



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

FIP National Focal Point
Ministry of Water and Environment
Kampala.

Revised: 25th March 2016

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Acronyms

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

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

1. INTRODUCTION

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

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

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

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

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

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

2. THE STAKEHOLDER ENGAGEMENT STRATEGY AND PLAN

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

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

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

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

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

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

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

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

3. STAKEHOLDER FOR FIP PROCESS

3.1 Stakeholder engagement - progress to-date

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

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

3.2 Planned Stakeholder engagement (January – November 2016)

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

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

3.2.1 Targeted Stakeholders

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

Table 1: Atlas of FIP Stakeholders

Institution	Mandate/Interest	Target
Category #1: Mandated institutions		

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

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

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

The above stakeholders will be engaged through the following approaches:

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

3.2.2 Engagement approaches

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

Table 2: Tools and approaches for mobilizing FIP stakeholders

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

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3.3.3 Engaging IPs and other special Groups

Consultations with Indigenous People and Special Groups are essential in order to ensure an inclusive FIP Strategy Plan formulation process. Consultations during the FIP Formulation process will aim to publicize the FIP and to secure their (IPs) view and contributions into FIP design. Additionally, IPs will be consulted on the FIP Investment Options with view to ensure that these options are understood and any likely implications on the livelihoods and rights of IPs are assessed and appropriate mitigation measures developed.

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

Table 3: IPs for FIP Formulation process

Category	Interest	Target
Forest Dependent people	Access and use of forests and forest resources	Mt Elgon landscape ♣ Tepeth : Mt. Moroto, Mt Napaka and Kadam ♣ Benet (Ndorobos): Mt Elgon Albertine Rift landscape ♣ Batwa/Pygimies: Semliki NP, Bwindi NP, Echuya CFR and Mgahinga NP
Special interest Groups (Cultural institutions, Forest resource use Groups)	Access and use of forests Forest resources development	Mt Elgon landscape ♣ CFM groups (MT Elgon national park + Namatala CFR) Albertine Rift ♣ CFM groups (Budongo CFR + Kasyoha Kitomi CFR) Cattle Corridor ♣ Cultural Institutions (Major land owners): Bunyoro, Buruli/Nakasongora and Buganda

IPs will participate in the FIP process as follows:

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

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4. APPROVAL AND DISCLOSURE

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

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

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

5. ANNEXES

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

To be inserted

5.2 Annex 2: FIP Road map (November 2015)

To be inserted

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

To be inserted

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

To be inserted

5.5 Annex 5: Composition of NCCAC

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

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5.6 Annex 6: Composition of the National Technical Committee

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

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