States to exploit emerging environmental markets such as REDD+ through the design of favourable policy instruments.

East African Community Climate Change Strategy (2011)

The aim of the strategy is to guide the implementation of the EAC Climate Change Policy. The Strategy provides a short to medium term framework for implementing elaborate and concrete climate change adaptation and mitigation programmes and projects. The strategy provides for the formulation of a regional Climate Change Master Plan, which will serve as regional blueprint to guide regional climate change response measures in the long term.

East African Community Climate Change Master Plan (2011-2031)

The overall strategy for the master plan is to “support capacity building on carbon financing mechanisms in order to take advantage of the existing global funding mechanisms”. The specific strategic intervention for REDD+ is to develop capacity for REDD+ and other related facilities/mechanisms.

The Lake Victoria Basin Climate Change Adaptation Strategy and Action Plan (2018-2023)

The strategy identifies REDD+ as one of the areas that require capacity building through various actions such as conducting education and awareness campaigns on reducing deforestation in the Lake Victoria basin through improved governance, local socio-economic development, and sustainable management of forest resources and wooded areas.

Treaty for the Establishment of the East African Community (1999)

Uganda is a party to this regional treaty. Article 111 provides for environmental issues and natural resources. Article 111 (2) (c) requires States to ensure sustainable utilisation of natural resources such as lakes, wetlands, forests and other aquatic and terrestrial ecosystems. Article 114 (2) (a) sets out actions that States shall take to ensure conservation and management of forests including the adoption of common policies for the development, conservation and management of natural forests, commercial plantations and natural reserves; and joint utilisation of forestry training and research facilities.

East African Community Protocol on Environment and Natural Resources (2006)

Uganda is a party to this Protocol and Article 24 provides that States shall develop and harmonize their laws, policies and strategies for mitigating the effects of greenhouse gas emissions and the manner and procedures for benefiting from climate change adaptation and mitigation activities and strategies. It is further provided that States shall promote the development and implementation of education and training programmes, including strengthening of national human and institutional capacities on climate change; and developing strategies for the transfer, acquisition and adaptation of relevant technology to alleviate the pressure on fragile ecosystems and natural resources and contributing to mitigation of climate change.

Article 9 of the Protocol provides that Partner States shall develop mechanisms to ensure sustainable utilization of transboundary ecosystems and jointly develop and adopt harmonized common policies and strategies for the sustainable management of transboundary natural resources.

Article 11(a) of the Protocol provides that Partner States shall co-operate in all activities relating to development, conservation, sustainable management and utilisation of all types of forests, trees, and trade in forest products throughout the community.

Agriculture and Rural Development Strategy for the East African Community (2005-2030)

The strategy sets out a framework for improvement of rural life over a period of 25 years through increased productivity and improved food security, and through provision of an enabling environment for trade and social services. The strategy notes that the natural resources base, including forests is being depleted, and the livelihood of the rural population is under threat. The strategy notes that inadequate energy supply is aggravating the depletion of forests as the rural population relies heavily on wood fuel. Section 5 identifies key interventions for addressing the constraints, including, strengthening conservation and establishment of forests as well as accelerating rural development and the development of alternative sources of energy as means of reducing dependence on wood and fossil fuels.

East African Community Vision 2050

EAC Vision 2050 sets out the targets of the Partner States to be achieved by 2050. Under Section 3.1.2, the vision aims to achieve a target of '100% access to modern energy services with more than 50% supplied from renewable and clean energy sources'. Section 3.4 of the vision calls for the 'sustainable utilisation of natural resources, environment management and conservation with enhanced value addition.' Partner States are called upon to pursue the goal of a green economy in the context of sustainable development and poverty reduction. Section 3.4.2 of the vision provides that Partner States will take steps to reduce greenhouse gases while emphasising adaptation efforts. The vision calls for the implementation of the UNFCCC, the post-2020 climate change

regime, establishment of the EAC Climate Change Fund as well as enabling access to the Green Climate Fund and other international climate finance mechanisms.

IGAD Environment and Natural Resources Strategy (2007)

The overall goal of the strategy is to assist and complement the efforts of the member states in environment and natural resources management. This will be achieved through harmonization of compatible environmental governance systems; provision of reliable, timely and readily available environment and natural resources data and information; capacity building for environment and natural resources management; and research into and adoption of new, appropriate and affordable technologies. Section 3 of the strategy outlines the guiding principles, strategic objectives and outcomes while Section 4.3 calls upon the secretariat 'to assist member states to generate financial resources through the carbon trade value of the region's forests.'

NEPAD Action Plan of the Environment Initiative (2003)

The overall objective of the plan is to complement the relevant African processes with a view to improving environmental conditions in Africa in order to contribute to the achievement of economic growth and poverty eradication. Section B (5), paragraph 102 outlines programme areas and activities, including combating climate change, and calls upon African countries to promote the sustainable management of sinks and reservoirs of greenhouse gases; and renewable energy initiatives and strategies.

What are the relevant international commitments on climate for Uganda?

1. United Nations Framework Convention on Climate Change (UNFCCC) (1992)
2. Kyoto Protocol (1997)
3. Paris Agreement (2015)
4. Decision 1/CP.16 The Cancun Agreements: Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention
5. Warsaw Framework for REDD-plus
6. United Nations Declaration on the Rights of Indigenous Peoples (2007)
7. United Nations Convention on Biological Diversity (1992)
8. United Nations Convention to Combat Desertification (1994)
9. Indigenous and Tribal Peoples Convention – ILO (1989)

United Nations Framework Convention on Climate Change (UNFCCC) (1992)

Article 2 of the UNFCCC provides that the ultimate objective of this Convention is to achieve stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system. *Article 4* of the UNFCCC sets out a number of commitments for all parties (taking into account their common but differentiated responsibilities and their specific national and regional development priorities, objectives and circumstances) including developing national inventories of anthropogenic emissions by sources and removals by sinks of all GHGs; and promoting the conservation and enhancement of sinks and reservoirs of all GHGs including biomass and forests.

Kyoto Protocol (1997)

The Kyoto Protocol is an international agreement linked to the United Nations Framework Convention on Climate Change (UNFCCC). The Kyoto Protocol commits its Parties by setting internationally binding emission reduction targets. The Kyoto Protocol places a heavier burden on developed nations under the principle of "common but differentiated responsibilities."

The Kyoto Protocol was adopted in Kyoto, Japan, on 11 December 1997 and entered into force on 16 February 2005. Its first commitment period started in 2008 and ended in 2012. In December 2012, parties adopted the Doha Amendment to the Kyoto Protocol which sets out new

commitments for developed countries in a second commitment period from 1 January 2013 to 31 December 2020. The Doha Amendment to the Kyoto Protocol is yet to come into force.

Article 12 of the Kyoto Protocol provides for the Clean Development Mechanism, a mechanism whereby projects that reduce greenhouse gases can be implemented in developing countries, and the carbon credits generated in those projects are then used to meet the quantified emission reduction commitments of developed countries.

Paris Agreement (2015)

In December 2015 during 21st Conference of Parties in Paris, Parties to the UNFCCC reached a historic agreement to combat climate change and to accelerate and intensify the actions and investments needed for a sustainable low carbon future. Uganda is a party to the Paris Agreement.

The Paris Agreement's central aim is to strengthen the global response to the threat of climate change by keeping a global temperature rise this century well below 2 degrees Celsius above pre-industrial levels and to pursue efforts to limit the temperature increase even further to 1.5 degrees Celsius.

The Paris Agreement requires all Parties to put forward their best efforts to through "nationally determined contributions" (NDCs) and to strengthen these efforts in the years ahead. There will also be a global stocktake every 5 years to assess the collective progress towards achieving the purpose of the agreement and to inform further individual actions by Parties.

Article 5(1) of the Paris Agreement provides that 'Parties should take action to conserve and enhance sinks and reservoirs of greenhouse gases including forests.

Article 5(2) of the Paris Agreement provides that Parties are encouraged to take action to implement and support, including through results-based payments, the existing framework as set out in related guidance and decisions already agreed under the Convention for: policy approaches and positive incentives for activities relating to reducing emissions from deforestation and forest degradation, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries; and alternative policy approaches, such as joint mitigation and adaptation approaches for the integral and sustainable management of forests, while reaffirming the importance of incentivizing, as appropriate, non-carbon benefits associated with such approaches.'

Decision 1/CP.16 The Cancun Agreements: Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention

Decision 1/CP.16 sets out the policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries.

Paragraph 68 of Decision 1/CP.16 encourages all Parties to find effective ways to reduce the human pressure on forests that results in greenhouse gas emissions, including actions to address drivers of deforestation.

Paragraph 70 of Decision 1/CP.16 encourages developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities, in accordance with their respective capabilities and national circumstances:

- Reducing emissions from deforestation;
- Reducing emissions from forest degradation;
- Conservation of forest carbon stocks;
- Sustainable management of forests; and
- Enhancement of forest carbon stocks.

Under *Paragraph 71* of Decision 1/CP.16, parties that wish to implement REDD+ activities are requested to develop the following elements:

- A national strategy or action plan;
- A national forest reference emission level and/or forest reference level;
- A robust and transparent national forest monitoring system for the monitoring and reporting of the activities; and
- A system for providing information on how REDD+ safeguards are being addressed and respected.

Under *Paragraph 72* when developing and implementing their national strategies or action plans, parties are requested to address the drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and REDD+ safeguards.

Appendix I to Decision 1/CP.16 provides for guidance and safeguards for policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries.

Paragraph 2 of Appendix I to Decision 1/CP.16 outlines the **safeguards ('the Cancun Safeguards')** that all parties should promote and support while under REDD+ activities:

- That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;
- Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;
- Respect for the knowledge and rights of indigenous peoples and members of local communities consistent with the United Nations Declaration on the Rights of Indigenous Peoples, 2007;
- The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities;
- That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the REDD+ activities are not used for the conversion of natural;
- Actions to address the risks of reversals; and
- Actions to reduce displacement of emissions.

Warsaw Framework for REDD-plus

The 19th Conference of Parties held in November 2013 in Warsaw, Poland, adopted the 7 decisions of the Warsaw Framework for REDD-plus. *Decision 12/CP.19* addresses the timing and the frequency of presentations of the summary of information on how all the Cancun safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected. Among others, *Decision 12/CP.19* addresses the following issues:

- Parties should provide the summary of information on how all of the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected throughout the implementation of REDD+ activities on a voluntary basis, via the REDD Web Platform;
- Developing country Parties should start providing the summary of information after the start of the implementation of REDD+ activities; and
- That the frequency for subsequent presentations of the summary of information should be consistent with the provisions for submissions of national communications and, on a voluntary basis, via the REDD Web Platform.

Decision 10/CP.19 addresses coordination of support for the implementation of activities in relation to mitigation actions in the forest sector by developing countries, including institutional arrangements. Among other issues, the following issues are addressed by the COP decision:

- Parties should designate a national entity or focal point to serve as liaison with the secretariat and bodies under the Convention, on coordination of support, and may also be nominated to receive and obtain results-based payments;

- National entities/focal points, Parties and relevant entities financing REDD-plus are encouraged to meet, on a voluntary basis, to discuss the needs and functions identified to address issues relating to coordination of support.

Decision 9/CP.19 addresses the work programme on results-based finance to progress the full implementation of REDD+ activities. Among others, the COP decision addresses the following issues:

- Results-based finance may come from a wide variety of sources, public and private, bilateral and multilateral, including alternative sources;
- Financing entities, including the Green Climate Fund are encouraged to play a key role, to channel adequate and predictable results-based finance in a fair and balanced manner, and to work with a view to increasing the number of countries that are in a position to obtain and receive payments for results-based actions;
- An information hub on the REDD Web Platform, is established to publish information on the results and corresponding results-based payments; and
- The importance of incentivizing non-carbon benefits for the long-term sustainability of the implementation of REDD+ activities is recognised.

United Nations Declaration on the Rights of Indigenous Peoples (2007)

Article 8(2) provides that States shall provide effective mechanisms for the prevention of any action which has the aim or effect of dispossessing indigenous peoples of their lands, territories or resources.

Article 10 provides that indigenous peoples shall not be forcibly removed from their lands or territories. It provides that no relocation shall take place without the free, prior and informed consent of the indigenous peoples concerned and after agreement on just and fair compensation and, where possible, with the option of return.

Article 18 provides that indigenous peoples have the right to participate in decision-making in matters which would affect their rights, through representatives chosen by themselves in accordance with their own procedures, as well as to maintain and develop their own indigenous decision-making institutions.

Article 19 provides that States shall consult and cooperate in good faith with the indigenous peoples concerned through their own representative institutions in order to obtain their free, prior and informed consent before adopting and implementing legislative or administrative measures that may affect them.

Article 24 provides that indigenous peoples have the right to their traditional medicines and to maintain their health practices, including the conservation of their vital medicinal plants, animals and minerals.

Article 25 provides that indigenous peoples have the right to maintain and strengthen their distinctive spiritual relationship with their traditionally owned or otherwise occupied and used lands, territories, waters and coastal seas and other resources and to uphold their responsibilities to future generations in this regard.

Article 26 provides that indigenous peoples have the right to the lands, territories and resources which they have traditionally owned, occupied or otherwise used or acquired. Indigenous peoples have the right to own, use, develop and control the lands, territories and resources that they possess by reason of traditional ownership or other traditional occupation or use, as well as those which they have otherwise acquired. States are required to give legal recognition and protection to these lands, territories and resources. Such recognition shall be conducted with due respect to the customs, traditions and land tenure systems of the indigenous peoples concerned.

Article 27 requires States to establish and implement, in conjunction with indigenous peoples concerned, a fair, independent, impartial, open and transparent process, giving due recognition to

indigenous peoples' laws, traditions, customs and land tenure systems, to recognize and adjudicate the rights of indigenous peoples pertaining to their lands, territories and resources, including those which were traditionally owned or otherwise occupied or used. Indigenous peoples shall have the right to participate in this process.

Article 34 provides that indigenous peoples have the right to promote, develop and maintain their institutional structures and their distinctive customs, spirituality, traditions, procedures, practices and, in the cases where they exist, juridical systems or customs, in accordance with international human rights standards.

Article 40 provides that indigenous peoples have the right to access to and prompt decision through just and fair procedures for the resolution of conflicts and disputes with States or other parties, as well as to effective remedies for all infringements of their individual and collective rights. Such a decision shall give due consideration to the customs, traditions, rules and legal systems of the indigenous peoples concerned and international human rights.

What PLRs provide for the implementation of these international conventions and agreements?

Under Objective Principle Number XXVIII of the National Objectives and Directive Principles of State Policy of the *Constitution of Uganda (1995)*, Uganda is obliged to respect international law and treaty obligations. Under *Article 123* of the Constitution, the President may make treaties, conventions, agreements or other arrangements between Uganda and any other country or between Uganda and any international organisation or body, in respect of any matter; and Parliament shall make laws to govern ratification of treaties, conventions, agreements or other arrangements made by the State.

International legal instruments do not automatically become enforceable in Uganda just because they have been ratified by the State (Mbazzira Christopher, 2009). International legal instruments have to go through a process of domestication (made part of Uganda's laws) in accordance with the applicable laws in order to become effective and enforceable in Uganda (Mbazzira Christopher, 2009).

Section 4 of the **National Climate Change Bill (2019)** provides that the UNFCCC, the Kyoto Protocol, and the Paris Agreement shall have the force of law in Uganda.

Section 150(2) of the **National Environment Act (2019)** provides that where Uganda is a party to an international treaty, convention or agreement concerning the management of the environment, the Minister shall, with the approval of Cabinet, and in consultation with the Authority and relevant lead agencies, initiate legislative proposals for purposes of giving effect to such treaty, convention or agreement in Uganda or for enabling Uganda to perform her obligations; or identify other appropriate measures necessary for the national implementation of such treaty, convention or agreement.

Section 151(1) of the **National Environment Act (2019)** provides that the Minister shall create mechanisms for close collaboration with the regional and international community to contribute towards a peaceful, healthier and better global environment for the present and future generations.

Section 151(2) of the **National Environment Act (2019)** provides that the Minister may, collaborate with the Ministry responsible for foreign affairs, sector ministries and agencies, to initiate, coordinate and implement transboundary environmental management programmes with other countries.

Section 151(3) of the **National Environment Act (2019)** provides that the Minister may, in liaison with the Authority and relevant lead agencies, establish a national focal point for the coordinated implementation of multilateral environmental agreements to enable effective preparation for negotiations, reporting, feedback and national implementation.

What PLR in Uganda clarify the national climate policy objectives?

The National Climate Change Policy (2015)

Section 3.1 of the policy provides that “The goal of the policy is to ensure a harmonised and coordinated approach towards a climate- resilient and low-carbon development path for sustainable development in Uganda.”

Section 3.2 of the policy provides that “The overarching objective of the policy is to ensure that all stakeholders address climate change impacts and their causes through appropriate measures, while promoting sustainable development and a green economy.”

Section 3.3 of the policy sets out six specific objectives – “Identify and promote common policy priorities to address climate change in Uganda; Identify and promote adaptation policy responses for Uganda; Identify and promote mitigation policy responses for Uganda; Identify and promote monitoring, detection, attribution and prediction policy responses for Uganda; Support the integration of climate change issues into planning, decision making and investments in all sectors and trans-sectoral themes through appropriate institutional arrangements and legal framework, and; Facilitate the mobilisation of financial resources to address climate change in Uganda.”

What are the objectives – in terms of mitigation and adaptation?

National Climate Change Policy (2015)

Section 4 of the policy provides that the policy shall address the priority concerns of adaptation; mitigation; and research and observation (including monitoring, detection, attribution and prediction). The policy “emphasizes climate change adaptation as the top priority for Uganda, while mitigation efforts are embraced by the policy as secondary, given Uganda’s stage in the development process and its current low levels of emissions.”

Section 4.2 of the policy provides for adaptation to climate change. For each priority sector, the policy describes the sectoral context and challenges; the policy response; and the specific strategies for tackling the identified sectoral policy priorities. The sectors covered are agriculture and livestock; water; fisheries and aquaculture; transport and works; forestry; wetlands; biodiversity and ecosystem services; health; energy; wildlife and tourism; human settlements and social infrastructure; and disaster risk management. The policy also describes adaptation strategies for the cross-cutting issue of vulnerable groups.

a.3 Coordination among agencies and implementing bodies for REDD+, national forest programmes and national policy(ies) that enact the relevant international conventions and agreements.

What agencies and implementing bodies are responsible for REDD+, national forest programmes and the international conventions and agreements?

Ministry of Water and Environment

The Ministry of Water and Environment is responsible for forestry in the country. The Ministry undertakes its primary functions through the Forest Sector Support Department (FSSD). The Ministry is responsible for the overall supervision of the forestry sector, particularly with respect to the following³:

- Formulation and oversight of appropriate policies, standards and legislation for the forest sector;
- Co-ordination and supervision of technical support and training to local government;

³ National Forest Plan (2011/12 – 2021/22)

- Inspection and monitoring of local government and the NFA performance in forest sector development;
- Co-ordination of the National Forest Plan and cross-sectoral linkages;
- Mobilisation of funds and other resources for the forest sector; and
- Promotion, public information and advocacy for the forest sector.

The National Forestry Authority (NFA)

NFA is established by the National Forestry and Tree Planting Act, 2003. *Section 54(1)* of the Act sets the functions of NFA as follows:

- to develop and manage all central forest reserves;
- to identify and recommend to the Minister, areas for declaration as central forest reserves, and the amendment of those declarations;
- to promote innovative approaches for local community participation in the management of central forest reserves;
- to prepare and implement management plans for central forest reserves and to prepare reports on the state of central forest reserves and such other reports as the Minister may require;
- to establish procedures for the sustainable utilisation of Uganda's forest resources by and for the benefit of the people of Uganda;
- to co-operate and co-ordinate with the National Environment Management Authority and other lead agencies in the management of Uganda's forest resources;
- in conjunction with other regulatory authorities, to control and monitor industrial and mining developments in central forest reserves;
- in consultation with other lead agencies, to develop, or control the development of tourist facilities in central forest reserves;
- to enter into an agreement or other arrangement with any person, for the provision of forestry services, subject to such charges as may be agreed upon;
- to carry out or commission research for the purposes of conservation, development and utilisation of forests, and for the conservation of biological diversity and genetic resources; and
- to ensure the training of forestry officers and other public officers in the development and sustainable management of forests.

Section 54(2) of the Act provides that NFA may, perform any of the following additional functions in accordance with a **contract** entered into for the purpose, **and subject to such charges** as may be agreed upon:

- inspect, monitor and co-ordinate local governments in the management of their respective local forest reserves, and produce reports on the state of local forest reserves as the Minister may require;
- provide technical support and guidance to District Forest Officers in their delivery of forestry advisory services relating to community forests, private forests, the promotion of tree planting, growing and forestry awareness;
- supervise and train local governments in the implementation of the provisions of this Act relating to the planting, protection and conservation of trees and forests;
- advise on innovative approaches for local community participation in the management of local forest reserves;
- advise on, and support the preparation of management plans for local forest reserves, private forests and other forests on private land;
- in conjunction with other lead agencies, monitor and guide the development of tourist facilities in local forest reserves, private forests and other forests on private land; and
- liaise with NEMA in the protection of Uganda's forest resources, and the evaluation of environmental impact assessments.

The National Environment Management Authority (NEMA)

NEMA is established by the National Environment Act (2019). NEMA's key responsibilities in regard to the forestry sector include the following⁴:

- Control of forestry activities in accordance with environmental legislation;
- Provide environmental planning framework through the National Environment Policy and National Environment Action Plan (NEAP);
- Support local governments in the development and implementation of the District Environment Action Plans (DEAPs); and implementation of forestry components of DEAPs;
- Provide guidance and advice on forestry EIAs.

Ministry of Local Government

The Ministry of Local Government's key responsibilities in regard to the forestry sector include the following⁵:

- Provide decentralised services through local government structures;
- Ensure coherence of forestry policy and practice;
- Provide support for District Forestry Services; and
- Provide performance monitoring of local governments

Ministry of Energy and Mineral Development

The Ministry of Energy and Mineral Development's key responsibilities in regard to the forestry sector include the following⁶:

- Formulate policies, laws, regulations, standards and guidelines for sustainable production and provision of energy from various sources;
- Support development of biomass energy conservation technologies;
- Promotion of energy substitution (solar, hydro power, petroleum, etc.); and
- Facilitate access to environmental related funding mechanisms (global funds) that support the energy sector, e.g. CDM, Voluntary Markets, PES etc.

Ministry of Justice and Constitutional Affairs

The Ministry plays an important role in the forestry sector. The Ministry provides support in the development forestry related legislation and regulations.

Ministry of Finance, Planning and Economic Development

The Ministry of Finance, Planning and Economic Development's key responsibilities in regard to the forestry sector include the following:

- Provision of policies, standards and guidelines and information that are needed for planning
- Sector budget allocations
- ensure coherence of forestry policy and practices
- Oversee the NFA performance contract
- mobilise funds and other resources
- Provide information on green accounting.
- Macro-economic stability through ensuring sustainable natural resources through extraction levies and licenses.
- Implementation of social and environment assessments to facilitate planning and economic stability.
- Provision of incentives and disincentives (Economic Instruments) for forestry development

Ministry of Tourism, Trade and Industry

⁴ Ibid

⁵ Ibid

⁶ Ibid

The Ministry of Tourism, Trade and Industry's key responsibilities in regard to the forestry sector include the following⁷:

- Promotion of international markets that focus on the environmentally safe products (e.g. organic coffee, vanilla, pineapples, honey) and are willing to buy at a premium prices.
- Domestication of the Multi-lateral Environmental Agreements (MEAs) is important in the control of trans-boundary trade, e.g. under CITES.
- Supply of the capital base (natural resource and biodiversity) on which the industry is based.
- Regulations, guidelines, standards and provisions for effective management of biodiversity and ecosystem management for effective survival of tourism industry.

Ministry of Agriculture, Animal Industry and Fisheries

The key responsibilities of the Ministry of Agriculture, Animal Industry and Fisheries in regard to the forestry sector include the following⁸:

- Agriculture and forestry interface
- Delivery of advisory services – to mainstream forestry in NAADS
- Enabling policies, laws and regulations and standards provide guidance for good agricultural practices that enhance sustainable land management
- Promotion of agro-forestry practices on-farm
- contribute forestry advice in the implementation of UNCCD

Ministry of Education and Sports

The key responsibilities of the Ministry of Education and Sports in regard to the forestry sector include the following⁹:

- Integration of forestry management in formal education for sustainable development through development of curriculum;
- Demonstration of forestry management in schools for good practices;
- Promotion of forestry education in schools, colleges and vocational training institutes;
- Promotion of forestry-focussed school programmes and initiatives; and
- Promotion of tree growing on school/college land (woodlots, aesthetic, windbreaks, roadside planting, etc).

Ministry of Gender, Labour and Community Development

The key responsibilities of the Ministry of Gender, Labour and Community Development in regard to the forestry sector include the following:

- Formulation of enabling policies, laws, regulations and standards related to labour and gender concerns; and
- Community mobilisation.

Ministry of Internal Affairs (Police, Prisons)

The key responsibilities of the Ministry of Internal Affairs (Police, Prisons) in regard to the forestry sector include the following¹⁰:

- Build capacity for enforcement of environmental laws and regulations both within Justice Law and Order Sector and within civil society for community management of ecosystems;
- Enforcement of forest laws; and
- Promotion of tree growing initiatives on institutional land (woodlots, aesthetic, windbreak, roadside plating, etc).

⁷ Ibid

⁸ Ibid

⁹ Ibid

¹⁰ Ibid

Uganda Wildlife Authority (UWA)

According to the National Forest Plan (2011/12 – 2021/22), the following are key responsibilities of UWA in regard to the forestry sector:

- Management of the forest resources in national parks, wildlife reserves and wildlife sanctuaries (about 50% of the gazetted forests)
- Joint-management with NFA of some central forest reserves under this management status

District Local Governments

According to the National Forest Plan (2011/12 – 2021/22), the following are key responsibilities of District Local Governments in regard to the forestry sector:

- Establish District Forestry Services;
- Strengthen forestry in production and environment committees and District Development Plans;
- Implement international and national policies on forests;
- Permits, licence fees and tax collection;
- Mobilise funds for forestry development;
- Develop and enforce bye-laws;
- Support and quality control of forestry extension, brokering between farmers and service providers, providing market information;
- Manage LFRs in partnership with communities and private investors; and
- Land administration, surveying, approval of Community Forests

Civil society organizations

The key responsibilities of the Civil society organizations in regard to the forestry sector include the following¹¹:

- Advocacy for increased understanding of the role of forests in national and local development;
- Promotion of government accountability with regard to use of resources and delivery of services;
- Participating in partnership arrangements for management and utilisation of forests;
- Public education, information dissemination;
- Training of local communities, private forest owners and resource managers;
- Action research;
- Advisory service delivery; and
- Mobilise local communities to participate in the development process

What are structures / processes for coordination between these agencies and implementing bodies?

A number of bodies are in place to ensure coordination between agencies and implementing bodies.

The Department of Climate Change in the Ministry of Water and Environment is responsible for coordinating, monitoring and evaluating the programmes and action of the Government on climate change.

The Policy Committee on Environment (PCE) established by the National Environment Act (2019) is responsible for guiding and advice on climate policy implementation. It ensures information flow on resource allocation for the implementation of the policy. The Committee which is chaired by the Prime Minister brings together Ministers from the various departments at the national level.

¹¹ Ibid

The National Climate Change Advisory Committee ensures working level coordination and provides climate change technical input to the Policy Committee on Environment. The committee is chaired by the Minister for Water and Environment and brings together technical representatives from the various government departments at the national level, along with representatives from private-sector associations, civil society, academia and district authorities.

a.4 Consistency with the achievement of the Sustainable Development Goals; contribution to national poverty reduction strategies.

What PLRs clarify national poverty reduction and sustainable development strategies and goals?

National Development Plan (2015/16 – 2020/21)

Section 3.3 of the plan describes strategies and goals for achieving national poverty reduction and sustainable development.

Under section 3.3.1 government is committed to improving electricity generation and supply to support industrialization. This is in line with SDG7 which obligates member states to ensure access to affordable, reliable, sustainable, and modern energy for all.

Section 3.3.2 of the plan provides for the development of adequate transport infrastructure including the development of road connectivity and operations; an efficient railway system; a safe, secure, and efficient air transport system; and a safe, secure, and efficient maritime transport system. This is in line with SDG9 which obligates member states to “build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation” particularly target 1 under SDG9 which requires member states to “develop quality, reliable, sustainable and resilient infrastructure, including regional and trans-border infrastructure, to support economic development and human well-being, with a focus on affordable and equitable access for all”.

Under section 3.3.4 of the plan, government is committed to enhancing inclusive growth and reducing inequality. This is in line with SDG10 which emphasizes the importance of reducing inequality within and among countries. *Objective Principle Number XII of the National Objectives and Directive Principles of State Policy* of the Constitution of Uganda mandates the State to take necessary measures to bring about balanced development of the different areas of Uganda and between the rural and urban areas as well to take special measures in favour of the development of the least developed areas.

Under section 3.3.5 of the plan, government is committed to reducing unemployment through quality education and skills development. This is in line with SDG8 which places special emphasis on the need to reduce unemployment, especially youth unemployment.

Under section 3.3.7 of the plan, government is committed to speeding up and completing land reform consistent with SDG1 which countries to “End poverty in all its forms everywhere” particularly Target 1.3 “by 2030 ensure that all men and women, particularly the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership, and control over land and other forms of property, inheritance, natural resources...”

Under section 3.3.8 of the plan, government is committed to ending hunger, achieving food security and improved nutrition consistent with SDG2.

Under section 3.3.11 of the plan, government is committed to achieving gender equality and empowering all women and girls in line with SDG5.

Vision 2040

The vision describes key development strategies for achieving sustainable development including, improvement of government service delivery system; front-load investments in infrastructure; accelerating industrialization; land reforms; pursuing a planned urbanization policy; and accelerating government reforms in the education system.

What are Uganda's sustainable development goals/objectives?

Section 4.3 of the National Development Plan (2015/16 – 2020/21) describes Uganda's sustainable development goals and objectives. Uganda's overall development goal is "To achieve middle income status by 2020 through strengthening the country's competitiveness for sustainable wealth creation, employment and inclusive growth". Specific development objectives include, increasing sustainable production, productivity and value addition in key growth opportunities; increasing the stock and quality of strategic infrastructure to accelerate the country's competitiveness; enhancing human capital development; strengthening mechanisms for quality, and effective and efficient service delivery. Under section 4.4 of the National Development Plan (2015/16 – 2020/21), specific strategies for achieving Uganda's development objectives are described.

a.5 Consistency with international commitments on the environment; contribution to national biodiversity conservation policies (including National Biodiversity Strategies and Action Plans)

What international commitments has Uganda made on the environment?

United Nations Convention on Biological Diversity (1992)

Article 1 sets out the main objectives of the Convention, which include: the conservation of biological diversity; the sustainable use of its components; and the fair and equitable sharing of the benefits arising out of the utilization of genetic resources.

Article 6 sets out the general conservation measures to be implemented by the Parties, including the following: developing national strategies, plans or programmes for the conservation and sustainable use of biological diversity or adapt existing strategies, plans or programmes; integration of the conservation and sustainable use of biological diversity into relevant sectoral or cross-sectoral plans, programmes and policies.

Article 11 requires each contracting Party to adopt economically and socially sound measures that act as incentives for the conservation and sustainable use of components of biological diversity.

In line with its international obligations, Uganda adopted the National Biodiversity Strategy and Action Plan in 2002.

United Nations Convention to Combat Desertification (1994)

Article 2(1) sets out the objective of this Convention which is '...to combat desertification and mitigate the effects of drought.

Article 4(2) sets the general obligations of the parties including adopting an integrated approach addressing the physical, biological and socio-economic aspects of the processes of desertification and drought; integrating strategies for poverty eradication into efforts to combat desertification and mitigate the effects of drought; promoting cooperation among affected country Parties in the fields of environmental protection and the conservation of land and water resources, as they relate to desertification and drought; and mobilizing financial resources to combat desertification and mitigating the effects of drought.

Article 8 describes the content of national action programmes to ensure integrated and sustainable management of natural resources, including: agricultural land and pastoral land; vegetation cover and wildlife; forests; water resources; and biological diversity.

What PLR in Uganda clarify the national biodiversity and environmental objectives?

Constitution of Uganda (1995)

Objective Principle Number XXVII of the National Objectives and Directive Principles of State Policy of Uganda's Constitution obligates the state to promote the rational use of natural resources so as to safeguard and protect the biodiversity of Uganda.

National Biodiversity Strategy and Action Plan (2002)

In order to meet its international obligations, Uganda prepared this National Biodiversity Strategy and Action Plan (NBSAP) to provide a framework to guide the setting of conservation priorities, channelling of investments and building of the necessary capacity for the conservation and sustainable use of biodiversity in the country.

The overall vision of the Strategy and Action Plan is 'A rich biodiversity benefiting present and future generations for national development' while its goal is 'To enhance biodiversity conservation, sustainable utilisation and equitable sharing of its benefits at all levels'. In order to achieve this goal, five strategic objectives were identified:

- To develop and strengthen co-ordination, measures and frameworks for biodiversity management;
- To facilitate research, information management and information exchange on biodiversity;
- To reduce and manage negative impacts on biodiversity;
- To promote the sustainable use and a fair sharing of costs and benefits of biodiversity; and
- To enhance awareness on biodiversity issues among the various stakeholders.

What are the objectives?

Section 3.2.3 of the **National Biodiversity Strategy and Action Plan (2002)** describes a number biodiversity objectives including, developing and strengthening co-ordination, measures and frameworks for biodiversity management; facilitating research, information management and information exchange on biodiversity; reducing and managing negative impacts on biodiversity; promoting the sustainable use and equitable sharing of costs and benefits of biodiversity; and enhancing awareness on biodiversity issues among the various stakeholders.

a.6 Consistency with the State's human rights obligations under international law, including the core international human rights treaties and ILO 169, where applicable.

What international commitments has Uganda made on human rights?

Universal Declaration of Human Rights (1948)

Uganda is a party to the UDHR. Article 1 provides that all human beings are born free and equal in dignity and rights. Article 3 provides that everyone has the right to life, liberty and security of person. Article 5 provides that no one shall be subjected to torture or to cruel, inhuman or degrading treatment or punishment. Article 17 provides that everyone has the right to own property alone as well as in association with others. Article 19 provides that everyone has the right to freedom of opinion and expression including the right of freedom to hold opinions without interference and to seek, receive and impart information and ideas through any media and regardless of frontiers.

International Covenant on Economic, Social and Cultural Rights (1966)

Article 11(2)(a) provides that states shall take measures to “improve methods of production, conservation and distribution of food by making full use of technical and scientific knowledge, by disseminating knowledge of the principles of nutrition and by developing or reforming agrarian systems in such a way as to achieve the most efficient development and utilization of natural resources”.

International Covenant on Civil and Political Rights (ICCPR) (1966)

Uganda is a party to the ICCPR. Article 1 provides that all peoples have the right of self-determination and a right to freely determine their political status and freely pursue their economic, social and cultural development. All peoples may freely dispose of their natural wealth and resources without prejudice to any obligations arising out of international economic co-operation, based upon the principle of mutual benefit, and international law.

African Charter on Human and Peoples’ Rights (ACHPR) (1981)

Uganda is a party to the ACHPR. Article 21 provides that all peoples shall freely dispose of their wealth and natural resources. States parties to the Charter are obliged to eliminate all forms of foreign economic exploitation particularly that practiced by international monopolies so as to enable their peoples to fully benefit from the advantages derived from their national resources. Article 22 provides “that all peoples shall have the right to their economic, social and cultural development with due regard to their freedom and identity and in the equal enjoyment of the common heritage of mankind.”

While Uganda has not yet ratified the **Indigenous and Tribal Peoples Convention – ILO (1989)**, it is important to recognise its important provisions.

Article 2 provides that Governments shall have the responsibility for developing, with the participation of the peoples concerned, co-ordinated and systematic action to protect the rights of these peoples and to guarantee respect for their integrity. Governments are required to take the following measures:

- ensuring that members of these peoples benefit on an equal footing from the rights and opportunities which national laws and regulations grant to other members of the population;
- promoting the full realisation of the social, economic and cultural rights of these peoples with respect for their social and cultural identity, their customs and traditions and their institutions; and
- assisting the members of the peoples concerned to eliminate socio-economic gaps that may exist between indigenous and other members of the national community, in a manner compatible with their aspirations and ways of life.

Article 6 requires governments whenever consideration is being given to legislative or administrative measures which may affect indigenous peoples to consult them through their representative institutions. Governments are required to establish means by which indigenous peoples can freely participate at all levels of decision-making in elective institutions and administrative and other bodies responsible for policies and programmes which concern them.

Article 8 provides that in applying national laws and regulations to the peoples concerned, due regard shall be had to their customs or customary laws. The peoples shall ‘...have the right to retain their own customs and institutions, where these are not incompatible with fundamental rights defined by the national legal system and with internationally recognised human rights. Procedures shall be established, whenever necessary, to resolve conflicts which may arise in the application of this principle.’

Article 13 provides that governments shall respect the special importance for the cultures and spiritual values of the peoples concerned of their relationship with the lands or territories which they occupy or use.

Article 12 provides that indigenous peoples shall be safeguarded against the abuse of their rights and shall be able to take legal proceedings, either individually or through their representative bodies, for the effective protection of these rights. Measures shall be taken to ensure that members of these peoples can understand and be understood in legal proceedings, where necessary through the provision of interpretation or by other effective means.

What PLR in Uganda clarify the national human rights objectives? What are the objectives?

The Constitution of Uganda (1995)

Chapter four of the Constitution of Uganda provides for the protection and promotion of fundamental and other human rights and freedoms. Article 20(1) provides that fundamental rights and freedoms of the individual are inherent and not granted by the State. Article 20(2) provides that "rights and freedoms of the individual and groups enshrined in this Chapter shall be respected, upheld and promoted by all organs and agencies of Government and by all persons." Article 21 provides for equality and freedom from discrimination. Article 22 provides for protection of right to life. Article 23 provides for protection of personal liberty. Article 24 provides that no person shall be subjected to any form of torture or cruel, inhuman or degrading treatment or punishment. Article 25 provides for protection from slavery, servitude and forced labour. Article 26 provides for protection from deprivation of property. Article 36 provides that minorities have a right to participate in decision-making processes, and their views and interests shall be taken into account in the making of national plans and programmes. Article 39 provides that every Ugandan has a right to a clean and healthy environment.

Objective XIV of the *Constitution of Uganda (1995)* under the National Objectives and Directive Principles of State Policy provides that: "The State shall endeavor to fulfill the fundamental rights of all Ugandans to social justice and economic development. Article 8A of the Constitution makes these directive principles and objectives of state policy binding on the government.

Gaps in PLRs for Cancun safeguard (a)

Gaps in the legal and policy framework:

- The ILO Convention 169 on Indigenous and Tribal Peoples (1989), which contains important provisions on the rights of indigenous peoples and marginalized local communities is yet to be ratified by Uganda.
- The UNFCCC (1992) and the Paris Agreement (2015) are yet to be domesticated (i.e. made part of Uganda's laws). However, the draft National Climate Change Bill provides for the domestication of the UNFCCC and the Paris Agreement.
- Lack of legislation to operationalize the National Climate Change Policy (2015). It noted however, that the National Climate Change Bill provides for the operationalization of the policy.
- The NFTP provides for a limited role of local governments in the management central forest reserves. The law gives the mandate to manage central forest reserves to NFA (which has insufficient management capacity) leaving out the role and participation of district local governments. This has affected the effective management of some central forest reserves given that local governments who would otherwise contribute to the resolution of some of the forest management challenges often decline to do so citing the lack of an enabling law.

Gaps related to Implementation:

- Poor enforcement of existing PLRs (e.g. the Forestry Committees provided for under the National Forestry and Tree Planting Act (2003) ("NFTP") have never been put in place since the coming into force of the law; the Tree Fund provided for under the NFTP has never been established. Some of the structures are not properly facilitated by government to do their work.

- The Environmental Tribunal that could potentially resolve REDD+ related disputes is not yet established.
- While the PLRs provide for the establishment of community forests, in practice not many community forests have been established.

Safeguard (b) - Transparent and effective national forest governance structures, taking into account national legislation and sovereignty

Explanation notes and reference chapters, sections, and pages

b.1 Access to information

What PLRs clarify access to information?

1. Constitution of Uganda (1995)
2. The Right of Access to Information Act (2005)
3. National Forestry and Tree Planting Act (2003) ("NFTPA")
4. The Access to Information Regulations (2011)

What are the requirements in Ugandan PLR on active dissemination of information?

Section 3 provides for purpose of the Act which is among others (a) to promote an efficient, effective, transparent and accountable government; (b) to protect persons disclosing evidence of contravention of the law, maladministration or corruption in government bodies; (c) to promote transparency and accountability in all organs of the State by providing the public with timely, (d) accessible and accurate information; and (e) to empower the public to effectively scrutinize and participate in decisions that affect them.

Section 5(1) of the Right of Access to Information Act (2005) provides that every citizen has a right of access to information and records in the possession of the State except where the release of the information is likely to prejudice the security of the State or interfere with the right to the privacy of any other person.

Section 8 of the Right of Access to Information Act (2005) provides that an information officer (chief executive of a public body) shall once every two years, publish a description of the categories of records of a public body that are automatically available without a person having to request access and how to obtain access to those records.

Under Section 37 of the Right of Access to Information Act (2005), a person dissatisfied with the decision of an information officer can lodge a complaint with the Chief Magistrate. Under Section 38 a person dissatisfied with the decision of the Chief Magistrate can lodge a complaint with the High Court.

Under Section 91(1) of the NFPA, "Every citizen has a right of access to any information relating to the implementation of this Act, submitted to or in the possession of the State, a local council, the Authority or a responsible body."

Under Section 91(3) of the NFTPA, "Freedom of access to information ... does not extend to proprietary information which is treated as confidential."

Regulation 29 of the *Environmental Impact Assessment Regulations (1998)* provide "any project brief, environmental impact review report, environmental impact evaluation report, environmental impact statement, terms of reference, public comments, report of the presiding officer at a public hearing" shall be public documents and any person should be given access to the documents.

What are the requirements in Ugandan PLR on passive disclosure of information?

Article 41(1) of the *Constitution of Uganda (1995)* provides that "Every citizen has a right of access to information in the possession of the State or any other organ or agency of the State except where the release of the information is likely to prejudice the security or sovereignty of the State or interfere with the right to the privacy of any other person."

Article 41(2) of the *Constitution of Uganda (1995)* provides that "Parliament shall make laws prescribing the classes of information ...and the procedure for obtaining access to that information."

Section 11 of the *Right of Access to Information Act (2005)* provides the procedure that an interested person shall use to access the information or records from a public body.

Sections 25 to 33 of the *Right of Access to Information Act (2005)* provide for the exemption of certain public records from being released, including cabinet records and minutes; information that relates to the privacy of the person; commercial information of a third party; confidential information; information that is necessary for the safety of persons and property; information that is important for the protection of law enforcement and legal proceedings; and information that is critical for the defence, security and international relations of the State.

The Access to Information Regulations (2011) provide for further modalities on accessing public records including the form of access to public records; electronic requests; format of the records; the fee to be paid for accessing public records; limitations on accessing public records; consent by a third party; and the statutory forms to be used.

Under Section 91(2) of the NFTP, "A person desiring information ...shall apply to the relevant body ... and shall be granted access to the information on the payment of the prescribed fee..."

b.2 Accountability

What are the requirements in PLRs related to fiscal transparency and oversight in the forest/land use sector?

Objective XXVI of the of the National Objectives and Directive Principles of State Policy of the *Constitution of Uganda (1995)* provides that all public offices shall be held in trust for the people; that all persons placed in positions of leadership and responsibility shall, in their work, be answerable to the people; and that all lawful measures shall be taken to expose, combat and eradicate corruption and abuse or misuse of power by those holding political and other public offices.

Chapter 13 of the *Constitution of Uganda (1995)* establishes the Inspectorate of Government. Article 225 of the Constitution sets out the functions of the Inspectorate of Government which include: to promote and foster strict adherence to the rule of law and principles of natural justice in administration; to eliminate and foster the elimination of corruption, abuse of authority and of public office; to promote fair, efficient and good governance in public offices; to investigate any act, omission, advice, decision or recommendation by a public officer or any other authority taken, made, given or done in exercise of administrative functions. The modalities of work of the Inspectorate of Government are further provided for by the *Inspectorate of Government Act (2002)*.

Section 41 of the National Forestry and Tree Planting Act (2003) ("NFTP")– activities related to the removal of forest produce are subject to a licence to be granted by a responsible body.

Section 42 of the NFTP – the responsible body shall grant licenses through an open and competitive process.

Under Section 44 of the NFTP, trade in forest produce can only be undertaken upon the acquisition of an export licence.

Section 54 of the NFTP vests the day to day management of central forest reserves in the National Forestry Authority (NFA). The Board of Directors established under Section 55 of the NFTP has oversight functions over the work of NFA. Under Section 60 of the NFTP, among other functions, the Board is responsible for reviewing and approving operating plans, budgets, reports and audited financial statements of NFA.

Under Section 71 of the NFTP, the Board, in discharging its duties in relation to NFA, shall "perform its functions in accordance with sound financial and commercial practice..."

Under Section 72 of the NFTP, the Board has power to open and maintain bank accounts; ensure that all money received by or on behalf of NFA is banked as soon as practicable after being received; and ensure that no money is withdrawn from or paid out of any of the bank accounts without the authority of the Board.

Under Section 74 of the NFTP, any funds of NFA not immediately required may be invested in a manner which the Board shall determine.

Under Section 77 of the NFTP, the Executive Director of NFA shall cause to be kept proper books of accounts and records of the transactions.

Under Section 78 of the NFTP, the Auditor General is required to audit NFA's accounts each financial year.

Under Section 79 of the NFTP, "The Board shall, within three months after the end of each financial year, submit to the Minister, a statement of its activities in the preceding financial year, containing such information as the Minister may require."

A number of other laws support fiscal transparency and oversight in the forest/land use sector, and these include:

- **The Anti-Corruption Act (2009):** The Act provides for the effectual prevention of corruption in both the public and the private sector.
- **The Whistle-blowers Protection Act (2010):** The Act provides for the procedures by which individuals in both the private and public sector may in the public interest disclose information that relates to irregular, illegal or corrupt practices; and also provides for the protection against victimization of persons who make such disclosures.
- **The Anti-Money Laundering Act (2013):** The Act provides for the prohibition and prevention of money laundering, the establishment of a Financial Intelligence Authority and a Financial Intelligence Authority Board in order to combat money laundering activities; imposes certain duties on institutions and other persons, businesses and professions who might be used for money laundering purposes; provides for international cooperation in investigations, prosecution and other legal processes of prohibiting and preventing money laundering; and designates money laundering as an extraditable offence.
- **The Leadership Code Act (2002):** The Act provides for a minimum standard of behaviour and conduct for leaders; requires leaders to declare their incomes, assets and liabilities; and puts in place an effective enforcement mechanism.

b.3 Land tenure

What different types of rights over forest land and resources are legally and clearly recognized (Statutory and customary ownership or use rights)

Article 237(3) of the Constitution provides that land shall be owned in accordance with four main land tenure systems – customary; freehold; mailo; and leasehold. Section 2 of the Land Act (Cap 227) reinforces this constitutional provision.

Under Section 29 of the *Land Act (Cap 227)*, certain categories of occupants of land (known as lawful or bonafide occupants) are legally recognized. According to Section 29(1) of the Land Act (Cap 227), a 'lawful occupant' means a person occupying land by virtue of: (a) the repealed Busuulu and Envujjo Law of 1928; Toro Landlord and Tenant Law of 1937; Ankole Landlord and Tenant Law of 1937; (b) a person who entered the land with the consent of the registered owner, and includes a purchaser; or (c) a person who had occupied land as a customary tenant but whose tenancy was not disclosed or compensated for by the registered owner at the time of acquiring the leasehold certificate of title. According Section 29(2) of the *Land Act (Cap 227)*, a 'bonafide occupant' means "a person who before the coming into force of the Constitution—(a) had occupied and utilised or developed any land unchallenged by the registered owner or agent of the registered owner for twelve years or more; or (b) had been settled on land by the Government or an agent of the Government, which may include a local authority."

Section 4 of the NFTPFA recognizes five different categories of forests – central forest reserves; local forest reserves; community forests; private forests; and forests forming part of a wildlife conservation.

Central and local forest reserves are forests held by the central or local government in trust for the people of Uganda.

How are these rights protected?

On the face of it, rights to land or forest ownership are legally enforceable through various for a including the police, local authorities including the local council system and courts, the judicial system and land tribunals. However, in reality land ownership in Uganda is a source of much contestation and conflict often resulting into loss of life and property. There is always conflict between the registered owner of land and occupants, both of which are legally recognized.

b.4 Access to justice, including procedures that can provide effective remedy for infringement of rights, and to resolve disputes (i.e., grievance mechanisms)

What grievance mechanisms exist for infringement of rights and disputes related to forest/land governance?

1. **The local council system including local council courts:** This is established by the *Local Council Courts Act (2006)* at every village, parish, town, division and sub-county level throughout Uganda.
2. **The High Court, Court of Appeal and Supreme Court:** These are established by Sections 3, 9 & 13 of the *Judicature Act (Cap 13)* and have jurisdiction to handle disputes related to forest/land governance.
3. **Magistrates Courts:** These courts are established by the *Magistrates Courts Act (Cap 16)* and have jurisdiction to handle disputes related to the forest/land governance.
4. **District Land Tribunals:** These are established by Section 74(1) of the *Land Act (Cap 227)* and under Section 76 of the *Land Act (Cap 227)* have jurisdiction, to determine disputes relating to the grant, lease, repossession, transfer or acquisition of land by individuals, the commission or other authority with responsibility relating to land; determine any dispute relating to the amount of compensation to be paid for land acquired by government; and make consequential orders relating to cancellation of entries on certificates of title or cancellation of title and vesting of title in cases handled by the lower land tribunals.

5. **Subcounty Land Tribunals and Urban Land Tribunals:** These are established by Section 80(1) & 81(1) of the *Land Act (Cap 227)* and under Section 84(1) of the *Land Act (Cap 227)* have jurisdiction, to determine disputes whose value ranges between UGX 5 million to UGX 250 million.
6. **Center for Arbitration and Dispute Resolution (CADER):** This is established by Section 67(1) of the *Arbitration and Conciliation Act (Cap 4)*. CADER has power to determine forest/land disputes by way of arbitration where parties have agreed to submit to arbitration.
7. **International Center for Arbitration and Mediation in Kampala (ICAMEK):** On the 23rd April 2018, the Minister of Justice and Constitutional Affairs appointed ICAMEK as an appointing authority for arbitrators and conciliators pursuant to powers entrusted to the Minister under Section 2(1)(a) of the *Arbitration and Conciliation Act (Cap 4)*.
8. **Mediators including religious, political and traditional leaders:** These play a major role in the adjudication of disputes related to forest/land governance. Section 89 of the *Land Act (Cap 227)* provides for the role of mediators in handling land disputes.
9. **District Officials:** While there is no law providing for their role, many disputes relating to forest/land are informally handled by district officials such as the Chief Administrative Officer (CAO), the District Forest Officer (DFO), the District Environment Officer (DEO), the District Natural Resources Officer (DNRO) and the District Community Development Officer (DCDO).
10. **The Uganda Police:** Article 212 of the *Constitution of Uganda (1995)* provides for the functions of Uganda Police including, to protect life and property; to preserve law and order; to prevent and detect crime; and to cooperate with the civilian authority and other security organs and with the population generally.
11. **The Environmental Tribunal:** Under Section 179(2)(t) of the *National Environment Act (2019)*, the Minister has power to establish a environmental tribunal that would have jurisdiction to handle disputes related to forest/land.
12. **REDD+ Feedback and Grievance Redress Mechanism (FGRM):** This is a proposed grievance redress mechanism that is essentially a combination of existing mechanisms but with some modification in timelines for the disposal of grievances and the creation of a district FGRM team.

What other mechanisms can provide effective remedy for infringement of rights and to resolve disputes?

Mediation and arbitration are often overlooked but it can provide faster means of resolving disputes.

b.5 Gender equality

How do PLRs promote and enhance gender equality and women empowerment, especially with regards to benefit sharing, participation, and land tenure?

Objective VI of National Objectives and Directive Principles of State Policy of the *Constitution of Uganda (1995)* provides that the State shall ensure gender balance and fair representation of marginalized groups on all constitutional and other bodies.

Objective XV of National Objectives and Directive Principles of State Policy of the *Constitution of Uganda (1995)* provides that the State shall recognise the significant role that women play in society.

Article 32 of the *Constitution of Uganda (1995)* provides that the State shall take affirmative action in favour of groups marginalized on the basis of gender, age, disability or any other reason created by history, tradition or custom, for the purpose of redressing imbalances which exist against them.

Articles 33 and 180(2)(b) of the *Constitution of Uganda (1995)* provide for affirmative action in favour of women and specifies that one third of membership of each local government council shall be reserved for women.

Section 14 of the *Equal Opportunities Commission Act (2007)* establishes the Equal Opportunities Commission with the mandate to monitor, evaluate and ensure that policies, laws, plans, programs, activities, practices, traditions, cultures, usages and customs of entities are compliant with equal opportunities and affirmative action in favour of groups marginalized on the basis of sex, race, colour, ethnic origin, tribe, creed, religion, social or economic standing, political opinion, disability, gender, age or any other reason created by history, tradition or custom. The Act operationalizes Articles 32 (3) and 32 (4) of the Constitution.

Section 9(1) of the *Public Finance Management Act (2015)* provides that "Each Accounting Officer shall, in consultation with the relevant stakeholders, prepare a Budget Framework Paper for the vote, taking into consideration balanced development, gender and equity responsiveness..."

Under Section 9(6)(a) of the *Public Finance Management Act (2015)*, the Minister of finance in consultation with the Equal Opportunities Commission is mandated to issue a certificate certifying that the budget framework paper is gender and equity responsive.

The National Gender Policy for Uganda (2005): The goal of the policy is to achieve gender equality and women's empowerment as an integral part of Uganda's socio-economic development. The purpose of the policy is to establish a clear framework for identification, implementation and coordination of interventions designed to achieve gender equality and women's empowerment in Uganda. The policy is a guide to all stakeholders in planning, resource allocation, implementation and monitoring and evaluation of programmes with a gender perspective.

Other key pieces of Ugandan legislation that seek to promote gender equality and empower women and girls, include *the Domestic Violence Act (2010)* and *the Prohibition of Female Genital Mutilation (2010)*.

Paris Agreement (2015): Article 7.5 requires Parties to implement adaptation action that is gender responsive and takes into account vulnerable groups and communities.

Other key international agreements that promote gender equality and women empowerment and to which Uganda is a party include, the *Convention on the Elimination of All Forms of Discrimination against Women (1979)*; and *the Protocol to the African Charter on Human and Peoples' Rights on the Rights of Women in Africa (2003)*.

b.6 Institutional framework

What institutions have mandates and authority for forest/land use governance and what are their roles?

- Ministry of Water and Environment
- The National Forestry Authority (NFA)
- The National Environment Management Authority (NEMA)
- Ministry of Local Government
- Ministry of Justice and Constitutional Affairs
- Ministry of Tourism, Trade and Industry
- Ministry of Agriculture, Animal Industry and Fisheries
- Ministry of Gender, Labour and Community Development
- Ministry of Internal Affairs (Police, Prisons)

- Uganda Wildlife Authority (UWA)
- District Local Governments (establish District Forestry Services; production and environment committees)
- Civil society organizations

b.7 Law enforcement

What institutions have mandates and authority for forest/land use law enforcement?

- Uganda Police
- Uganda Peoples Defense Forces

How do PLRs define forest-related offenses and corresponding penalties?

Section 81 of the NFTP define general offences under the Act including contravening any of the terms or conditions of a license; altering, moving, destroying or defacing any boundary mark of a forest; failing to sustainably manage, maintain and control a forest as required by law; failing to comply with a management plan; failing or neglecting to plant trees in accordance with the law; or failing to comply with the order of an authorized person.

Under 81 of the NFTP, the punishment for the general offences ranges from UGX 800,000 to imprisonment for a term not exceeding five years, or both.

In addition, under Section 84 of the NFTP, court has power to confiscate and order forfeiture of any forest produce in respect of which the offence was committed or which was found in that person's possession or any vehicle, machinery, weapon or other thing which was used to commit the offence or which was capable of being used to take forest produce found in his or her possession.

How do PLRs define procedures for forest-related offenses and corresponding penalties?

Ugandan courts are generally responsible for the trial of forest-related offences and imposing penalties. The procedure applicable during court proceedings is governed by the rules of court applicable to the court including *the Criminal Procedure Code Act (Cap 116)* and *the Trial on Indictments Act (Cap 23)*.

Gaps in PLRs for Cancun safeguard (b)

Gaps in the legal and policy framework:

- Land policies, laws and regulations recognize competing interests in land ownership (registered owner Vs squatters) which is a source of many conflicts and therefore likely impact on the observance of Cancun safeguards.
- Right of Access to Information Act (2005) and the Access to Information Regulations (2011) contravene the Constitution of Uganda by providing for wider restrictions to access to information from public offices than is allowed under Article 41 of the Constitution.
- There are outdated laws such as the Official Secrets Act (1964) which may hinder access to information by ordinary citizens under the new legal framework.

Gaps related to Implementation:

- Some government offices have not designated information officers as provided for in the law to act as the focal person to whom requests for information should be addressed.
- The present fees structure under the Access to Information Regulations is not affordable for the majority of Ugandans who live below the poverty line.
- Lack of financial and human resources for institutions to carry out their functions.
- Conflict of interest in instances where the adjudicators have an interest in the forest/land being contested by parties.
- Corruption by the adjudicators of forest/land disputes.

- Understaffing and case backlog in adjudication institutions.
- Waning influence and respect for traditional and religious leaders in some communities.
- Poor implementation of the PLRs.
- Lack of awareness of laws granting access to information
- Lack of capacity to pursue access to information.

Safeguard (c): Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples

Explanation notes and reference chapters, sections, and pages

c.1 Definition/determination of indigenous peoples and local communities

Do PLRs define who are indigenous peoples and local communities?

The term “indigenous peoples” is used in a generic sense to refer to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees: self-identification as members of a distinct indigenous cultural group and recognition of this identity by others; collective attachment to geographically distinct habits or ancestral territories in the project area and to the natural resources in these habitats and territories; customary cultural, economic, social or political institutions that are separate from those of the dominant society and culture; and an indigenous language, often different from the official language of the country or region (World Bank, 2013).

In Uganda, indigenous groups include the Batwa in Echuya CFR and Bwindi/Mugahinga NP, and the Batwa from Semliki NP and North Rwenzori CFR, the Benet in Mt. Elgon National Park and the Ik/Teuso in Mt. Timu CFR; the Tepeth in Moroto CFR in Karamoja sub region (Mbaziira, 2009).

Ugandan PLRs do not explicitly define indigenous peoples. Moreover, Uganda has not ratified some important international instruments such as *The ILO Convention 169 on Indigenous and Tribal Peoples, 1989* that recognize the rights of the indigenous peoples.

Despite this, legal provisions in existing PLRs can be used to advance the rights of indigenous peoples. The Constitution of Uganda (1995) in its *National Objectives and Directive Principles of State Policy (Objective III (ii))*, provides that every effort shall be made to integrate all peoples while at the same time recognizing the existence of, amongst others, their ethnic, religious and cultural diversity.

Objective VI of National Objectives and Directive Principles of State Policy of the Constitution of Uganda (1995) provides that the “State shall ensure gender balance and fair representation of marginalized groups on all constitutional and other bodies.”

Article 32 of the *Constitution of Uganda (1995)* provides that the State shall take affirmative action in favour of groups marginalized on the basis of gender, age, disability or any other reason created by history, tradition or custom, for the purpose of redressing imbalances which exist against them.

Article 36 of the Constitution of Uganda (1995) provides that “Minorities have a right to participate in decision-making processes, and their views and interests shall be taken into account in the making of national plans and programmes.”

Article 37 of the Constitution of Uganda (1995) provides that “Every person has a right as applicable to belong to, enjoy, practice, profess, maintain and promote any culture, cultural institution, language, tradition, creed or religion in community with others.”

Section 14(1) of the *Equal Opportunities Act (2007)* provides that the functions of the Equal Opportunities Commission include monitoring, evaluating and ensuring that policies, laws, plans, programs, activities, practices, traditions, cultures, usages and customs are compliant with equal opportunities and affirmative action in favour of groups marginalized on the basis of sex, race, colour, ethnic origin, tribe, creed, religion, social or economic standing, political opinion, disability, gender, age or any other reason created by history, tradition or custom.

Under Section 14(2) of the *Equal Opportunities Act (2007)*, the Equal Opportunities Commission is enjoined with powers to:

- investigate or inquire into, on its own initiative or on a complaint made by any person or group of persons, any act, circumstance, conduct, omission, programme, activity or practice which seems to amount to or constitute discrimination, marginalization or to otherwise undermine equal opportunities;
- examine any law, proposed law, policy, culture, tradition, usage, custom or plan which is likely to have effect of nullifying or impairing equal opportunities to persons in employment or enjoyment of human rights;
- develop, conduct and manage information and educational programs to facilitate and promote public awareness, understanding and acceptance of equal opportunities and treatment in employment, occupation, education and all social services;
- undertake research and organize, coordinate and promote workshops, seminars, conferences and public discussions on equal opportunities and treatment in employment, education, social services or social and cultural construct of roles and responsibilities in society;
- prepare and publish, guidelines for implementation of equal opportunities and the avoidance of acts, practices, usage, customs, tradition or cultures that undermine equal opportunities; and
- monitor the compliance, in Uganda, with the provisions of international and regional conventions, treaties and other instruments to which Uganda is a party that promote equal opportunities.

c.2 Recognition of collective rights to lands, territories and resources

Do PLRs recognize and protect collective ownership and/or use rights of forests?

Section 17 of the NFTPFA provides for the declaration of community forests.

Do PLRs recognize and protect customary tenure systems and/or customary use rights?

Article 237(3) of the Constitution of Uganda (1995) provides for customary land tenure system.

Section 2 and 3 of the Land Act (Cap 227) provides for customary land tenure system.

Section 4 of the Land Act (Cap 227) provides for the acquisition of a certificate of customary ownership by any person, family or community holding land under customary tenure.

c.3 Right to compensation and/or other remedies in the case of involuntary resettlement and/or economic displacement

What right to compensation and/or other remedies in the case of involuntary resettlement and/or economic displacement?

Article 26(2)(b) of the *Constitution of Uganda (1995)* provides that no person shall be compulsorily deprived of property without prompt payment of fair and adequate compensation, prior to the taking of possession or acquisition of the property.

c.4 Right to share in benefits when appropriate

Do PLRs require equitable sharing of benefits from the utilization of forest resources, the utilization of genetic resources, and the utilization of traditional forest-related knowledge?

Section 62(2)(c) of the National Environment Act (2019) give power to the Minister to make regulations for the sharing of benefits derived from genetic resources originating from Uganda.

c.5 Free, prior and informed consent

Do PLRs require free, prior and informed consent for activities that affect the collective rights of local communities?

Article 36 of the Constitution of Uganda (1995) provides that "Minorities have a right to participate in decision-making processes, and their views and interests shall be taken into account in the making of national plans and programmes."

Section 38 of the NFTP provides that a "person intending to undertake a project or activity which may, or is likely to have a significant impact on a forest shall undertake an environmental impact assessment."

Section 49(2) of the NFTP provides that in preparing the National Forest Plan, the Minister should seek and take into account, the views of persons and organizations involved in forestry in the public and private sector, particularly the views of persons whose livelihoods are dependent on the forest sector.

Under Section 54(1)(c) of the NFTP, NFA is enjoined "to promote innovative approaches for local community participation in the management of central forest reserves".

Under Section 101 of the National Environment Act (2019), NEMA is the designated national authority for the operation of the prior informed consent procedure but this applies to "...the import, export, transit or other transboundary movement of hazardous waste."

c.6 Recognition and protection of indigenous peoples' and local communities' traditional knowledge and cultural heritage

Do PLRs recognize and protect local communities' traditional knowledge and cultural heritage?

Objective XXIV of the National Objectives and Directive Principles of State Policy of the Constitution of Uganda (1995) provides that the State is enjoined to promote and preserve those cultural values and practices which enhance the dignity and well-being of Ugandans.

Article 32 of the *Constitution of Uganda (1995)* provides that the State shall take affirmative action in favour of groups marginalized on the basis of gender, age, disability or any other reason created by history, tradition or custom, for the purpose of redressing imbalances which exist against them.

Article 36 of the Constitution of Uganda (1995) provides that "Minorities have a right to participate in decision-making processes, and their views and interests shall be taken into account in the making of national plans and programmes."

Article 37 of the Constitution of Uganda (1995) provides that "Every person has a right as applicable to belong to, enjoy, practice, profess, maintain and promote any culture, cultural institution, language, tradition, creed or religion in community with others."

Section 14(1) of the *Equal Opportunities Act (2007)* provides that the functions of the Equal Opportunities Commission include monitoring, evaluating and ensuring that policies, laws, plans, programs, activities, practices, traditions, cultures, usages and customs are compliant with equal opportunities and affirmative action in favour of groups marginalized on the basis of sex, race,

colour, ethnic origin, tribe, creed, religion, social or economic standing, political opinion, disability, gender, age or any other reason created by history, tradition or custom.

Gaps in PLRs for Cancun safeguard (c)

Gaps in the legal and policy framework:

- Ugandan PLRs do not have clear provisions for the sharing of revenue (benefits) from REDD+ such as is the case with oil revenue (Public Finance Management Act (2015)) or minerals under the Mining Act (2003) – 17% of revenue from mineral permits goes to district local governments (DLGs) & 3% to the land owner.

Gaps related to Implementation:

- Rampant abuse of rights of ownership of land by vulnerable and marginalized groups.
- The policies, laws and regulations are disregarded, and persons are regularly deprived of property by government without fair and adequate compensation.

Safeguard (d) - The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities [in REDD+ actions]

Explanation notes and reference chapters, sections, and pages

d.1 Identification of relevant stakeholders

Do PLRs identify or require the identification of relevant stakeholders related to environmental decision-making process?

Section 49(1) of the NFTPFA requires the Minister to prepare a National Forest Plan, “which shall be a public document, and which shall be the framework for the implementation of the forestry policy and programmes by Government and stakeholders in the forest sector.”

The Uganda Forestry Policy (2001) provides for a national consultative ‘to allow the public, international partners and all interested countries to contribute to a regular debate on the forest sector, to improve sector coordination and inform national priorities’.

d.2 Legitimacy and accountability of bodies representing relevant stakeholders

What bodies are defined in PLRs to represent relevant stakeholders, including local communities?

Uganda’s PLR do not define bodies to represent relevant stakeholders. However, Regulation 23(1) of the *Environmental Impact Assessment Regulations (1998)* provides that “any person may attend either in person or through a representative and make presentations at a public hearing”.

Forest sector co-ordination structures proposed under the *Uganda Forestry Policy (2001)* provide for wide stakeholder participation and coordination across a wide range of stakeholders from all relevant sectors. These structures have representation from central government ministries involved in the forest sector, local governments, the private sector and civil society.

A national consultative forum provided for by the Uganda Forestry Policy, 2001 allows the public, international partners and all interested countries to contribute to a regular debate on the forest sector, to improve sector coordination and inform national priorities.

Existing government and non-governmental coordination structures are avenues through which effective stakeholder participation in REDD+ can be achieved. For example, the Policy Committee on Environment (PCE), and the National Climate Change Advisory Committee/Inter-ministerial technical committee on climate change should be used to ensure effective coordination of government agencies while the Environment and Natural Resources Civil Society Organizations Network as well as the Uganda Forestry Working Group – a network of civil society organizations

involved in forestry issues – can be used to ensure effective participation of non-governmental actors.

Section 27 of the **National Environment Act (2019)** provides for the district environment and natural resources committee with the following composition: the District Chairperson; the Members of Parliament from the district; the Resident District Commissioners; the Secretary for environment; the district natural resources officer; the Chief Administrative Officer; the district engineer; the town clerk; the Mayor, town clerk and secretary responsible for environment at the urban council; the district planner; the physical planning officer; and community development officer. Local communities can channel their concerns about a particular REDD+ project through their elected representatives such as area members of parliament, district chairperson and secretary for environment.

What provisions ensure their legitimacy and accountability?

Uganda's PLR are silent on this aspect.

d.3 Recognition and implementation of procedural rights including consultation and participation

Do PLRs define rights to consultation and participation in environmental decision making and how these are implemented?

Regulation 12 of the *Environmental Impact Assessment Regulations (1998)* require a developer in undertaking an environmental impact assessment study to take all measures necessary to seek the views of the people in the communities which may be affected by the project. The developer is required to publicize the intended project, its anticipated effects and benefits through the mass media in a language understood by the affected communities for a period of not less than fourteen days. After the expiration of the period of fourteen days, the developer is required to hold meetings with the affected communities to explain the project and its effects and shall ensure that the venues and times of the meetings shall be convenient to the affected persons and shall be agreed with the leaders of local councils.

Regulation 19 of the *Environmental Impact Assessment Regulations (1998)* requires NEMA to consult the general public in the process of conducting an environmental impact assessment report.

Regulation 20 of the *Environmental Impact Assessment Regulations (1998)* requires the developer to invite the comments of those persons who are most likely to be affected by the proposed project and that invitation shall be made in a newspaper having local circulation in the area where the project shall be located and on other mass media and through the distribution of the necessary information through lower governments and shall be in languages understood by the majority of the affected persons.

Regulation 22 of the *Environmental Impact Assessment Regulations (1998)* provides for the holding of public hearings. Such public hearing shall be conducted at a venue which shall be convenient and accessible to those persons who are likely to be specifically affected by the project. The date and venue of the public hearing shall be advertised through the mass media.

Regulation 38 of the *Environmental Impact Assessment Regulations (1998)* provides that a person aggrieved by the decision of NEMA may appeal to the High Court within thirty days of making the decision.

d.4 Stakeholders have the information they need to participate effectively

Do PLRs ensure that stakeholders have the information they need?

This is achieved through the requirement to undertake environmental impact assessment studies and reports.

Gaps in PLRs for Cancun safeguard (d)

Gaps related to Implementation:

- Environmental Impact Assessment (EIA) reports are compiled in technical language that is not easily understood by stakeholders.
- Failure to give adequate time to stakeholders to study the EIA reports. Ignoring of stakeholder comments.
- Withholding of the approved EIA reports from the public thus stifling any attempt to challenge the decisions of the regulator.
- Lack of capacity by stakeholders to challenge EIA reports in courts of law even when they ignore stakeholder views.

Safeguard (e) - [REDD+] actions are consistent with the conservation of natural forests and biological diversity, ensuring that REDD+ actions are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits

Explanation notes and reference chapters, sections, and pages

e.1 Definition of natural forest and biological diversity

Do PLRs define natural forest and require their identification and mapping?

Section 8 and 9 of the NFTP provide power to the Minister to declare a natural forest a central or local forest reserve.

Section 21(1) of the NFTP provide that a person may register with the District Land Board, a natural forest situated on privately owned land.

Do PLRs define biological diversity and require identification and mapping for priorities for conservation of biological diversity?

Section 6(2)(a)(ii) of the NFTP provides that one of the reasons for the responsible Minister to declare a central forest reserve is the need to enhance "biological genetic resources in an undisturbed, dynamic and evolutionary state" as well as to preserve "rare, endangered or vulnerable species, or high biological diversity". Under Section 9(2) of the NFTP, the responsible Minister may for the same reasons make a declaration for a local forest reserve.

Section 59(1) of the National Environment Act (2019) provides that NEMA shall, "in collaboration with the relevant lead agency, issue guidelines and prescribe measures for the conservation of biological diversity." Such guidelines and measures shall specify national strategies, plans and programmes for the conservation and the sustainable use of biological diversity; integrate the conservation and sustainable utilization of biological resources in existing government activities and activities of private persons; identify, prepare and maintain an inventory of biological diversity of Uganda; determine which components of biological diversity are threatened with extinction and those which offer the greatest potential for sustainable use; identify potential threats to biological diversity and devise measures to remove or investigate their effects; and identify native and alien invasive species.

e.2 Avoid or minimize adverse impacts on natural forests, biological diversity and ecosystem services and instead promotes their conservation

What requirements exist in PLRs related to avoiding or minimizing adverse impacts on natural forests, biological diversity and ecosystem services and instead promoting their conservation?

Section 21(2) of the NFTP provide that forest produce shall be harvested in accordance with the applicable management plan and regulations.

Section 21(3) of the NFTP require the owner to manage the forest in a professional and sustainable manner.

Section 37(1) of the NFTP require the responsible Minister in consultation with lead agencies to make an inventory of all forests (including natural forests) in Uganda.

Under Section 13(3)(a) of the NFTP, "natural forests shall not be destroyed, damaged or disturbed except in the course of carrying out activities for the sustainable management of the forest reserve".

Under Section 13(3)(b)(i) of the NFTP, forests shall be developed and managed so as to "conserve biological diversity, ecosystems and habitats".

Section 14(1) of the NFTP restricts activities in a forest reserve and provides that no person shall cut, disturb, damage, burn or destroy any forest produce, or remove or receive any forest produce from a forest reserve except if it is done in accordance with regulations or guidelines made for the proper management of the forest reserve; in the course of the management of the forest reserve by the responsible body, and a person who does not comply with this requirement commits an offence and is liable, on conviction, to a fine not exceeding fifty currency points or to imprisonment for a term not exceeding five years, or both.

Under Section 26 of the NFTP, the responsible Minister, a local government or NFA may provide technical assistance in the management and development of forests including for the purpose of "promoting the conservation of forest biological diversity and the ecosystem".

Section 29(1) of the NFTP provides that all "forest biological resources and their derivatives, whether naturally occurring or naturalized within a forest, shall be conserved and managed for the benefit of the people of Uganda ... relating to biological resources".

Section 29(2) of the NFTP provides that the "transfer of any forest biological resources and their derivatives from the territorial jurisdiction of Uganda shall not diminish or extinguish the sovereignty of Uganda over those resources."

Section 29(3) of the NFTP gives power to the responsible Minister to regulate access to forest genetic resources and ... for that purpose, to collaborate with other lead agencies, "conventions and protocols relating to the management or control of biological resources, including cross-border bio-diversity."

Under Section 31(1) of the NFTP, the Minister or a District Council may declare a particular tree, or group of trees on private land to be a protected tree or trees, including for the purpose of conservation of biological diversity or species diversity.

Under Section 54(1)(j) of the NFTP, one of the functions of NFA is to "carry out or commission research for the purposes of conservation, development and utilization of forests, and for the conservation of biological diversity and genetic resources."

e.3 Avoid or minimize adverse social impacts and instead promotes and enhances human well-being with special attention to the most vulnerable and marginalized groups

What requirements exist in PLRs related to avoiding or minimizing adverse social impacts and instead promoting and enhancing human well-being with special attention to the most vulnerable and marginalized groups?

Objective XI of the National Objectives and Directive Principles of State Policy of the *Constitution of Uganda (1995)* provides that the State shall apply the concept of social justice in the regulation of the acquisition, ownership, use and disposition of land and other property.

Objective XII of the National Objectives and Directive Principles of State Policy of the *Constitution of Uganda (1995)* provides that the State shall take necessary measures to bring about balanced development of the different areas of Uganda and between the rural and urban areas and take special measures in favour of the development of the least developed areas.

Objective XIV of the National Objectives and Directive Principles of State Policy of the *Constitution of Uganda (1995)* provides that the State shall endeavour to fulfill the fundamental rights of all Ugandans to social justice and economic development, particularly to ensure that “all developmental efforts are directed at ensuring the maximum social and cultural well-being of the people; and all “Ugandans enjoy rights and opportunities and access to education, health services, clean and safe water, work, decent shelter, adequate clothing.”

Section 2(a) of the NFTP provides that the key purpose of the law is “to create an integrated forest sector that will facilitate the achievement of sustainable increases in economic, social and environmental benefits from forests and trees by all the people of Uganda”.

Gaps in PLRs for Cancun safeguard (e)

Gaps in the legal and policy framework:

- Lack of economic or other incentives to conserve natural forests.

Safeguard (f) - Actions to address the risks of reversals

Explanation notes and reference chapters, sections, and pages

f.1 Risks of non-permanence

Do PLRs require assessment of risks of reversal to past practices and loss of benefits achieved?

Under Section 8 of the NFTP, before any central forest reserve is degazetted, the Minister is required to carry out consultations with the local council and the local community in whose area the forest reserve is located and obtain a resolution of Parliament signifying its approval to the action. In addition, the Minister is required to give simultaneous notice of the proposed declaration in the Gazette, in an appropriate print media, and in any other media that is likely to draw the matter to the attention of all interested persons; consult with the local community through public meetings and other means that will offer the local community an effective opportunity to express their views concerning the declaration of the reserve; and ensure that an environmental impact assessment is carried out. Under Section 8 of the NFTP, where an area of a central forest reserve is reduced, an area in another location equivalent in size to the reduction shall be simultaneously declared a central forest reserve. If a forest reserve is abolished, an area at least equivalent in size to the abolished reserve shall be simultaneously declared a central forest reserve.

Section 29 of the NFTP provides that all forest biological resources shall be conserved and managed for the benefit of the people of Uganda. Section 31 of the NFTP empowers the Minister or district council to declare a particular tree, or group of trees on land to be protected trees subject to controls of the Minister. Section 32 of the NFTP prohibits certain activities on forestry reserves such the cutting and removal of trees and undertaking farming activities in forestry

reserves and makes the contravention of this provision of the law punishable with culprits liable to imprisonment of up to three years or payment of fines. Sections 35 and 36 provide for various precautions when dealing in forests including protection against fire or pests and diseases. Section 37 of the NFTP A requires the Minister to formulate an inventory of forests and to state, the total area used for forestry and other resources; the type and quantity of forest resources in the forests and other areas used for forestry; and make recommendations for areas that require forest cover through afforestation and reforestation. Section 38 of the NFTP A provides that a "person intending to undertake a project or activity which may or is likely to have a significant impact on a forest shall undertake an environmental impact assessment."

These provisions of the law can be used to require assessment of risks to past practices and loss of benefits achieved.

Do PLRs promote and support actions to address the risk of reversals/non-permanence?

Ugandan PLRs promote and support actions to address the risk of reversal/non-permanence as elaborated in the preceding section.

Gaps in PLRs for Cancun safeguard (f)

Gaps related to Implementation:

- Poor or weak enforcement of existing policies, laws and regulations.

Safeguard (g) - Actions to reduce displacement of emissions

Explanation notes and reference chapters, sections, and pages

g.1 Risks of displacement

Do PLRs require assessment of risks of displacement of activities?

Ugandan PLRs do not require assessment of risks of displacement of activities.

Do PLRs promote and support actions to address the risk of displacement?

Ugandan PLRs do not promote and support actions to address the risk of displacement.

Gaps in PLRs for Cancun safeguard (g)

Gaps in the legal and policy framework:

Lack of policies, laws and regulations to promote and support actions to address the risk of displacement.

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2. Mbazzira Christopher (2009). Uganda: Constitutional, legislative and administrative provisions concerning indigenous peoples. International Labour Organization and African

Commission on Human & Peoples' Rights, University of Utrecht, the Netherlands 8-10 July 2015

3. World Bank Operations Policy 4.10– *Indigenous Peoples* (2013)

11.2 Annex 2 - Existing Information systems in Uganda potentially relevant to SIS

Information is provided below on the following existing information systems that have been identified as potentially relevant to the SIS:

1. Environmental and Social Management System (ESMS) - National Agricultural Research Organization (NARO)
2. ecoSurvey Management Information System - Ministry of Water and Environment (MWE)
3. Environment Information Network (EIN) Uganda Clearing House - National Environment Management Authority (NEMA)
4. Land Information System (LIS) - Ministry of Lands, Housing and Urban Development (MLHUD)
5. Management Information System (MIST) - Uganda Wildlife Authority (UWA)
6. National Biodiversity Data Bank (NBDB) - Makerere University Kampala (MUK)
7. National Forest Monitoring System (formerly National Biomass Monitoring Database) - National Forestry Authority (NFA)
8. National Wetlands Information System (NWIS) - Wetlands Management Department (WMD)
9. Uganda National Household Survey (UNHS) – Uganda Bureau of Statistics (UBOS)
10. Uganda Demographic and Health Survey (UDHS) - Uganda Bureau of Statistics (UBOS)
11. Annual Agriculture Survey (AAS) - Uganda Bureau of Statistics (UBOS)
12. National Service Delivery Survey (NSDS) - Uganda Bureau of Statistics (UBOS)

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| #1 | Name of system | Environmental and Social Management System (ESMS) |
| | Institutional home | National Agricultural Research Organisation (NARO), |
| | objectives/purpose | Ensure all research and development within NARO portfolio are compliant with the relevant local, national and international legislative framework and international E&S safeguards |
| | types of information | <ul style="list-style-type: none"> • Environmental and social aspects in NARO's projects from research, project design to implementation and evaluation • Environmental and social planning, implementation, monitoring and evaluation, documentation and record keeping • Other stakeholders or institutions at the local, regional and national levels, • Effective environmental and social assessment process |
| | indicators | Based on projects and how responsive to organization purpose. |
| | sources of information | <ul style="list-style-type: none"> • Sixteen (16) semi-autonomous Public Agricultural Research Institutes (PARIs) • The National Environment Act, 1995; • The Environmental Impact Assessment (EIA) Regulations, 1998; • National Agriculture Policy, 2013; • National Biotechnology and Biosafety Policy, 2008; and • The World Bank's Environmental and Social Standards, 2016; |
| | methods for collecting information | Based on research and projects |
| | what is the information used for? | <ul style="list-style-type: none"> • Mainstreaming environmental and social/gender aspects in technology generation and promotion from research, project design to implementation and evaluation • Environmental and social/gender planning, implementation, monitoring and evaluation, documentation and record keeping, • Reporting of environmental and social/gender and ensuring that they are integrated identify E&S risks of potential projects at the proposal stage • Manage E&S risks associated with day-to-day activities |

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| | | <ul style="list-style-type: none"> Extend to collaborative projects with external parties where funding is provided by NARO. |
| other institutions involved and role | | <ul style="list-style-type: none"> Work Bank, National Environment Management Authority (NEMA), Agencies responsible for environmental and social management in the region |
| geographical coverage | | National wide and room to accommodate partners |
| quality control/reliability/cr edibility | | This based on E&S manual that provides procedures, risk checklists and registers together risk checking. |
| How is the information stored | | Based on department and projects |
| How can the information be accessed | | Based on departments |
| periodicity/frequency of updates | | Continual review and refinement with due consideration for changes in internal processes, funding strategies, perceived E&S risks, changes in relevant national and international regulatory regimes. |
| when last updated | | Formulated in 2017 no evidence of update |
| availability of finance to maintain/update | | Based on project funds |
| challenges/notes | | <ul style="list-style-type: none"> Ensuring that compliance with the relevant international E&S safeguards and all relevant national, regional or local laws and regulations, relevant international agreements and standards Adherence to procedures in the E& S manual and reporting risks |

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| #2 | Name of the system | <ul style="list-style-type: none"> ecoSurvey Management Information System |
| | Institutional home | <ul style="list-style-type: none"> Ministry of Water and Environment (MWE) |
| | Objectives/purpose | <ul style="list-style-type: none"> Purpose: A tool designed to automate the social economic, ecological and water survey for the Ministry of Water and Environment and the various agencies that interface with it. The tool allows the user to capture results of the survey. |
| | Data content (what is the information about, what indicators included– eg vegetation cover, literacy rate etc.) | <ul style="list-style-type: none"> A database of the ecological and socio-economic baseline of the Six Central Forest Reserves in the Mabira Ecosystem (Mabira, Namakupa, Nandagi, Kalagala Falls, Namawanyi and Namananga) and their surrounding communities. The data incorporated in this automated database management system includes results/outcomes of the Ecological, Socio-economic and Water Surveys. |
| | Data type/format (spatial data, map images, database, text files, Excel files etc.) | <ul style="list-style-type: none"> Web-based database. Allows an authenticated user to capture the survey details online. Allows system admin to create users and assign them different roles on the system with regard to access and modification of records in the database. The system provides for reports and users can create their own reports based on their specific decision making needs. System allows the user to carry out repeat surveys in the same site in case there is need to analyze the change in the various parameters over time. System can interface with other systems through pre-defined interfaces and excel uploads. Allows data entry, data update and import and export of data for further processing/management. The system is fully integrated with the Water Information Management System. |
| | Sources of information | <ul style="list-style-type: none"> Ecological, Socio-economic and Water Surveys. |

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| Methods for collecting information | <ul style="list-style-type: none"> • Survey Questionnaires. |
| What is the information used for | <ul style="list-style-type: none"> • Management Decision Making. |
| Other institutions involved and role | <ul style="list-style-type: none"> • National Forestry Authority (NFA); Directorate of Water Resources Management (DWRM); Directorate of Environmental Affairs (DEA). |
| Geographical coverage | <ul style="list-style-type: none"> • Mukono and Buikwe Districts in Central Uganda constitute the geographical coverage for the Six Central Forest Reserves in the Mabira Ecosystem (Mabira, Namakupa, Nandagi, Kalagala Falls, Namawanyi and Namananga) and their surrounding communities. |
| Quality control/reliability/cr edibility | <ul style="list-style-type: none"> • Modeling, design, development and testing of ecoSurvey Management Information System was done by a reputable consulting firm on behalf of the Ministry of Water and Environment under the Project titled: Updating the Ecological Baseline and the Socio-economic Data for Six Central Forest Reserves (Mabira, Namakupa, Nandagi, Kalagala Falls, Namawanyi and Namananga) and Updating the Management Plan for Mabira Central Forest Reserve (Project ID No. P123204). The consultancy assignment was completed in August 2017. • A digital database consolidating all the data and information collected for the six central forest reserves was established and made operational by the consulting firm. |
| Location and format of storing the information (How is the information stored: paper documents, files on local computers, files on a server, database etc.) | <ul style="list-style-type: none"> • Web-based database. |
| Access policy (How can the information be accessed, is the data public or restricted) provide weblink if available | <ul style="list-style-type: none"> • Uncertain. |
| Periodicity/frequency of updates | <ul style="list-style-type: none"> • Uncertain. |
| When last updated | <ul style="list-style-type: none"> • It is not certain whether the system has been updated since its development in August 2017. |
| Availability of finance to maintain/update | <ul style="list-style-type: none"> • Uncertain. |
| Challenges/notes | <ul style="list-style-type: none"> • Geographical coverage limited to Mukono and Buikwe Districts in Central Uganda. • Entry of sample ecological baseline and socio-economic data as a way of testing the functionality of the system was done by the consulting firm. • It is not certain that demonstration runs of the system with compatible databases/information systems were done by the consulting firm or by the institution that is hosting the system. • It is not certain where the system is exactly hosted (National Forestry Authority (NFA)/Directorate of Environmental Affairs (DEA)? |

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| #3 | Name of the system | Environment Information Network (EIN) Uganda Clearing House |
| | Institutional home | National Environment Management Authority (NEMA) |
| | Objectives/purpose | <ul style="list-style-type: none"> • Purpose: The Uganda Environment Clearinghouse provides information on the environment from the Environmental Information Network in Uganda. • Objectives: To build capacity for the development and management of core datasets such as data on wetlands, forests, protected areas and many more; To facilitate open access to environmental information/data and sharing of information at national level; Development of information management tools, collate data and other data products from existing data sources. |
| | Data content (what is the information about, what indicators included– eg vegetation cover, literacy rate etc.) | <ul style="list-style-type: none"> • Strategic Environmental Assessment of Albertine Graben; The Albertine Graben sensitivity atlas; Toro Semliki sensitivity atlas; AGEMP – Albertine Graben Environmental Monitoring Program; AGEMP - Baseline Report. • Ecosystem indicators: wetlands and water, fish, flagship mammals and birds, flagship wetland animal species, flagship floral ecosystem components, diversity below ground. • Physical and chemical indicators on water, air, soil and micro climate. • Society indicators on settlements, food, water and sanitation, health, energy, infrastructure, education, culture and archeological sites. • Other indicators on tourism, fisheries, agriculture and forestry, transport and construction materials. |
| | Data type/format (spatial data, map images, database, text files, Excel files etc.) | <ul style="list-style-type: none"> • Spatial data. • Map Images. • Text Files. |
| | Sources of information | <ul style="list-style-type: none"> • Partner/member organizations of the Environmental Information Network in Uganda. |
| | Methods for collecting information | <ul style="list-style-type: none"> • Using remote sensing. • Through the environmental data receiving station (Global Monitoring for Environment and Security in Africa-GMES) housed by the National Environment Management Authority-NEMA and Makerere University. |
| | What is the information used for | <ul style="list-style-type: none"> • Geospatial data published by other users, organizations and public sources can be downloaded in standard formats (45 Layers). • Data is available for browsing, aggregating and styling to generate maps which can be shared publicly or restricted to specific users only (13 Maps). • GeoNode allows registered users to easily upload geospatial data in several formats including shapefile and GeoTiff (9 Users). |
| | Other institutions involved and role | <p>Uganda Wildlife Authority (UWA); National Forestry Authority (NFA); Directorate of Petroleum (DoP); Directorate of Water Resources Management (DWRM); National Agricultural Research Laboratories (NARL); Directorate of Fisheries Resources (DFR); Uganda Bureau of Statistics (UBOS); College of Agriculture and Environmental Sciences (CAES); Wildlife Conservation Society (WCS); World Wildlife Fund (WWF); Directorate of Environmental Affairs (DEA); Uganda National Meteorological Authority (UNMA); Busitema University - Faculty of Natural Resources and Environmental Science; Bing (Microsoft) – provides background maps; OpenStreetMap – provides a continuous background map with options to edit errors throughout Uganda; Google Maps - provides background maps; Norwegian Environment Agency (NEA) of Norwegian Government – provides support through the development cooperation program (Oil for Development).</p> |
| | Geographical coverage | Albertine Graben - by 2015 comprised 25 districts of the Republic of Uganda namely: Moyo, Adjumani, Yumbe, Nebbi, Nwoya, Buliisa, Masindi, Arua, Amuru, Kiryandongo, Hoima, Kibaale, Ntoroko, Kyenjojo, Kabarole, Bundibugyo, Kamwenge, Kasese, Kanungu, Ibanda, Buhweju, Bushenyi, Rubirizi, Mitooma and Rukungiri. New districts have since been formed e.g. Kikuube district that was |

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| | | originally part of Hoima district; Kagadi and Kakumiro districts that were originally part of Kibaale district. |
| Quality control/reliability/cr edibility | | <ul style="list-style-type: none"> Supported by the Global Monitoring for Environment and Security-GMES Africa programme environment monitoring stations. Technical support provided by IGAD Climate Prediction and Applications Centre-ICPAC. |
| Location and format of storing the information (How is the information stored: paper documents, files on local computers, files on a server, database etc.) | | <ul style="list-style-type: none"> Files on a server. |
| Access policy (How can the information be accessed, is the data public or restricted) provide weblink if available | | <ul style="list-style-type: none"> Spatial data is available in the Geonode map system (http://maps.nema.go.ug). Maps portal link: http://maps.nema.go.ug A list of server capabilities (GetCapabilities) for the WMS service is available at: http://maps.nema.go.ug/geoserver/ows?service=wms&version=1.1.1&request=GetCapabilities A list of Server Capabilities (GetCapabilities) for the WFS service is available at: http://maps.nema.go.ug/geoserver/ows?service=wfs&version=2.0.0&request=GetCapabilities |
| Periodicity/frequency of updates | | Near-real time - using remote sensing and through the environmental data receiving station (Global Monitoring for Environment and Security in Africa-GMES) housed by the National Environment Management Authority-NEMA and Makerere University. |
| When last updated | | Up-to-date since periodicity/frequency of updates is near-real time. |
| Availability of finance to maintain/update | | <ul style="list-style-type: none"> Norwegian Environment Agency (NEA) of Norwegian Government – provides support through the development cooperation program (Oil for Development). |
| Challenges/notes | | <ul style="list-style-type: none"> Geographical coverage limited to Albertine Graben. |

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| #4 | Name of the system | <ul style="list-style-type: none"> Land Information System - LIS |
| | Institutional home | <ul style="list-style-type: none"> Ministry of Lands, Housing and Urban Development (MLHUD) |
| | Objectives/purpose | <ul style="list-style-type: none"> Objectives: <ul style="list-style-type: none"> ✓ To provide a secure, efficient, sustainable and cost effective land administration and registration system for the Republic of Uganda to improve service delivery in the land sector, facilitate enterprise development and strengthen public confidence in government. ✓ To increase land registration in Uganda. ✓ To transform land governance in Uganda from manual to automated processes. ✓ To reduce inaccuracy and corruption in the land administration and registration system of Uganda. ✓ To reduce delays, extremely poor service delivery and low levels of public confidence in land administration and registration in Uganda. ✓ To improve competitive enterprise development in the country by easing obstacles to land acquisition by the business community. |

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| <p>Data content (what is the information about, what indicators included– eg vegetation cover, literacy rate etc.)</p> | <ul style="list-style-type: none"> • General reports: project inception report (PIR), project implementation methodology (PIM), project implementation plan (PIP), PIAC plan, quality assurance and control plan, monthly/yearly progress reports. • Technical reports: methodologies, specifications, activity reports, quality reports, guidelines for each component. • Final system architecture including software, hardware, runtime. • All the documents (titles, maps, land administration documents, job recorded jackets, etc.) converted in digital form and integrated in the system. • LIS solution system documentation and user documentation for the LIS solution. • Training materials for the training program (4 study tours in 5 countries. More than 300 people trained in basic computer skills – specialized training to use the new system – professional training – on-the-job training). • Land titles/ Freehold / Leasehold titles > 60,000. • Land administration records > 20,000. • Cadastral maps > 55,000. • Job recorded jackets > 6,000. • Physical planning and land valuation maps and records > 10,000. • Geological, soils and topographic maps > 2,000. |
| <p>Data type/format (spatial data, map images, database, text files, Excel files etc.)</p> | <ul style="list-style-type: none"> • Software: Open source / Web based /LADM / Web portal. • Geospatial Data. • Map Images. • Database. • National Land Information System Infrastructure (NLISI). • Digital format for all remaining paper records. |
| <p>Sources of information</p> | <ul style="list-style-type: none"> • Manual/Paper Records and Maps at: <ul style="list-style-type: none"> ✓ Twenty-one (21) cadastral zones serviced by Ministry Zonal Offices (MZOs). ✓ The National Land Information Centre (NLIC) in Kampala. ✓ The MLHUD Headquarters (HQ) in Kampala. ✓ The Department of Surveys and Mapping (DSM) in Entebbe. |
| <p>Methods for collecting information</p> | <ul style="list-style-type: none"> • Digitization of Manual/Paper Records and Maps. |
| <p>What is the information used for</p> | <ul style="list-style-type: none"> • Improved accessibility and availability of land registration services for the population. |
| <p>Other institutions involved and role</p> | <ul style="list-style-type: none"> • World Bank (Financial Support). • IGN FI (Technical Support). |
| <p>Geographical coverage</p> | <ul style="list-style-type: none"> • Nationwide covering: <ul style="list-style-type: none"> ✓ Twenty-one (21) cadastral zones serviced by Ministry Zonal Offices (MZOs). ✓ The National Land Information Centre (NLIC) in Kampala. ✓ The MLHUD Headquarters (HQ) in Kampala. ✓ The Department of Surveys and Mapping (DSM) in Entebbe. |
| <p>Quality control/reliability/cr edibility</p> | <ul style="list-style-type: none"> • LIS was designed, supplied, installed, piloted and implementation by a reputable international consulting firm (IGN FI) with financial support by World Bank. |
| <p>Location and format of storing the information (How is the information stored: paper documents, files on</p> | <ul style="list-style-type: none"> • Location: <ul style="list-style-type: none"> ✓ Twenty-one (21) cadastral zones serviced by Ministry Zonal Offices (MZOs). ✓ The National Land Information Centre (NLIC) in Kampala. ✓ The MLHUD Headquarters (HQ) in Kampala. ✓ The Department of Surveys and Mapping (DSM) in Entebbe. |

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| local computers, files on a server, database etc.) | <ul style="list-style-type: none"> • Format: <ul style="list-style-type: none"> ✓ Software: Open source / Web based /LADM / Web portal. ✓ Geospatial Data. ✓ Map Images. ✓ Database. ✓ National Land Information System Infrastructure (NLISI). ✓ Digital format for all remaining paper records. |
| Access policy (How can the information be accessed, is the data public or restricted) provide weblink if available | <ul style="list-style-type: none"> • The information/data is not accessible to the public/private sector. |
| Periodicity/frequency of updates | <ul style="list-style-type: none"> • Uncertain. |
| When last updated | <ul style="list-style-type: none"> • Uncertain. |
| Availability of finance to maintain/update | <ul style="list-style-type: none"> • Uncertain. • A World Bank supported pilot project for LIS was undertaken from 2009 to 2014. The pilot covered 6 Ministry Zonal Offices (Kampala, Mukono, Wakiso, Jinja, Masaka and Mbarara) as well as the National Land Information Centre). • A World Bank Loan was obtained for implementing the LIS within the Ministry of Lands, Housing and Urban Development (MLHUD) for five (5) years. |
| Challenges/notes | <ul style="list-style-type: none"> • Continued land wrangles, land grabbing and illegal/forceful evictions tend to downplay achievements of the intended objectives of LIS. • To-date, MLHUD continues to issue multiple land titles in different names/ownerships for the same piece of land casting doubt on the overall integrity of LIS. |

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| #5 | Name of the system | <ul style="list-style-type: none"> • Management Information System - MIST |
| | Institutional home | <ul style="list-style-type: none"> • Uganda Wildlife Authority (UWA) |
| | Objectives/purpose | <ul style="list-style-type: none"> • A spatial management information system (MIST) that supports planning, decision-making, monitoring and evaluation in wildlife management in Uganda. • A law enforcement monitoring tool. • Data from ranger patrols are entered into the MIST software and can be used to assess trends in illegal activities and sightings of rare species. • A user-friendly client/server application programme which is easy to maintain and up-date. |
| | Data content (what is the information about, what indicators included– eg vegetation cover, literacy rate etc.) | <ul style="list-style-type: none"> • Ecological data. • Data on illegal activities collected by rangers on law-enforcement ground patrols and air patrols. • Visitor data at park gates. • Data on resource harvest by local communities. • All spatial data collected are geo-referenced using Global Positioning System (GPS). |
| | Data type/format (spatial data, map images, database, text files, Excel files etc.) | <ul style="list-style-type: none"> • Central database on a server with local area network. • The databases from the Protected Areas are synchronized with the central MIST database through automatic database replication using digital data transfer. • The programme consists of three logical units: a database and database server software, application processing libraries and a graphical user interface. • Database server handles data storage and processing. |

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| | <ul style="list-style-type: none"> • The spatial display is handled by ESRI MapObjects using shape files. |
| Sources of information | <ul style="list-style-type: none"> • Wildlife Protected Areas Staff. • Researchers. • Consultants. |
| Methods for collecting information | <ul style="list-style-type: none"> • Ecological data is collected through aerial and ground surveys. • Data on illegal activities is collected by rangers on law-enforcement ground patrols and air patrols (Ranger Based Data Collection). • Visitor data is collected by clerks who record visitor attributes at park gates. • Data on resource harvest by local communities is recorded by Protected Area staff during periods when local communities are permitted to extract resources from designated areas of wildlife protected areas. |
| What is the information used for | <ul style="list-style-type: none"> • Planning, Management Decision Making, Monitoring and Evaluation. • Facilitates annual operations planning and monitoring and evaluation of implementation of plans. • Used to produce: <ul style="list-style-type: none"> ✓ Indices for monitoring of wildlife populations, illegal activities and resource harvest by local communities without the need for expensive baseline data. ✓ Distribution maps for planning and monitoring. ✓ Baseline information for patrol deployment planning. ✓ Information on wildlife population structure. ✓ Performance indicators to monitor and evaluate the implementation of annual operations' plans. ✓ Reports for collaborating institutions. |
| Other institutions involved and role | <ul style="list-style-type: none"> • Management Information System (MIST) was developed under a GTZ project in Murchison Falls National Park. • Wildlife Conservation Society (WCS) worked with UWA to roll out the program to all Wildlife Protected Areas in Uganda. |
| Geographical coverage | <ul style="list-style-type: none"> • Wildlife Protected Areas (National Parks and Wildlife Reserves). |
| Quality control/reliability/cr edibility | <ul style="list-style-type: none"> • MIST has been placed in an Information Management Unit which reports directly to the Executive Director of UWA to guarantee access for all users, horizontal information flow, and data integrity. |
| Location and format of storing the information (How is the information stored: paper documents, files on local computers, files on a server, database etc.) | <ul style="list-style-type: none"> • Database and database server located at Uganda Wildlife Authority Headquarters, Plot 7 Kira Road, Kamwokya; P.O. Box 3530 Kampala, Uganda. • The databases from the Protected Areas are synchronized with the central MIST database through automatic database replication using digital data transfer. |
| Access policy (How can the information be accessed, is the data public or restricted) provide weblink if available | <ul style="list-style-type: none"> • The information/data is not accessible to the public/private sector. |
| Periodicity/frequency of updates | <ul style="list-style-type: none"> • Uncertain. |
| When last updated | <ul style="list-style-type: none"> • Uncertain. |
| Availability of finance to maintain/update | <ul style="list-style-type: none"> • Uncertain. |

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| | Challenges/notes | <ul style="list-style-type: none"> • Application of MIST appears to be limited to wildlife protected areas and even then as a law enforcement monitoring tool. |
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| #6 | Name of the system | <ul style="list-style-type: none"> • National Biodiversity Data Bank - NBDB |
| | Institutional home | <ul style="list-style-type: none"> • Makerere University Kampala (MUK) |
| | Objectives/purpose | <ul style="list-style-type: none"> • Objectives: <ul style="list-style-type: none"> ✓ To provide data and information regarding the country's biodiversity, so as to inform decision making processes in Uganda that would affect biodiversity and the environment as a whole. ✓ To inventory and monitor national biological resources and to provide biodiversity information to those interested in the conservation and sustainable utilization of these resources. ✓ To act as a central repository for biodiversity data and information. |
| | Data content (what is the information about, what indicators included—eg vegetation cover, literacy rate etc.) | <ul style="list-style-type: none"> • To date, Biodiversity Data Bank contains: <ul style="list-style-type: none"> ✓ Over 8,000 species entries that include taxonomy; national, regional and global conservation status; habitat specialism; breeding information; growth form (plants); etc. ✓ About 140,000 geo-referenced species locality records that include dates of recording; numbers and abundance; habitat information; recorders/observers information; etc. ✓ A gazetteer file with about 7,000 entries that are places of biological recording, including geographic coordinates. ✓ Data on protected areas. ✓ Data on administrative units. ✓ Data on recorders/observers that have contributed data or whose data have been computerized. ✓ Citations where these have been used to computerize species data. • Some of the data in Biodiversity Data Bank has been analyzed to produce different reports and publications that include: <ul style="list-style-type: none"> ✓ The State of Uganda's Biodiversity (from 2000 to 2017). ✓ The Bird Atlas of Uganda (2005). ✓ The East African Bat Atlas (2009). |
| | Data type/format (spatial data, map images, database, text files, Excel files etc.) | <ul style="list-style-type: none"> • Software: The database application, called Biodiversity Data Bank (BDB), was developed on a FoxPro for Windows Platform, a Relational Database Management System. • Geospatial Data. • Map Images. • Web-based Interactive Database. |
| | Sources of information | <ul style="list-style-type: none"> • Biological Records and Maps in Hard Copy Format at NBDB namely: <ul style="list-style-type: none"> ✓ Species checklists for various taxa: higher plants, insects, fish, amphibians, reptiles, birds and mammals. ✓ Geo-referenced species locality records. ✓ Topographic maps at various scales. ✓ Maps with information affecting biological distributions, e.g., rainfall, altitude, vegetation cover, land use, etc. |
| | Methods for collecting information | <ul style="list-style-type: none"> • Digitization with GIS technology of Biological Records and Maps in Hard Copy Format. • Observations and Recordings. • Research. |
| | What is the information used for | <ul style="list-style-type: none"> • Used to inform decision making processes in Uganda that would affect biodiversity and the environment as a whole. • Used to promote conservation and sustainable utilization of biological resources. |
| | Other institutions involved and role | <ul style="list-style-type: none"> • Wildlife Conservation Society Uganda (WCS Uganda). • Nature Uganda. |

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| | | <ul style="list-style-type: none"> • Arcos Network. • National Forestry Authority (NFA). • Uganda National Council for Science and Technology (UNCST). • Uganda Wildlife Authority (UWA). • National Environment Management Authority (NEMA). • Greater Virunga Trans-boundary Collaboration (GVTC). |
| | Geographical coverage | <ul style="list-style-type: none"> • Nationwide. |
| | Quality control/reliability/cr edibility | <ul style="list-style-type: none"> • The National Biodiversity Data Bank (NBDB) was established in 1990 with initial funding from USAID. • NBDB is part of Makerere University, Uganda's leading teaching and research University. |
| | Location and format of storing the information (How is the information stored: paper documents, files on local computers, files on a server, database etc.) | <ul style="list-style-type: none"> • Location: National Biodiversity Data Bank, Department of Environmental Management, College of Agricultural and Environmental Sciences, Makerere University, P.O. Box 7298, Kampala. • Format: <ul style="list-style-type: none"> ✓ Software: The database application, called Biodiversity Data Bank (BDB), was developed on a FoxPro for Windows Platform, a Relational Database Management System. ✓ Geospatial Data. ✓ Map Images. ✓ Files on a Server. ✓ Web-based Interactive Database. |
| | Access policy (How can the information be accessed, is the data public or restricted) provide weblink if available | <ul style="list-style-type: none"> • The information/data is accessible to the public/private sector provided the user is registered with the Administrator. • Weblinks - http://www.nbdb.mak.ac.ug/ or http://caes.mak.ac.ug/nbdb/ |
| | Periodicity/frequency of updates | <ul style="list-style-type: none"> • Uncertain. |
| | When last updated | <ul style="list-style-type: none"> • Uncertain. |
| | Availability of finance to maintain/update | <ul style="list-style-type: none"> • Uncertain. |
| | Challenges/notes | <ul style="list-style-type: none"> • National Biodiversity Data Bank sometimes not accessible via weblinks - http://www.nbdb.mak.ac.ug/ or http://caes.mak.ac.ug/nbdb/ |

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| #7 | Name of the system | <ul style="list-style-type: none"> • National Forest Monitoring System (formerly National Biomass Monitoring Database) |
| | Institutional home | <ul style="list-style-type: none"> • National Forestry Authority (NFA) |
| | Objectives/purpose | <ul style="list-style-type: none"> • Gives information on the land cover and woody biomass status of Uganda to support the decision making process. • Used to monitor trends in the forest resources and the dynamics of woody biomass in Uganda. • Data on both land cover and biomass is used to determine carbon sequestration potential and its dynamics in Uganda. |
| | Data content (what is the information about, what indicators included– eg vegetation cover, literacy rate etc.) | <ul style="list-style-type: none"> • Facts on land cover/land use and biomass within and outside Central Forest Reserves. • Land cover/Land use map. • National woody biomass statistics. |
| | Data type/format (spatial data, map | <ul style="list-style-type: none"> • Database. |

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| | images, database, text files, Excel files etc.) | <ul style="list-style-type: none"> • Map images. |
| | Sources of information | <ul style="list-style-type: none"> • Remote sensing/satellite images (Landsat imagery) for land cover mapping and stratification. |
| | Methods for collecting information | <ul style="list-style-type: none"> • Purchase of relevant satellite images, image processing and interpretation. • A series of field trips for ground truthing, final delineation and editing. • Physical assessment of land cover and trees in a grid of sample plots that are distributed at predefined locations throughout the country. |
| | What is the information used for | <ul style="list-style-type: none"> • Management Decision Making. • Used to monitor trends in the forest resources and the dynamics of woody biomass in Uganda. • Data on both land cover and biomass is used to determine carbon sequestration potential and its dynamics in Uganda. |
| | Other institutions involved and role | <ul style="list-style-type: none"> • The Norwegian government through NORAD provides technical and financial assistance towards biomass monitoring inventories and land cover mapping exercises that take place in Uganda. |
| | Geographical coverage | <ul style="list-style-type: none"> • Nationwide. |
| | Quality control/reliability/credibility | <ul style="list-style-type: none"> • Ugandan forestry experts initially worked alongside Norwegian counterparts in biomass monitoring inventories and land cover mapping exercises. Subsequently, Uganda forestry scientists were able to undertake the same exercises on their own with the same quality control/reliability/credibility as was the case when the Norwegian forestry scientists were onboard. |
| | Location and format of storing the information (How is the information stored: paper documents, files on local computers, files on a server, database etc.) | <ul style="list-style-type: none"> • Database located at National Forestry Authority Headquarters, Plot 10/20 Spring Road; P.O. Box 70863 Kampala, Uganda. |
| | Access policy (How can the information be accessed, is the data public or restricted) provide weblink if available | <ul style="list-style-type: none"> • The information/data is accessible to the public/private sector at cost recovery on data requiring that users pay for data at production cost. |
| | Periodicity/frequency of updates | <ul style="list-style-type: none"> • Irregular (1992, 2009, 2014). |
| | When last updated | <ul style="list-style-type: none"> • 2014. |
| | Availability of finance to maintain/update | <ul style="list-style-type: none"> • Irregular. |
| | Challenges/notes | <ul style="list-style-type: none"> • Database not web-based. • Limited/no participation of national/local institutions in database development/maintenance/update. |

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| #8 | Name of the system | <ul style="list-style-type: none"> • National Wetlands Information System - NWIS |
| | Institutional home | <ul style="list-style-type: none"> • Wetlands Management Department (WMD) |
| | Objectives/purpose | <ul style="list-style-type: none"> • Objectives: <ul style="list-style-type: none"> ✓ To provide a database to support efforts to protect and sustainably use wetlands. |

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| | | <ul style="list-style-type: none"> ✓ To provide an inventory of different wetland uses, their level of use, and the impact of these uses on wetland systems. |
| | Data content (what is the information about, what indicators included—eg vegetation cover, literacy rate etc.) | <ul style="list-style-type: none"> • The National Wetlands Information System contains detailed data on wetlands, including their ecological attributes, main uses, human-induced threats, and land tenure regimes. • The National Wetlands Information System contains information from approximately 5,000 sample points covering most of Uganda’s districts that has been integrated into a single, geographically referenced database. • The National Wetlands Information System tracks 13 main uses of wetlands: <ul style="list-style-type: none"> ✓ Beekeeping. ✓ Cultivation of food and fiber. ✓ Fishing. ✓ Harvesting of natural herbaceous vegetation. ✓ Human settlement. ✓ Hunting. ✓ Livestock grazing. ✓ Mineral excavation. ✓ Natural tree harvesting. ✓ Tree plantations. ✓ Tourism. ✓ Wastewater treatment. ✓ Water collection. • The National Wetlands Information System classifies each wetland use according to its level of impact on the individual grassland, swamp forest, or other wetland system. |
| | Data type/format (spatial data, map images, database, text files, Excel files etc.) | <ul style="list-style-type: none"> • Wetlands Database or National Wetlands Information System. • Datasets. • Maps. • Geospatial Data. |
| | Sources of information | <ul style="list-style-type: none"> • Field Observations and Recordings. |
| | Methods for collecting information | <ul style="list-style-type: none"> • Standardized inventory of wetlands carried out for approximately 5,000 wetland sample points between 1997 and 2001. • Each sample point reflected the uses and impacts observed in the field of vision at that location. • Field teams inventoried 37 different wetland products, which they aggregated to 13 different main uses. |
| | What is the information used for | <ul style="list-style-type: none"> • Database is used to inform decision making processes in Uganda that support efforts to protect and sustainably use wetlands. • Because each sample point in the National Wetlands Information System is geographically referenced, national maps of each use can be produced and such maps can inform decision-makers where specific uses take place and help them determine where these uses should be further expanded or stopped. |
| | Other institutions involved and role | <ul style="list-style-type: none"> • National Forestry Authority (NFA). • National Environment Management Authority (NEMA). • Ministry of Lands, Housing and Urban Development (MLHUD). |
| | Geographical coverage | <ul style="list-style-type: none"> • Nationwide. |
| | Quality control/reliability/credibility | <ul style="list-style-type: none"> • The Wetlands Database or National Wetlands Information System was set up and is maintained by the Wetlands Management Department of the Ministry of Water and Environment. • Between 1995 and 2005, the Wetlands Inspection Division spent about US\$ 2 million to carry out wetland inventories for 30 Districts and build the National Wetlands Information System. |

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| | | <ul style="list-style-type: none"> Information from approximately 5,000 sample points covering most of Uganda's districts has been integrated into a single, geographically referenced database, the National Wetlands Information System. |
| | Location and format of storing the information (How is the information stored: paper documents, files on local computers, files on a server, database etc.) | <ul style="list-style-type: none"> Location: Wetlands Management Department, Ministry of Water and Environment, Plot 21/28 Port Bell Road, Luzira, P.O. Box 20026 Kampala, Uganda Tel: +256 414 505942 Email: mwe@mwe.go.ug Website: www.mwe.go.ug Format: <ul style="list-style-type: none"> ✓ Geographically referenced format. ✓ Geospatial Data. ✓ Map Images. ✓ Database. |
| | Access policy (How can the information be accessed, is the data public or restricted) provide weblink if available | <ul style="list-style-type: none"> The information/data is not accessible to the public/private sector. |
| | Periodicity/frequency of updates | <ul style="list-style-type: none"> Uncertain. |
| | When last updated | <ul style="list-style-type: none"> Uncertain. |
| | Availability of finance to maintain/update | <ul style="list-style-type: none"> Uncertain. |
| | Challenges/notes | <ul style="list-style-type: none"> Information on the location and extent of specific wetlands in the National Wetlands Information System still relies on a 1996 land cover map that is clearly out of date. The data, collected between 1997 and 2001, needs update. Information about the regulating services of wetlands - erosion control; fish breeding; floodwater protection/retention; carbon storage - is limited. The data pertain primarily to wetland products: water, fiber, fuel wood, and so on. The NWIS has not been completed, some districts, particularly in the north, but also some eastern and central districts, have not been surveyed. There are no clear linkages between the NWIS database and wetland databases at the National Forestry Authority (NFA), NEMA, or the Land Information System in the Ministry of Lands, Housing and Urban Development (MLHUD). Few resources have been earmarked to analyze and communicate the data from the National Wetlands Information System. The Wetlands Management Department needs to secure funding and develop a long-term plan with regularly scheduled updates for the National Wetlands Information System. |

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| #9 | Name of the system | Uganda National Household Survey |
| | Institutional home | Uganda Bureau Of Statistics |
| | Objectives/purpose | <ol style="list-style-type: none"> Generate and provide socio-economic indicators for monitoring and tracking progress towards Uganda's development goals; Meet the data needs of key users including Ministries, Departments and Agencies (MDAs) of Government and Development Partners among others; |

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| Data content (what is the information about, what indicators included– eg vegetation cover, literacy rate etc.) | <ul style="list-style-type: none"> • Poverty • Education indicators(enrollment rate , literate rate etc • Health |
| Data type/format (spatial data, map images, database, text files, Excel files etc.) | <ul style="list-style-type: none"> • Spatial data • Maps • Stata |
| Sources of information | Households |
| Methods for collecting information | Personal Interviews |
| What is the information used for | <ul style="list-style-type: none"> • Policy formulation • SDG monitoring |
| Other institutions involved and role | Ministry of Finance, Planning and Economic Development, Economic Policy Research Centre |
| Geographical coverage | National level, for urban and rural areas and for the 15 sub-regions of Uganda |
| Quality control/reliability/cr edibility | <ul style="list-style-type: none"> • Use of Computer Assisted Personal Interviews • Field Supervision • Office edition on real time |
| Location and format of storing the information (How is the information stored: paper documents, files on local computers, files on a server, database etc.) | <ul style="list-style-type: none"> • UBOS server • The files are in stata |
| Access policy (How can the information be accessed, is the data public or restricted) provide weblink if available | |

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| Periodicity/frequency of updates | 3years |
| When last updated | 2017 |
| Availability of finance to maintain/update | YES. The survey is funded by GOU |
| Challenges/notes | |

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| #10 | Name of the system | Uganda Demographic and Health Survey (UDHS) |
| | Institutional home | Uganda Bureau of Statistics |
| | Objectives/purpose | <p>The purpose and objectives of the UDHS series change based on the needs of the Stakeholders. However, the purpose and objectives of the 2016 UDHS, the latest in the series were:</p> <p>To provide up-to-date estimates of basic demographic and health indicators.</p> <p>To generate key demographic indicators, particularly fertility and under-5, adult, and maternal mortality rates</p> <p>To determine direct and indirect factors that determine levels of and trends in fertility and child mortality</p> <p>To measure contraceptive knowledge and practice</p> <p>To collect information on Key aspects of maternal and child health, including immunisation coverage among children, prevalence and treatment of diarrhoea and other diseases among children under age 5, and maternity care indicators such as antenatal visits and assistance at delivery</p> <p>To gather data on child feeding practices, including breastfeeding, and anthropometric measures to assess the nutritional status of women, men, and children</p> <p>To measure knowledge and attitudes of women and men about sexually transmitted infections (STIs) and HIV/AIDS, potential exposure to the risk of HIV infection (risk behaviours and condom use), and coverage of HIV testing and counselling (HTC) and other key HIV/AIDS programmes</p> <p>To measure Anaemia in women, men, and children</p> <p>To collect data on malaria prevalence in children as a follow-up to the 2014-15 Uganda Malaria Indicator Survey</p> <p>To determine vitamin A deficiency (VAD) in children</p> <p>To measure key education indicators, including school attendance ratios, level of educational attainment, and literacy levels</p> |

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| | | <p>To determine the extent of disability</p> <p>To collect information on early childhood development</p> <p>To determine extent of gender-based violence</p> |
| | <p>Data content (what is the information about, what indicators included– eg vegetation cover, literacy rate etc.)</p> | <ul style="list-style-type: none"> ● Housing characteristics and Household population characteristics like source of drinking water, toilet facilities, fuel for lighting and cooking; age-sex composition, orphan hood, child discipline, death registration etc ● Characteristics of respondents like education and literacy, exposure to mass media, internet use, employment, health insurance, Tobacco smoking etc. ● Information on marriage and sexual activity e.g median age at first marriage, Polygyny, median age at first sexual intercourse, etc. ● Fertility indicators like Total Fertility Rate, Birth intervals, age at 1st birth, Teenage child bearing etc ● Fertility preference data like desire for children, limiting of childbearing, ideal family size, wanted births, unwanted fertility etc ● Family planning indicators like modern contraceptive use, contraceptive discontinuation, demand for family planning, unmet need for FP, future use of contraception etc. ● Maternal health care data e.g. Antenatal care and its components, protection against neonatal tetanus, delivery care, postnatal care etc ● Child health and development indicators like vaccinations, symptoms of ARI, fever, Feeding practices during diarrhea, early child development information; etc ● Current levels and Trends in Infant and Child Mortality ● Information on nutrition on children and adults like stuntedness, wasted, overweight, obesity, breastfeeding, Anaemia, Salt iodisation etc ● Malaria related indicators like ownership and use of insecticide-treated nets, Intermittent preventive treatment (IPTp) during pregnancy, Source of advice or treatment for children with fever, Artemisinin-based combination therapy, severe anaemia in children, Malaria prevalence in children etc ● HIV/AIDS related knowledge, attitude and behavior e.g. knowledge about HIV transmission, Knowledge about mother to child transmission of HIV, Discriminatory attitudes, sexual partners etc ● Women empowerment indicators like employment, control over earnings, ownership of property, bank account use and mobile phone ownership, decision making, attitude towards wife beating, Negotiating sexual relations etc ● Adult and maternal mortality indicators like Adult mortality, maternal mortality ratio, pregnancy related mortality ratio, Lifetime risk of maternal death etc ● Information on domestic violence including Physical or sexual violence; Violence during pregnancy; Marital control; Fear of spouse/partner; Spousal violence; Injuries due to spousal violence; Help seeking ● Percentage of Agricultural households using irrigation in at least one plot ● Percentage of agricultural households using pesticides etc |
| | <p>Data type/format (spatial data, map images, database, text files, Excel files etc.)</p> | <p>CsPro, Stata, SPSS formats</p> |

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| Sources of information | Households |
| Methods for collecting information | Interview using questionnaires preloaded on the computer (CAPI) |
| What is the information used for | Planning, policy formulations, Decision making, reports and Analyses |
| Other institutions involved and role | Ministry of Health – Chairs the steering committee Makerere University: Support in writing papers ICF Macro International - Technical Support |
| Geographical coverage | National |
| Quality control/reliability/c redibility | <ul style="list-style-type: none"> • Monitoring and Evaluation • Quality control checks inbuilt in the data collection application system |
| Location and format of storing the information (How is the information stored: paper documents, files on local computers, files on a server, database etc.) | Shared folders, server and off- UBOS site ICF Website |
| Access policy (How can the information be accessed, is the data public or restricted) provide weblink if available | Website, Hardcopies, reports, CDs The data is available on the ICF Macro website on request. |
| Periodicity/frequency of updates | Every 5 years |
| When last updated | 2016 |
| Availability of finance to maintain/update | The survey is funded by donors every other 5 years and funds are always available during the implementing period |
| Challenges/notes | <ul style="list-style-type: none"> • Some non-response reported due to respondent fatigue. |

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| #11 | Name of the system | Annual Agricultural Survey (AAS) |
| | Institutional home | Uganda Bureau of Statistics |
| | Objectives/purpose | <p>To provide high quality and timely current agricultural data on priority core macro and micro development indicators on the performance of agriculture sector as well as indicators on crop, livestock and environment interaction for better agricultural policy making.</p> <p>It also provides a platform for developing, piloting and validating innovative methods for the collection and dissemination of data.</p> <p>More specifically, AAS aims to provide timely data and information;</p> <ol style="list-style-type: none"> 1. On agricultural land area, production, price of agricultural outputs and inputs, market information, farm income, food security, gender and environment etc; 2. For assessing the adoption of appropriate agricultural production practices in different agro ecological zones in Uganda. 3. On livestock production, adoption and use of livestock production technologies in Uganda 4. On land use, land use change, land cover and forestry 5. About the health and quality of the soils in Uganda 6. For tracking and evaluating impacts government and development programs 7. For tracking and evaluating the impacts of the agricultural technologies and practices on agricultural productivity, livelihoods and poverty |
| | Data content (what is the information about, what indicators included— eg vegetation cover, literacy rate etc.) | <ul style="list-style-type: none"> ● Literacy, education, main economic activity among agricultural households ● Crop Area ● Crop production ● Crop disposition ● Livestock production ● Percentage of Agricultural households using irrigation in at least one plot ● Percentage of agricultural households using pesticides Etc |
| | Data type/format (spatial data, map images, database, text files, Excel files etc.) | STATA data files |
| | Sources of information | Agricultural households |
| | Methods for collecting information | Interview using questionnaires |
| | What is the information used for | Planning, policy formulations, Decision making, reports and Analyses |

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| Other institutions involved and role | Ministry of agriculture, Animal Industry and Fisheries |
| Geographical coverage | Country wide |
| Quality control/reliability/c redibility | <ul style="list-style-type: none"> • Monitoring and Evaluation • Quality control checks inbuilt in the data collection application system |
| Location and format of storing the information (How is the information stored: paper documents, files on local computers, files on a server, database etc.) | Shared folders, server and off- UBOS site |
| Access policy (How can the information be accessed, is the data public or restricted) provide weblink if available | Website, Hardcopies, reports, CDs Data is restricted and will be made available to the public in October 2019 |
| Periodicity/frequency of updates | Annual |
| When last updated | 2018 |
| Availability of finance to maintain/update | Available |
| Challenges/notes | <ul style="list-style-type: none"> • Resistance by farmers regarding agricultural land area measurement • Fear of Taxation • Land grabbing in the country has led to loss of Trust • Intermittent finances • None response due to short term movements etc. |

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| #12 | Name of the system | Uganda Service Delivery Survey (Cross sectional survey) |
| | Institutional home | Uganda Bureau Of Statistics |
| | Objectives/purpose | The overall objective of this survey was to provide a comprehensive assessment of the trends in service delivery in the areas of Health, |

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| | <p>Education, Justice, Law and Order, Agricultural services, Transport services (Road Infrastructure, Water and Air transport), Energy use, Water and Sanitation, Public Sector Management and Accountability.</p> <p>The specific objectives were to:</p> <ul style="list-style-type: none"> (i) Provide up to date information about the performance and impact of selected public services at national and local Governments levels; (ii) Measure changes in service delivery in selected sectors; (iii) Identify constraints and gaps in the provision of selected public services by sectors; (iv) Provide recommendations for improvement in service delivery; (v) Generate and disseminate information about the services offered by selected Government sectors. |
| Data content (what is the information about, what indicators included– eg vegetation cover, literacy rate etc.) | <ul style="list-style-type: none"> • Education indicators(enrollment rate , literate rate etc • Health • Agriculture • Transport, communication |
| Data type/format (spatial data, map images, database, text files, Excel files etc.) | <ul style="list-style-type: none"> • Stata |
| Sources of information | Households |
| Methods for collecting information | Personal Interviews |
| What is the information used for | <ul style="list-style-type: none"> • Service delivery • SDG monitoring |
| Other institutions involved and role | Ministry of Finance, Planning and Economic Development, Economic Policy Research Centre |
| Geographical coverage | National level, for urban and rural areas and for the 5 regions of Uganda |
| Quality control/reliability/credibility | <ul style="list-style-type: none"> • Field Supervision • Office edition on real time |
| Location and format of storing the information (How is the information stored: paper documents, files on local computers, files on a server, database etc.) | <ul style="list-style-type: none"> • UBOS server • The files are in stata |
| Access policy (How can the information be accessed, is the data public or restricted) provide weblink if available | |

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| | Periodicity/frequency of updates | 4 years |
| | When last updated | 2015 |
| | Availability of finance to maintain/update | Funds not available |
| | Challenges/notes | |

11.3 Annex 3. Principles, criteria and indicators for Uganda REDD+ SIS including methodology, responsibilities and performance thresholds (circulated separately as an Excel file)

11.4 Annex 4. Detailed responsibilities for information collection and validation for the SIS

Detailed responsibilities for each entity involved in different SIS functions are provided below, based on the matrix in Annex 3.

FSSD/REDD+ Secretariat

- Review and approve all REDD+ activity proposals and reports ensuring that proposals and implementation are consistent with national forestry policies and the REDD+ strategy; post online and send copies to DNRO in relevant Districts
- Ensure that the national REDD+ strategy design, implementation and results are available online
- Publish notices of meetings including dates, participants and minutes related to REDD+ for REDD+ Steering Committee (NCCAC) and REDD+ Technical Committee
- Assess the combined contribution of all REDD+ activities in the last year to the objectives of the NCCP/NDC a) mitigation (t/CO₂e), b) adaptation (High/Medium/Low), c) finance (UGX received)
- Assess integration of REDD+ activities into annual work plans and budgets of relevant Ministries, Departments and Agencies
- Assess status of development and gazetting of laws/regulations REDD+ benefit sharing
- Request annual information from NFA and UWA Sector and Range Managers on
 - community-based natural forest resource agreements and collaborative forest management agreements supported by REDD+
 - change in level of illegal activities in natural forests and the area of natural forests under effective patrol in each District where REDD+ is implemented
 - number of FDIP communities and the percentage of communities with accommodation to recognize rights
- Request information annually from NFA/NFMS on natural forests and other key habitats converted over the last year in HCVs, RAMSAR sites, World Heritage Conservation Sites, Important Bird Areas, Key Biodiversity Areas, animal sanctuaries and protected areas
- Request data disaggregated by District from UBOS on change in annual household income compared with average over 5 years before REDD+ was implemented in that District
- Request data disaggregated by District from UBOS on change in yield/ha or productivity for the 1-3 crops/livestock production compared with average over 5 years before REDD+ was implemented in that District
- Request data disaggregated by District from UBOS from latest DHS survey: percentage children less than 5 yrs old who are underweight (Weight-for-age takes into account both acute and chronic undernutrition. Children whose weight-for-age Z-score is below minus two standard deviations (-2 SD) from the median of the reference population are classified as underweight) ; percentage of women and men who are thin (Body Mass Index < 18.5)
- Provide evidence of revision of spatial analysis of drivers of deforestation in last 5 years

FSSD/FGRM Office

- Compile annual report on REDD+ related grievances registered and resolved/not resolved

Activity lead

- Submit REDD+ activity proposal and reports to FSSD/REDD+ Secretariat and request approval notice
- Submit annual financial audit report to FSSD/REDD+ Secretariat
- Provide information on the proportion of the REDD+ activity area with land title or certificate
- Report of benefits distributed to stakeholders according to the agreed benefit sharing plan
- Submit screening for involuntary resettlement and economic displacement, and resettlement action plan and monitoring reports as required
- Submit documentation of free, prior and informed consent through traditional decision-making process - e.g. consent given by traditional leader
- Include assessment of relevant traditional knowledge and cultural heritage and measures taken for their respect in activity proposal and implementation reports
- Include stakeholder analysis and mapping and stakeholder engagement plan in activity proposal
- Provide consultation reports that detail the number of people participating, number of forest-dependent indigenous peoples, youth and minorities, and an annual report that calculates the proportion of affected stakeholders participating in consultations over previous year
- Include in reports information on numbers of women and men participating in all activities and meetings. Calculate annual average % women participants across all activities
- Conduct analysis of potential impacts and influence of women and men on all activities and develop a gender action plan, and reports on its implementation in annual activity reports.
- Provide evidence of environmental screening report, of EIA approval certificate, of environmental monitoring reports and of positive environmental audits showing NEMA approval
- For REDD+ activities in a forestry concession, provide annual NFA approval that sustainable forest management plan is being followed
- For REDD+ activities involving pesticide use, provide evidence of NEMA approval of integrated pest management plan and implementation reports
- Identify landowners and other rights holders (eg grazing rights, other use rights), provide them with information about the activity and its potential impacts and mitigation and establish an agreement (e.g. MOU)
- Establish annual performance targets in annual work plan, and in activity reports assess % targets achieved. Average annual % implementation is calculated across all performance targets (no weighting)

District Natural Resources Officer

- Make proposals and reports available publicly for all REDD+ activities in the District
- Ensure that all REDD+ activities in the District are approved by the District Technical Planning Committee through their integration into the District annual workplan and budget
- Publish notices of meetings including dates, participants and minutes related to REDD+ for DENRC and District Technical Planning Committee (DTPC)

- Report on establishment and functioning of the DENRC, Forestry Committees, FGRM committee and Environmental Tribunals
- Provide the average % participation of representatives from all relevant stakeholder groups in DENRC meetings over the previous calendar year
- With support from the Forestry Officer, Community Development Officer and other relevant officers
 - assess if members of the community have grievances about each REDD+ activity, do they know of grievance mechanism, have they used it, is it functioning
 - identify corruption cases detected and action taken
 - assess the proportion of District area with land titles and certificates of customary land ownership - individual or collective
 - assess local knowledge about REDD+ activities in the District
 - review and approve the gender analysis and action plan included in the proposal and the implementation included in the activity reports

District Environment & Natural Resources Committee (DENRC)

- Validate for all REDD+ activities in the Districts
 - proposals and reports have been approved by FSSD/REDD+ Secretariat
 - integrated into District annual workplan and budget
 - grievances related to the REDD+ activity, and whether the grievance mechanism is functioning
 - report of proportion of REDD+ activity area with land title or certificate
 - report of benefits distributed to stakeholders according to the agreed benefit sharing plan
 - screening has been conducted for involuntary resettlement and economic displacement, and resettlement action plan and monitoring reports as required
 - documentation of free, prior and informed consent through traditional decision-making process
 - assess whether relevant traditional knowledge and cultural heritage has been identified and measures taken for their respect
 - stakeholder analysis and mapping and stakeholder engagement plan in activity proposal
 - consultation reports and activity reports that detail the number of people participating, number of forest-dependent indigenous peoples, youth and minorities, and an annual report that calculates the proportion of affected stakeholders participating in consultations and activities over previous year
 - Include in reports information on numbers of women and men participating in all activities and meetings. Calculate annual average % women participants across all activities
 - gender analysis and action plan included in the activity proposal and the implementation included in the activity reports

- Validate for the District:

- report of change in level of illegal activities in natural forests in the District and the area of natural forest under effective patrol
- report of establishment and functioning in the District of the DENRC, Forestry Committees, FGRM committee and Environmental Tribunals
- corruption cases detected and action taken
- proportion of District area with land titles and certificates of customary land ownership - individual or collective
- average % participation of representatives from all relevant stakeholder groups in DENRC meetings over the previous calendar year
- District officers' assessment of local knowledge about REDD+ activities

National REDD+ Technical Committee

- Validate
 - contributions of all REDD+ activities to the objectives of the NCCP/NDC
 - integration of REDD+ activities into annual work plans and budgets of relevant Ministries, Departments and Agencies
 - all entities implementing REDD+ activities have passed a financial audit
 - annual report on REDD+ related grievances resolved and not resolved
 - publication of information about meetings including dates, participants and minutes related to REDD+ for REDD+ Steering Committee (NCCAC) and REDD+ Technical Committee for national level
 - information on community-based natural forest resource agreements and collaborative forest management agreements supported by REDD+
 - number of FDIP communities and the percentage with accommodation to recognize rights
 - annual information from NFA/NFMS on natural forests and other key habitats mapped and conversion calculated over last year in HCVs, RAMSAR sites, World Heritage Conservation Sites, Important Bird Areas, Key Biodiversity Areas, animal sanctuaries and protected areas
 - evidence of environmental screening report, of EIA approval certificate, of environmental monitoring reports and of positive environmental audits showing NEMA approval
 - for REDD+ activities in forestry concessions, that annual NFA approval has been obtained that sustainable forest management plan is being followed
 - for REDD+ activities involving pesticide use, NEMA approval of integrated pest management plan and implementation reports
 - UBOS data disaggregated by District on change in annual household income, change in yield/ha or productivity for the 1-3 crops/livestock production percentage children less than 5 yrs old who are underweight (Weight-for-age takes into account both acute and chronic undernutrition. Children whose weight-for-age Z-score is below minus two standard deviations (-2 SD) from the median of the reference population are classified as underweight) ; percentage of women and men who are thin (Body Mass Index < 18.5)
 - revision of the spatial drivers of deforestation every 5 years
 - agreements established with landowners and other key stakeholders

- annual performance targets in annual work plan, and in activity reports assessment of % targets achieved.