

# Government of Uganda

## United Nations Development Programme

### Conservation of Biodiversity in the Albertine Rift Forests of Uganda

**Project Summary:** The Albertine Rift Eco-Region is the most important forest system in Africa for biodiversity, extending across the Great Lakes Region of East and Central Africa (DRC, Uganda, Tanzania, Rwanda, Burundi). The regional level conservation planning process (2001-2003), developed a Strategic Planning Framework for the Albertine Rift Forests, recognizing six planning units at landscape level. The forests have been under increasing threat from growing commercial demands and from rural communities whose high levels of poverty make them dependent on forest resources for their livelihood. These pressures on the forest resources, coupled with weak conservation agencies at decentralized levels, and as yet untried collaborative management strategies with local people, have led to considerable loss of forest cover on private and public land. This GEF project will provide additional resources to the Government of Uganda and partners to implement innovative conservation activities in Planning Unit One – the Northern Albertine Forests of Uganda. The project will develop the national Conservation Strategy for Albertine Rift Forests under the Regional Framework, as well as a coherent M and E strategy for closed forests in Uganda. Project activities will include support to collaborative management, capacity strengthening in the newly formed National Forest Authority for improved management of Central Forest Reserves, strengthening and maintaining linkages between these protected areas through incentives for forest conservation on private land, and promote incentives for alternative resource use strategies and conservation on private lands. The project addresses the issues outlined in Strategic Priority BD1 of the GEF. The Ministry of Finance (Aid Liaison Department) will be the Executing Agency and will set up a National Project Steering Committee. The project will be implemented by the Ministry of Water, Lands and Environment who will appoint a National Project Coordinator, and work with WWF as co-implementer, who will recruit staff and set up the Project Management Unit in Hoima District. Project activities will be implemented by a series of institutions of comparative advantage, contracted by UNDP/GoU.

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## List of Acronyms

ALD	:	Aid Liaison Department
APR	:	Annual Progress Report
AR	:	Albertine Rift (AR-COS = Albertine Rift Conservation Society)
CAO	:	Chief Administrative Officer in District
CBD	:	Convention on Biological Diversity
CBNRM	:	Community Based Natural Resources Management
CBO	:	Community Based Organization
CCF	:	Country Cooperation Framework
CFM	:	Collaborative Forest Management
CFR	:	Central Forest Reserves
CLA	:	Communal Land Association
COP	:	Conference of Parties – for UN Conventions
CSD	:	Commission for Sustainable Development
CSO	:	Civil Society Organization
DEX	:	Direct Execution
DLG	:	District Local Government
DFO	:	District Forest Officer
DRC	:	Democratic Republic of Congo
FR	:	Forest Reserve
GEF	:	Global Environment Facility
IG & SL	:	Income Generation & Sustainable Livelihoods
MAAIF	:	Ministry of Agriculture Animal Industry and Fisheries
MDG	:	Millennium Development Goals
M&E	:	Monitoring and Evaluation
MFPED	:	Ministry of Finance Planning and Economic Development
MUFFNC	:	Makerere University Faculty of Forestry and Nature Conservation
MWE	:	Ministry of Water and Environment
NAADS	:	National Agricultural Advisory Services
NBSAP	:	National Biodiversity Strategy and Action Plan
NEMA	:	National Environment Management Authority
NEPAD	:	New Partnership for Africa's Development
NEX	:	National Execution
NFA	:	National Forestry Authority
NGO	:	Non-governmental Organizations
NPC	:	National Project Coordinator
NPM	:	National Project Manager
NPSC	:	National Project Steering Committee
OECD	:	Organization for Economic Co-operation and Development
PA	:	Protected Areas
PDF	:	Project Development Fund
PEAP	:	Poverty Eradication Action Plan
PMA	:	Plan for Modernization of Agriculture
PMU	:	Project Management Unit
PRIME	:	Productive Resources Investment for the Management of Environment
PRSP	:	Poverty Reduction Strategic Plan
TA	:	Technical Advisor
TOR	:	Terms of Reference
UN	:	United Nations
UNDAF	:	United Nations Development Assistance Framework
UNDP	:	United Nations Development Programme
UWA	:	Uganda Wildlife Authority
WCS	:	Wildlife Conservation society
WEHAB	:	Water, Energy, Health, Agriculture and Biodiversity
WSSD	:	World Summit on Sustainable Development
WWF	:	World Wide Fund for Nature

## SECTION ONE:

### Part 1: SITUATION ANALYSIS

**Overview:** The Albertine Rift (AR) eco-region ranks first out of the 119 distinct terrestrial eco-regions of continental Africa in terms of endemic species of birds, mammals, reptiles and amphibians and second in terms of globally threatened species (Dinnerstein et al 2003). This importance led to the global conservation community starting an eco-region conservation planning process across the whole of the eco-region in Uganda, Rwanda, Burundi, DRC and Tanzania (ARCOS 2001)<sup>1</sup>. This planning process divided the eco-region into six Conservation Planning Units. Two such units are in Uganda, Unit 1 – The Northern Forests (all in Uganda); and Unit 2 - Greater Virunga Unit including the southern AR forests of Uganda (e.g. Bwindi NP) with trans-boundary links to Rwanda & DRC<sup>2</sup>. Activities in this project focus on the Northern Unit of the Ugandan AR, but develop a national strategic plan for the entire Albertine Rift in Uganda, and integrate national plans into already developed regional strategic framework, ARCOS 2003<sup>3</sup>.

The project area extends from Budongo Forest Reserve (FR) to forests in Toro Game Reserve at the foot of Rwenzori Mountain National Park; in Masindi, Hoima, Kibaale and Kyenjojo Districts. There are three categories of Protected Area: those forests in National Parks, the forests in Central Forest Reserves and forests on private and public lands. This project will focus on the 12 Central Forest Reserves (CFRs) protected and managed by the Uganda National Forest Authority in the northern AR, with a total area of 165,100 ha (over 50% of the AR total) and over 100 discrete forest patches totaling 89,000 ha found on private land and a few patches on public land. In this proposal these ungazetted forests are named “private forests”. Annex 2 of the Project Brief maps the major forest blocks in the AR of Uganda.

The extensive ungazetted private forest areas have important conservation values; not just on their species content, but on the fact that they provide linkages or corridors between other larger forests, allowing connectivity which is important for species dispersal and gene flow between larger forests. Studies carried out during PDF-B process analyzed satellite images of the Albertine Rift area in western Uganda from the mid 1980s to 2001. These analyses show that since mid 1980s, over 11,000 ha of forest outside the formal PA network have been cleared around Bugoma FR alone and a further 43,500 ha around six major forest blocks in the area. By extrapolation, the loss of natural forest around all of the AR is estimated to be about 86,000 ha (almost 10 %) of the total natural forest cover since the mid 1980s. Unless this rate of loss on private land forest is checked there will be growing pressures on the PA forests

The Albertine Rift forests are important for providing important ecosystem services by regulating global and local climatic conditions and acting as a carbon sink. It is anticipated that the project will be able to open up opportunities for the local communities with forest on their private land to access financial resources through the new Carbon Development Mechanism and in so doing the project would further contribute to providing alternative livelihood support to the community. Catchment protection is provided to many streams, rivers and lakes; including international water bodies such as River Semuliki, Lake Edward and Lake George (a Ramsar site). Field visits and baseline studies during the PDF B process showed that over 50% of the population adjacent to the forests have some direct dependence on the Albertine Rift forests. Forests also provide critical agricultural support and environmental services that are often poorly understood and undervalued<sup>4</sup>. A regular supply of clean water and soil fertilization are

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<sup>1</sup> This eco-region planning process was financed by the MacArthur Foundation. A detailed Threat and Value Analysis was completed at Cyanguu Rwanda in 2001 and framework plan in Uganda in 2003.

<sup>2</sup> See detailed description (2002) of transboundary area in the Biodiversity Support Programme (Washington) programme.

<sup>3</sup> Note that GEF support assists conservation in the Uganda Parks (Unit 2 – Trust Fund and PAMSU), within Rwanda (PDF-B), and within the DRC (Congo Basin). This project is in contact with all such partners.

<sup>4</sup> Policy briefing notes on forest biodiversity valuation in Uganda, by UNDP-GEF Cross Borders Biodiversity Project (2001-2003)

major services provided by forests that are especially important to the poor, as they cannot afford alternatives such as piped water and fertilizers.

Forests are crucial to millions of Ugandans, especially the poorest sections of society. This was re-emphasised in the latest (Sixth) State of the Environment Report for Uganda 2004-5 (NEMA-2006). Some 35% of the Ugandan population who live below the poverty line are marginalized rural communities, unable to buy or grow fuel wood, without land or productive assets and are heavily dependent on access to forest resources for their survival. This dependence and the livelihood opportunities provided by forests were not adequately recognized in Ugandan planning fora until recently<sup>5</sup>.

There has been **no coordinated management system or plans** that include CFRs and forests on private lands. The local District Forest Officers managed each individual forest according to management plans that focused on internal issues, with little regard to external pressures and processes, with no community or district stakeholder buy-in. There was **no consideration of connectivity or corridors** to increase long-term viability. The last three years have seen the transformation of the past Uganda Forest Department from a normal civil service institution into the new National Forest Authority – an autonomous forest management body, answerable through a Board of Directors to the Ministry. This change was empowered by a new Forest Policy and new Forest Act, which provide for management plans, new financing methods, collaborative forest management etc<sup>6</sup>. Links to districts are still unclear, but the new forest policy offers scope for developing innovative forest conservation approaches. District Forestry is now governed through the new **District Forest Services**

## Part II. STRATEGY

The project supports the Government of Uganda Goals as articulated in the PEAP, by demonstrating the linkage between livelihoods and sustainable forest management through supporting community participation and partnership. The project supports the **UNDP Country Programme in the areas of good governance and support to decentralization, improved public accountability and linking environment to poverty reduction**.

The project supports BD Strategic Priority 1 objectives by focusing on the sustainability of a major sub-set of Uganda's PA system – the Albertine Rift Valley Forests; the richest PAs in terms of global biodiversity values. This focus on sustainability includes both economic and social sustainability as well as ecological process through ensuring greater connectivity through corridors linking fragmented forest areas.

While Government at central and district level have undertaken many measures to improve governance and effectiveness in the forest sector including policy, legal and institutional reforms, what is needed now is a set of interventions to implement and operationalise the provisions in these reforms. The interventions proposed here are consistent with the provisions of the **National Biodiversity Strategy and Action Plan (NBSAP<sup>7</sup>)**, Forest Policy and **Forest Nature Conservation Master Plan**, and address the principles of community participation, support to decentralised governance, and respond to the PEAP priorities demonstrating forest-livelihood linkages. The PDF A/B processes documented the importance of this GEF project in testing such interventions, and building up a set of best practice into a viable long-term strategy for conservation.

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<sup>5</sup> The revised PEAP (Poverty Eradication Action Plan) 2003 does now include a **greater recognition of forest and natural resource support to poverty alleviation and livelihoods in the rural areas**.

<sup>6</sup> Past GEF Forest Projects have helped develop such policies and models (eg Cross Borders, PAMSU, Bwindi Trust Fund).

<sup>7</sup> The National Biodiversity Strategy and Action Plan.

Further more, this project meets the requirements of the CBD: Article 6, *General Measures for Conservation and Sustainable Use*, through Output D3, promoting incentives for sustainable use; Article 7, *Identification and Monitoring*, through Output A3. Article 8, *In Situ Conservation* by Objective A the development of an overall management strategy for AR forest resources, and by Objective B Support Central Forest Reserves for Conservation and by Objective C, Secure and manage the northern corridor to ensure connectivity of the AR protected area system. Article 10 on *Sustainable use management*, is addressed through Objective D. on CFM. The project is consistent with the decisions of the COP3/4/5/6 on exploring ways for the Convention to cooperate with the Intergovernmental Panel on Forests on matters relating to biological diversity and forest conservation. The Proposal is consistent with COP7 guidance on PAs (Feb 2004). Further details are in Chapter 2 and 3 of the Project Brief.

The project will also develop synergies with other related programmes such as the following:

- PRIME WEST, an on going initiative funded by USAID through DAI, addressing three overlapping problem areas linked to land-use:
  - Environmental degradation resulting from poor land-use practices, particularly on marginal land that are not well suited for agricultural intensification. For example, lands that could derive better goods and services from improved forest, wetland, wildlife, and fisheries management
  - Loss of important biodiversity assets as part of the interconnected “landscape” that could be conserved and utilized for economic benefits
  - Degradation of “buffer zone” areas adjacent to protected areas and forest reserves where the conflicts between agriculture, wildlife habitat and biodiversity threatens economic benefits from tourism and other possible income streams.
- Bio-trade project to be implemented by the Uganda Export Promotion Board and one of whose components includes developing mechanisms and opportunities for carbon trade.
- UWA – PAMSU Wildlife Protected Areas Support Programme (WB-GEF).

The implementation modality is through a modified form of National Execution which maximizes ownership of the project, ensures proper inter-governmental coordination and ensures sustainability.

UNDP however will provide expedited assistance in recruiting institutions and staff. The Ministry of Finance Planning and Economic Development will be the Executing Agency while the Ministry of Water and Environment and WWF will be the joint Implementing Agencies, see Part III below.

### **Part III. MANAGEMENT ARRANGEMENT**

The Ministry of Finance Planning and Economic Development (MFPED) through the Aid Liaison Department (ALD) is the Executing Agency and will execute the project following updated UNDP guidelines for Nationally Executed Projects (NEX).

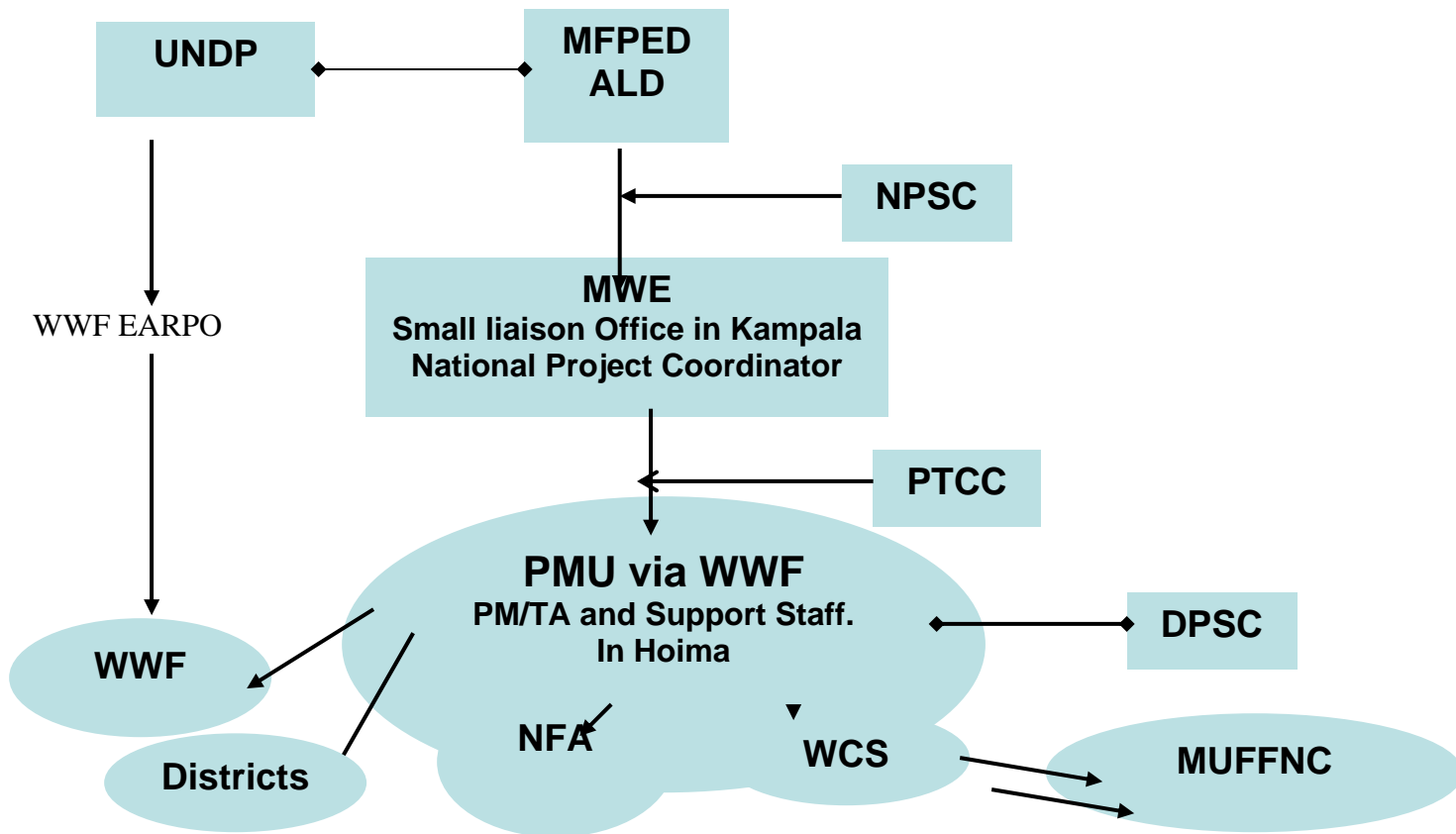
A National Project Steering Committee (NPSC) will be formed, chaired by the Ministry of Finance Planning and Economic Development, Aid Liaison Department. The NPSC will comprise of MFPED, the Ministry of Water and Environment (MWE) and other Ministries and related agencies and stakeholders, including Districts, MAAIF, UWA, NFA, NEMA, Makerere University, civil society and UNDP. The NPSC will perform two main tasks: firstly to ensure that the project is implemented according to the plans and budgets and delivers satisfactory results and impacts from a technical point of view; and secondly, to ensure that there is good coordination and flow of information between the various ministries, governmental institutions, donor agencies and other stakeholders, so as to optimize use of human and financial resources. Annex 8 of the project Brief has a section on GEF initiatives, to link with and learn from. The NPSC will review work-plans and activities and budgets to be implemented. It will review and

accept technical and financial reports. Membership and responsibility of the NPSC are detailed in Annex 1 of this document.

WWF (through their East African Regional Programme Office) and The Ministry of Water and Environment are joint Implementing Agencies and will be responsible for the achievement of the project goals, according to the approved work-plan to both ALD and UNDP. The MWE will appoint a National Project Coordinator (NPC) from within the Ministry. MWE and WWF will set up a Project Management Unit (PMU) that will implement the project in cooperation with partners. The PMU will consist of a National Project Manager, a Project Technical Advisor, as well as a support team comprising of an accountant, an administrator, a secretary and drivers and messengers. WWF will recruit the PMU staff on behalf of Government, involving both Government and UNDP in the recruitment. Recruitment will follow UNDP principles of open transparent process.

The PMU will be based in Hoima, a strategic location that will ensure that stakeholders in the Albertine Rift can easily access and exchange information with the PMU and make the PMU be perceived as a structure giving support to Districts, communities, individuals and other stakeholders of Albertine Rift Forest in Uganda. A small liaison office will be provided by MWE in Kampala, to be used as a focal point for contact with stakeholders based in Kampala. The PMU will develop work-plans and activities in line with the project documents as validated by the NPSC. It will prepare subcontracts to be approved by ALD for national institutions, local and international NGOs and a limited number of consultants to perform specific tasks under the log-frame. This will ensure that the PMU concentrates on its Management and Coordination role and that the best technical expertise is used for the implementation of the project. The management functions, supervision roles, duration of employment, location and responsibility of the National Project Coordinator, the National Project Manager and the Project Technical Adviser positions are annexed in Section IV to this document.

### MANAGEMENT STRUCTURE



The PDF A and PDF B activities identified lead partners in Uganda for specific components of the project. The institutions listed were perceived as the best suited to coordinate the implementation of activities under each output. The following list does not exclude any other entities to be involved in each component. The Inception Report will finalise this list.

<b>Project Outputs within Four Outcomes</b>	<b>GEF Funding</b>	<b>Lead Institutions</b>
A.1: Stakeholders supported to develop an overall regional strategy for the Albertine Rift forested protected area system.	274,827	WWF
A.2: The Forest Nature Reserve Master Plan implemented within AR	150,000	NFA
A.3: Local sustainable financing mechanisms identified & promoted	187,414	ALD/NFA/WCS
A.4: M & E frameworks for Albertine Rift PAs are developed	168,672	WCS
B.1 Biodiversity and forest resources in the CFRs inventoried	199,596	WCS/MUFFNC
B.2 Central Forest Reserve boundaries secured and demarcated	211,778	NFA
B.3 Incidence of illegal activity in CFRS reduced & controlled.	453,541	NFA
B.4 Forest Management Plans for CFRs developed with science	412,310	NFA/ Districts
C.1 Northern biodiversity corridor assessed	103,078	WCS
C.2. Local land use plans developed and implemented	362,311	WWF/Districts
C.3 Local authorities, communities and private land owners supported to develop Private Forest Management Plans	74,965	WWF
C.4 Undertake Forest landscape restoration in northern corridor	168,672	WWF
D.1 CBNRM promoted for maintaining forest on private lands.	215,526	WWF
D.2_CFM approaches promoted in Forest Reserves	93,707	WWF
D.3 Incentives for sustainable use of forest resources promoted.	318,603	NFA/MUFFNC
<b>Grand Total Full Project</b>	<b>3,395,000</b>	

Core costs are a pro-rata contribution to project services – such as staffing, vehicles, steering committees, M & E etc.

**Refer to Annex 1 of this document for the Terms of References and Annex 2, section I, for the Reporting Schedule and Annex 2, Section II, for Financial Disbursement Process including Audits.**

#### **Part IV: MONITORING, EVALUATION, AND LESSONS LEARNED**

Monitoring and Evaluation (M&E) will provide stakeholders and implementation partners with data and information to measure progress, determine whether expected impacts have been achieved, and to provide timely feedback in order to ensure that problems are identified early in implementation and that appropriate remedial actions are taken. Monitoring will also aim to assess the projects effectiveness in protecting biodiversity, evaluate the benefits accruing to communities and other beneficiaries; appraise the level of attainment of project outputs and track the level and quality of public participation in conservation activities. The project will be implemented through and adaptive framework that's feeds the findings of M&E into operational planning, thus enabling management strategies and activities to be adjusted as necessary. A number of indicators to measure impact and processes have been selected (see log frame in



Section II) of the Project Brief at the goal, purpose and output levels. An M&E Analysis with emphasis on **Impact** on biodiversity and threats is given in Annex 13 of the Project Brief. The project invests a total of 118,000\$ into the PA System level M & E process, with some 1.1 million US\$ co-finance which provides ongoing biodiversity assessment. A further 150,000\$ is invested in project M&E (including evaluations, Missions and Tracking Tool implementation). The M&E activities (at both project and forest levels) are designed to feed into an adaptive management process within the project.

Evaluation: This project will be subject to evaluation in accordance with the policies and procedures established for this purpose by UNDP/GEF: an independent Mid-Term Evaluation during the third year, and Terminal Evaluation. The organization, TOR and timing of the evaluations will be decided upon between UNDP and the National Project Steering Committee. Self-evaluation of programme activities, with partners, coordinated by the Project Management Unit will be undertaken on a quarterly basis.

## **Part V: Legal Context**

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Uganda and the United Nations Development Programme, signed by parties on 29th April 1997. The host country-implementing agency shall, for the purpose of the Standard Basic Assistance Agreement, refer to the government co-operating agency described in this agreement.

Revisions may be made to this project document with the signature of the UNDP Resident Representative only, provided he or she is assured that the other signatories of the Project have no objection to the proposed changes, in any case of:

- a) Revisions which do not involve significant changes in the immediate objective, output or activities of the project; &
- b) Mandatory annual revisions that re-place the delivery of agreed Project inputs, or reflect increased expert or other costs, due to inflation, or which take into account agency expenditure flexibility.

## SECTION II: Strategic Results Framework and GEF Increment. PART I: Logical Framework and Objective Impact Indicators

Narrative summary	Objectively verifiable Indicators		
Goal	<b>Conserve and manage rich biodiversity forests in the Albertine Rift, allowing Sustainable Development for all Stakeholders</b>		
	Indicators	Means of Verification	Risks and Assumptions
<p><b>Long term Objective (Purpose):</b> To support conservation and management of nationally and globally important biodiversity resources in Albertine Rift forests in Uganda.</p>	<ul style="list-style-type: none"> <li>➤ Rates of deforestation in the Albertine Rift have decreased to less than 6% by the end of the project</li> <li>➤ Populations of key indicator species are maintained or increase in the Albertine Rift forest reserves by the end of the project</li> <li>➤ Eleven forest reserves have revised management plans under implementation by the end of the project</li> <li>➤ Area of Albertine Rift under conservation management is increased by 82,916 Ha</li> </ul>	<ul style="list-style-type: none"> <li>➤ Satellite images</li> <li>➤ Biodiversity assessment reports</li> <li>➤ Documents and reports towards meeting objectives in the management plans</li> <li>➤ Total land covered by collaborative forest management</li> </ul>	<ul style="list-style-type: none"> <li>➤ No occurrence of a natural disaster such as hurricane, disease affecting forest and biodiversity</li> <li>➤ No trans-boundary wars</li> </ul>
<p>Outcome A: Develop an overall conservation and management strategy for the Albertine Rift Forested Protected Area (PA) systems.</p>	<p>Integrated conservation strategy for the Albertine Rift forests developed and under implementation by the end of the project</p> <p>50% of key stakeholders are actively involved in managing the Albertine Rift forests by year 5</p> <p>Independent monitoring confirms that, by year 3, monitoring systems for both biodiversity and the socio-economic situation are fully established and collected data is being fed into management decisions.</p>	<ul style="list-style-type: none"> <li>➤ An integrated conservation manual</li> <li>➤ Annual reports</li> <li>➤ Project reports</li> <li>➤ Minutes of meetings</li> <li>➤ Participatory M&amp;E manual</li> <li>➤</li> </ul>	<ul style="list-style-type: none"> <li>➤ Stakeholders remain willing to collaborate</li> </ul>

<p>Outcome B: Support Central Forest Reserves for conservation and sustainable management</p>	<ul style="list-style-type: none"> <li>➤ Area of CFR under sustainable management increases by 80% by end of the project</li> <li>➤ Biodiversity monitoring indicates numbers of key species in CFR remain the same or increase by year 5</li> <li>➤ Eleven participatory forest management plans for CFRs with areas greater than or equal to 3,000ha developed and under implementation by the end of the project</li> </ul>	<ul style="list-style-type: none"> <li>➤ Project reports detailing % of degraded land restored and areas of land with clear boundary demarcation</li> <li>➤ Annual CFR reports from FD based on baseline inventory</li> <li>➤ Management plans and reports</li> </ul>	<ul style="list-style-type: none"> <li>➤ Dedicated champions can be recruited from local communities to participate in</li> <li>➤</li> </ul>
<p>Outcome C Secure and manage the Northern corridor to ensure connectivity of the Albertine Rift protected area systems.</p>	<ul style="list-style-type: none"> <li>➤ 6,400 ha approximately 10% of the total degraded area of land outside protected areas in the project sites is demarcated for conservation purposes and recognized by stakeholders by year 2</li> <li>➤ Incidences of wildlife passing through the corridor increases by 30 % by year 5</li> <li>➤ More than 40% of the communities are aware of the value of the northern corridor for conservation purposes by the end of the project</li> <li>➤ Four land use plans under implementation by year 5</li> </ul>	<ul style="list-style-type: none"> <li>➤ Area demarcated and details of land area covered by participatory forest management plans</li> <li>➤ Project reports</li> <li>➤ M&amp;E Surveys                         <ul style="list-style-type: none"> <li>➤ Maps</li> <li>➤ Management plans</li> <li>➤ Land use plans and reports against objectives</li> </ul> </li> <li>➤ Awareness surveys</li> </ul>	<ul style="list-style-type: none"> <li>➤ Land owners accept corridor in their land</li> <li>➤ Stakeholders willing to collaborate in land use planning and forest management</li> </ul>
<p>Outcome D: Strengthen linkages between forest conservation and sustainably improved livelihoods</p>	<ul style="list-style-type: none"> <li>➤ 2 fold increase in income being generated for local communities from non timber forest resources by year five</li> <li>➤ At least 10 forest management agreements are made with community groups and are being effectively implemented by year 5</li> <li>➤ An increase in at least 40 % of community groups benefiting from conservation</li> </ul>	<ul style="list-style-type: none"> <li>➤ Project reports</li> <li>➤ Management agreements</li> <li>➤ Socio-economic surveys</li> </ul>	<ul style="list-style-type: none"> <li>➤ Livelihood initiatives acceptable to the community</li> </ul>

<b>Outcome A: Develop an overall conservation and management strategy for the Albertine Rift forested PA system</b>			
A1. Local sustainable financing mechanisms identified and promoted	<ul style="list-style-type: none"> <li>➤ Three funding opportunities identified by year 4</li> <li>➤ External funding secured for Five microprojects by year 4</li> <li>➤ Number of stakeholders supporting the financing strategy increases by the end of the project</li> </ul>	<ul style="list-style-type: none"> <li>➤ Financial commitments</li> <li>➤ Surveys</li> <li>➤ Project reports</li> </ul>	<ul style="list-style-type: none"> <li>➤ Global and national economic/finance environment conducive</li> <li>➤ Locally identified financing mechanisms available</li> </ul>
A2. Stakeholders supported to develop an overall regional strategy for the Albertine Rift forested protected area system through sharing lessons, data and information	<ul style="list-style-type: none"> <li>➤ Guidelines, frameworks and action plans for the implementation of the strategy in place and being used by the end of the project</li> <li>➤ Number of stakeholders involved in developing the strategy increases by 50% from baseline situation by the end of the project</li> </ul>	<ul style="list-style-type: none"> <li>➤ Guidelines, framework and action plans documents.</li> <li>➤ Minutes of meetings and records of attendance</li> </ul>	<ul style="list-style-type: none"> <li>➤ Stakeholders willing to support Albertine rift strategy initiatives and share data and experiences</li> </ul>
A3. Monitoring and evaluation frameworks for the Albertine Rift protected area system developed	<ul style="list-style-type: none"> <li>➤ M&amp;E guidelines and manual in place and in use by year 3</li> <li>➤ Completed data base for biological and socio-economic indicators completed by end of year 3</li> </ul>	<ul style="list-style-type: none"> <li>➤ Guideline and framework documents</li> <li>➤ Data base</li> </ul>	<ul style="list-style-type: none"> <li>➤ Stakeholders accept to use the M&amp;E framework.</li> </ul>
<b>Outcome B: Support Central Forest Reserves conservation and sustainable management</b>			
B1. Biodiversity and forest resources in the CFRs inventoried	<ul style="list-style-type: none"> <li>➤ Mapping of northern corridor completed by year 2</li> <li>➤ 30 members of community trained to participate in biodiversity inventory techniques</li> <li>➤ National biodiversity data bank incorporates inventory data for national and local use by year 3</li> </ul>	<ul style="list-style-type: none"> <li>➤ Map for northern corridor</li> <li>➤ Assessment reports</li> <li>➤ Data bank</li> </ul>	<ul style="list-style-type: none"> <li>➤ Availability of skilled man power</li> <li>➤ Security prevailing in the area</li> </ul>
B2. Central Forest Reserve boundaries secured and demarcated	<ul style="list-style-type: none"> <li>➤ Eleven (11) forest reserves have their boundaries demarcated by year 2</li> <li>➤ Incidence of forest encroachment reduced by 25%</li> </ul>	<ul style="list-style-type: none"> <li>➤ Project reports</li> <li>➤ Maps</li> <li>➤ Field reports</li> <li>➤ Satellite surveys</li> </ul>	<ul style="list-style-type: none"> <li>➤ Stakeholders recognize and respect reserve boundaries</li> </ul>
B3. Incidence of illegal activities in central forest reserves reduced and brought under control.	<ul style="list-style-type: none"> <li>➤ Rate of illegal timber and charcoal burning in the reserves decreases by 20%</li> <li>➤ Incidence of agricultural and settlement encroachment in the reserves declines to zero</li> <li>➤ Joint protection patrol and</li> </ul>	<ul style="list-style-type: none"> <li>➤ Surveys and field reports</li> <li>➤ Number of patrols documented and impacts monitored through the reduction of forest pressure</li> </ul>	<ul style="list-style-type: none"> <li>➤ Positive political support from the local authority</li> <li>➤ Communities participate and report illegal activities</li> </ul>

	monitoring systems established by FD/UWA and other stakeholders and in use		
B4. Restoration of degraded areas in selected central forest reserves undertaken	<ul style="list-style-type: none"> <li>➤ 4,900 ha of degraded forest planted</li> <li>➤ Forest cover increases by 22%</li> </ul>	<ul style="list-style-type: none"> <li>➤ Reports</li> <li>➤ Field surveys</li> </ul>	<ul style="list-style-type: none"> <li>➤ No natural disaster affects restored land</li> </ul>
B5 Forest Management Plans for CFRs developed	<ul style="list-style-type: none"> <li>➤ Seven CFRs established with new Management Plans by year 4</li> <li>➤ 30 forest officers, rangers, environment officers, planners and community members trained by year 5</li> </ul>	<ul style="list-style-type: none"> <li>➤ Management plans</li> <li>➤ Project reports and attendance at training</li> </ul>	<ul style="list-style-type: none"> <li>➤ Institutions willing to collaborate</li> </ul>
B6. Management oriented studies carried out and results integrated in forest management	<ul style="list-style-type: none"> <li>➤ Three research projects undertaken by year 3</li> <li>➤ Two pilot projects under implementation based on research projects by year 4.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Reports from projects</li> <li>➤ Technical operation manuals</li> <li>➤ Reports</li> </ul>	<ul style="list-style-type: none"> <li>➤ Stakeholders willing to adopt study findings</li> </ul>
Outcome C. Secure and manage the Northern corridor to ensure connectivity of the Albertine Rift protected area system			
C1 Northern biodiversity corridor assessed	<ul style="list-style-type: none"> <li>➤ Boundaries of the corridor are identified and agreed with stakeholder participation by year 2</li> <li>➤ Ecological, socio-economic and cultural values and services of corridor assessed by year 3</li> </ul>	<ul style="list-style-type: none"> <li>➤ Minutes from meetings</li> <li>➤ Completed map of proposed boundaries</li> <li>➤ Surveys</li> <li>➤ Maps</li> <li>➤ Data base</li> </ul>	<ul style="list-style-type: none"> <li>➤ Land owners accept corridor in their land</li> </ul>
C2. Local land use plans developed and implementation initiated	<ul style="list-style-type: none"> <li>➤ Three local land use plans developed with the participation of local stakeholders by year 4</li> <li>➤ Six community groups involved in land use plans</li> <li>➤ 10 incidences of inter district cooperation</li> </ul>	<ul style="list-style-type: none"> <li>➤ Plans (documents)</li> <li>➤ District reports</li> <li>➤ Surveys</li> </ul>	<ul style="list-style-type: none"> <li>➤ National Land use plan in place</li> </ul>

<p>C3 Conservation and management of forest resources in the corridor enhanced through awareness, conservation education and information dissemination</p>	<ul style="list-style-type: none"> <li>➤ Three community groups using sustainable approaches in the management of natural resources by year 4</li> <li>➤ Annual increase in dissemination of information about conserving and managing the northern corridor is demonstrated from baseline situation</li> </ul>	<ul style="list-style-type: none"> <li>➤ Surveys</li> <li>➤ Reports</li> <li>➤ Numbers of emails, articles etc disseminated</li> </ul>	<ul style="list-style-type: none"> <li>➤ Communities, NGOs, CBOs, private sector and Government agencies willing to participate in forest conservation initiatives</li> </ul>
<p>C4 Local authorities, communities and private land owners supported to develop Private Forest Management Plans</p>	<ul style="list-style-type: none"> <li>➤ Three management plans for private forest reserves developed and under implementation by year 5</li> </ul>	<ul style="list-style-type: none"> <li>➤ Management plans approved</li> <li>➤ Reports</li> </ul>	<ul style="list-style-type: none"> <li>• Expertise in management planning available at local levels</li> <li>➤ Institutions willing to collaborate</li> </ul>
<p>C5. Undertake Forest landscape restoration in the northern corridor</p>	<ul style="list-style-type: none"> <li>➤ 19,200 ha of degraded landscape under afforestation programs such as tree planting, agro-forestry wood lots and commercial fuel wood plantations by year 4</li> <li>➤ Forest cover increases by 22%</li> </ul>	<ul style="list-style-type: none"> <li>➤ Reports</li> <li>➤ Field surveys</li> </ul>	<ul style="list-style-type: none"> <li>➤ Stakeholders see the need for restoration and actively participate in the exercise</li> </ul>
<p>Outcome D: Strengthen linkages between forest conservation and improved sustainable livelihoods</p>			
<p>D1 Community Based Natural Resources Management (CBNRM) approaches promoted for the maintenance of forest resources on private lands</p>	<ul style="list-style-type: none"> <li>➤ At least five alternative livelihood initiatives in place by the end of the project</li> </ul>	<ul style="list-style-type: none"> <li>➤ Reports</li> <li>➤ Minutes of meetings</li> <li>➤ Surveys</li> </ul>	<ul style="list-style-type: none"> <li>➤ Political support at local levels</li> </ul>
<p>D2 Collaborative Forest management (CFM) approaches promoted in CFRs</p>	<ul style="list-style-type: none"> <li>➤ Five community groups participating in CFM by year five</li> <li>➤ Two agreements negotiated and signed by year five</li> </ul>	<ul style="list-style-type: none"> <li>➤ Reports</li> <li>➤ Minutes of meetings</li> <li>➤ Surveys</li> </ul>	<ul style="list-style-type: none"> <li>➤ Good response from stakeholders</li> <li>➤ Political support at local levels</li> </ul>
<p>D3 Incentives for sustainable use of forest resources explored and promoted.</p>	<ul style="list-style-type: none"> <li>➤ Three best practice technologies piloted by year five</li> <li>➤ Framework for incentives that promote conservation of forests on private land developed and implemented by year five</li> <li>➤ Problem Animal Control strategy developed and under implementation by year 4</li> </ul>	<ul style="list-style-type: none"> <li>➤ Reports</li> <li>➤ Incentive framework</li> <li>➤ PAC unit reports</li> </ul>	<ul style="list-style-type: none"> <li>➤ Incentives available</li> <li>➤ Alternatives acceptable to society</li> </ul>

## SECTION III FINANCES

Detailed ATLAS based budgets and work-plans follow.

The project has a GEF Contribution of US\$ 3,395,000, and a Total Co-finance Commitment of US\$ 7,953,189 giving a Project total of US\$ 11,348,189 (plus PDF expenses). In addition parallel finance through UNDP Small Grants (Trac Resource) is estimated at some US\$200,000 over the project lifetime.

As this prodoc is being finalised EXTRA Co-Finance may come available through Forest and District partners from Africa Development Banks Watershed Catchment – Farm Forestry Programme. This will be confirmed during subsequent PIRs and the Inception Process. Co-Finance remains as follows:

Co-financing Sources				
Co-financier source	Classification	Type	Amount (US\$)	Status*
EU	Multi-Lateral	Grant	2,500,000	Committed *
WWF/CARE via DANIDA	Bilateral donor	Grant	408,000	Committed
NGOs IGCP	NGOs	Grant	500,000	Committed
NGOs MacArthur	NGOs	Grant	730,000	Committed
IFAD	Multi-Lateral	Grant	2,747,090	Committed
FAO (via DFID)	Bilateral Donor	Grant	300,000	Committed
Govt of Uganda	Government	In Kind	418,099	Committed
WCS	NGO	Grant	350,000	Committed
<b>Sub-Total Co-financing US \$ 7,953,189</b>				

Committed indicates we have letters of commitment.

The UNDP-TRAC funds are to come through the UNDP funded Small Grant Mechanism, once this project is operational. We anticipate some 6-9 grants (averaging 30,000\$) to communities adjacent to forest areas over the project lifespan. This amount is NOT in the total listed above.

Details of Co-finance per Outcome are as follows:

Project Components/Outcomes	Co-financing (\$)	GEF (\$)	Total (\$)
1. Overall Conservation Strategy	858,500	680,913	1,539,414
2. Central Forest Reserves	747,300	1,154,055	1,901,357
3. Forest Connectivity	1,549,489	609,020	3,440,771
4. Community Based Forest Initiatives	4,192,900	537,812	4,730,716
5. Project Management budget/cost*	605,000	413,200	1,018,200
<b>Total Uses of Funds/project costs</b>	<b>7,953,189</b>	<b>3,395,000</b>	<b>11,348,189</b>

### Cost-Effectiveness (revised).

This GEF project is proposing to invest some 3.4 million US \$ over 5 years into the 250,000 hectares of the Northern Albertine Rift Valley Forests, which has attracted some 8 million US \$ Co-Finance. The Albertine Rift Forests are the richest of Africa's forest Eco-regions in Species Richness and in Endemism, as well as in the number of threatened taxa. The rate of planned funding of 240\$ per sq km per year, is comparable with other GEF and donor funding initiatives in Africa in this past 5 years. Project expenditures from GEF projects (mainly in Africa) suggest that projects fall into three classes.

- Those aimed at small forest patches (eg Jozani, Ngezi in Zanzibar, Tana River etc), where expenditures are well over 1500\$ per year per sq km.
- Those aimed at broad frameworks over large forest tracts (eg Meso-American Corridor, Central Africa Forests etc) where expenditures are well below 50\$ per year per sq km.
- Those aimed at larger forest blocks or PA systems (sub-systems) in country (Cross-Borders, PAMSU, Bwindi,

Kibale –Semliki, Mount Elgon, Arabuko etc) where expenditures range from 250 to 700\$ per sq km. This project is at the lower end of this investment scale.

However, note that co-finance investments raise the figure to some 700\$ per sq km, the top of the scale.

In addition, the Project proposes a detailed **business plan approach to conservation funding** across the AR forests (see **Output A3?**) which will seek to improve cost effectiveness by analyzing and finding innovative ways to balance costs and revenues.

It is cost-effective to take action now since, once lost, as forests are not replaceable. If land is converted to agriculture soil depletion follows, efforts to rehabilitate the Albertine Rift ecosystem will be impossible. Ensuring the connectivity of the major forests reserves is critical for the long-term viability of many species. In the long term, the multi-stakeholder coordinated approach to forest management will reduce re-current costs, ensure investments are cost effective, and targeted to address a specific gap rather than donor driven. The project is managed under UNDP's revised National Execution Guidelines (NEX), with stronger emphasis on delivery and impact. There are several partners (on the basis of comparative advantage) seeking cost-effective and efficient implementation methods. Experience elsewhere in Uganda (e.g. GEF Cross Borders) showed the importance of integrating management units into existing structures, supporting existing structures rather than creating new institutions, and using existing NGOs CBOs with on ground experience at district level as a delivery mechanism for reaching communities. Note that the project has secured considerable co-finance, enhancing the level of cost-effectiveness for GEF investment.



**SECTION III: Total Budget and Work-plan****PART 1: Total budget and Work-Plan at Outcome Level- All Years.**

GEF Outcome/Atlas Activity	Responsible Party/ Impl Agent	Source of Funds	ERP/ATLAS Budget Description	Amount 2007 (USD)	Amount 2008 (USD)	Amount 2009 (USD)	Amount 2010(USD)	Amount 2011 (USD)	Total (USD)
<b>Outcome 1.</b> Overall conservation and management strategy for the Albertine Rift Forest resources developed.	WWF	GEF	74100 Professional Services	20,000	3,000	3,000	3,000	3,000	32,000
			71600 Travel	71,120	10,000	10,000	7,000	10,000	108,120
			71400 Service Contracts- Indiv	23,600	23,600	23,600	20,274	11,274	102,348
			72200 Equip,vehicles & Furniture	267,347	0	0	0	0	267,347
			71200 International Consultants	48,240	0	0	0	6,000	54,240
			71100 Salaries - ALD	57,600	49,524	49,734	30,000	30,000	216,858
			<b>Sub-total</b>	<b>487,907</b>	<b>86,124</b>	<b>86,334</b>	<b>60,274</b>	<b>60,274</b>	<b>780,913</b>
<b>Outcome 2.</b> Central Forest Reserves for Conservation and sustainable management supported.	WWF	GEF	71300 Local Consultants	60,000	68,000	68,000	68,000	68,000	332,000
			72700 Local Consultations/wrkshops	58,622	68,622	70,622	70,622	68,622	337,110
			71200 Int. Consultants	39,720	59,720	57,720	57,720	59,720	274,600
			71600 Travel	58,000	68,879	68,879	68,879	68,878	333,515
			<b>Sub-total</b>	<b>216,342</b>	<b>265,221</b>	<b>265,221</b>	<b>265,221</b>	<b>265,220</b>	<b>1,277,225</b>
<b>Outcome 3.</b> Northern corridor ensuring connectivity of the Albertine Rift protected area system secured & managed.	WWF	GEF	71600 Travel	38,104	38,104	38,104	38,104	38,104	190,520
			71300 Local Consultants	38,000	36,000	35,000	30,000	30,000	169,000
			74100 Professional Services	12,000	81,127	82,127	87,126	87,126	349,506
			<b>Sub-total</b>	<b>88,104</b>	<b>155,231</b>	<b>155,231</b>	<b>155,230</b>	<b>155,230</b>	<b>709,026</b>
<b>Outcome 4.</b> Linkages between forest conservation and improved livelihoods strengthened.	WWF	GEF	71600 Travel	59,560	9,281	9,280	9,280	9,280	96,681
			72700 Audio Visual & prod costs	45,000	7,500	7,500	7,500	7,500	75,000
			71200 Int. Consultants	40,000	20,000	20,000	20,000	20,000	120,000
			71300 Local Consultants	65,827	8,000	8,000	8,000	8,000	97,827
			74100 Professional Services	61,100	13,500	13,500	13,500	13,500	115,100
			72500 Publications	63,228	15,000	15,000	15,000	15,000	123,228
			<b>Sub-total</b>	<b>334,715</b>	<b>73,281</b>	<b>73,280</b>	<b>73,280</b>	<b>73,280</b>	<b>627,836</b>
<b>TOTAL</b>	<b>1,127,068</b>	<b>579,857</b>	<b>580,066</b>	<b>554,005</b>	<b>554,004</b>	<b>3,395,000</b>			

**PART 2: Work plan by Output.**

Code	Outcomes/Outputs/Activities	Year 1				Year 2				Year 3				Year 4				Year 5				
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	
<b>Outcome A</b>	<b>Overall conservation and management strategy for the Albertine Rift Forest resources developed</b>																					
Output A.1	Local sustainable financing mechanisms identified and promoted	x	x	x	x	x	x	x	x													
Output A.2	Stakeholders supported to develop an overall regional strategy for the Albertine Rift forested protected area system through sharing lessons, data and information	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Output A.3	Monitoring and evaluation frameworks for the Albertine Rift protected area system developed	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
<b>Outcome B</b>	<b>Central Forest Reserves for Conservation and sustainable management supported</b>																					
Output B.1	Biodiversity resources in the CFRs inventoried					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Output B.2	Central Forest Reserve boundaries secured and demarcated					x	x	x	x													
Output B.3	Incidence of illegal activities in central forest reserves reduced and brought under control.					x	x	x	x	x	x	x	x	x								
Output B.4	Restoration of degraded areas in selected central forest reserves undertaken					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Output B.5	Forest Management Plans for CFRs developed					x	x	x	x	x	x	x	x	x								
Output B.6	Management oriented studies carried out and results integrated in forest management					x	x	x	x	x	x	x	x	x								
<b>Outcome C</b>	<b>Northern corridor ensuring connectivity of the Albertine Rift protected area system secured &amp; managed.</b>																					
Output C.1	Northern biodiversity corridor assessed					x	x	x	x	x	x	x	x									
Output C.2	Local land use plans developed and implemented					x	x	x	x	x	x	x	x									
Output C.3	Conservation and management of forest resources in the corridor enhanced through awareness, conservation education and information dissemination									x	x	x	x	x	x	x	x					
Output C.4	Local authorities, communities and private land owners supported to develop Private Forest Management Plans	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Output C.5	Undertake Forest landscape restoration in the northern corridor					x	x	x	x	x	x	x	x									
<b>Outcome D</b>	<b>Linkages between forest conservation and improved livelihoods strengthened.</b>																					
Output D.1	D1 Community Based Natural Resources Management (CBNRM) approaches promoted for the maintenance of forest resources on private lands					x	x	x	x	x	x	x	x									
Output D.2	D2 Collaborative Forest management (CFM) approaches promoted in CFRs					x	x	x	x	x	x	x	x									
Output D.3	D3 Incentives for sustainable use of forest resources explored and promoted.	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x

## SECTION IV: ADDITIONAL INFORMATION

### ANNEX 1: Terms of Reference for Key Project Staff:

#### (A) The National Project Steering Committee:

- **Membership:** Aid Liaison Department (ALD), Ministry of Water, Lands and Environment (MWLE), Ministry of Finance Planning and Economic Development (MFPED), Ministry of Agriculture Animal Industry and Fisheries (MAAIF), Ministry of Local Government (MLG), Uganda Wildlife Authority (UWA), National Forestry Authority (NFA), National Environment Management Authority (NEMA), Makerere University Faculty of Forestry and Nature Conservation, UNDP and a representative of the local authorities/districts in the project area. The Ministry of Finance (ALD) will chair the National Project Steering Committee (NPSC) while the PMU will provide the secretariat.

#### Responsibility

- The NPSC will monitor project implementation in terms of effectiveness and timeliness of inputs and in terms of success of project activities.
- Provide overall programmatic and strategic guidance to the project at national level.
- Participate in monitoring of project components to ensure the project is compliant with the plans and budgets and delivers satisfactory results.
- Ensure good coordination and flow of information between the various ministries, governmental institutions and donor projects, so as to optimize use of human and financial resources.
- Oversee and provide guidance to project activities and ensure such activities address national priorities.
- Provide a forum for ensuring an integrated approach to project activities.
- Review and approve annual work-plans, activities and budgets to be implemented. It will also review and accept technical and financial reports.
- Participate in the mid term review meetings and evaluation workshops.
- Promote awareness of and support for the project locally, nationally, and internationally.
- Approve the proposed implementing and contractual agencies for the project.

#### Frequency of meetings:

- The NPSC will meet twice yearly.

#### (B) The District Project Steering Committee (DPSC)

There will be four site steering committees consisting of representatives from the districts of Masindi, Hoima, Kyenjojo and Kibaale.

**Membership:** Resident District Commissioner; Local Council Five Chairperson; Secretary Production and Environment; Secretary Social Affairs; Chief Administrative Officer; District Production Coordinator; District Environment Officer; District Forest Officer; District Planner; Forest Area Manager; Representative from the CSO; Representative from the Local Community Groups and representatives from co-financiers.

#### Responsibility

- Ensure integration of the project activities in the district planning agenda.
- Provide overall programmatic and strategic guidance to the project at the district level.
- Participate in the participatory monitoring and evaluation of the project.
- Provide forum for a link of the project activities to local level implementation.
- Participate in the projects annual work planning at the district levels.
- Popularize and create awareness of the project to the stakeholders in the districts.

#### Frequency of meetings:

- The DPSC will meet three times a year but more frequently at the start of the project..

### **(C) Project Technical Coordination Committee (PTCC)**

**Membership:** National Forestry Authority (NFA); Forest Inspectorate Division (FID); International Union for the Conservation of Nature (IUCN); National Environment Management Authority (NEMA): (Biodiversity and District Support Division); Uganda Wildlife Authority (UWA); Wildlife Conservation Society (WCS); World Wide Fund for Nature (WWF) and the Local Governments of the four districts represented by the Chief Administrative Officers (CAOs)

**Responsibility:**

- To provide on spot technical advice and assistance to the project management unit.
- Support PMU in approving consultancy TORs, review consultants reports and verification of consultants competence.
- Monitor project progress towards objectives against the progress indicators laid out in the project's log-frame.
- Help clarify technical and policy matters that may arise from time to time during the life of the project.
- To promote cross-sectoral involvement in, and inter-department coordination of, project activities.
- To promote awareness of and support for the project, locally, nationally, and internationally.

**Frequency of meetings:**

- The **PTCC** will meet quarterly and the chair will rotate among the members.

### **(D) The National Project Coordinator**

Position title: National Project Coordinator (NPC)  
Reports to: Permanent Secretary Ministry of Water Lands and Environment  
Supervises: Project staff and consultants  
Duration of appointment: 5 years, subject to recommendations of mid-term evaluation in Year 3  
Location: Forest Inspectorate Division Office in Kampala.

**Responsibility**

- The National Project Coordinator will work closely with the Director Field Operations in the National Forestry Authority and staff of the Forest Inspectorate Division to direct and implement the four objectives of the project.
- Serve as the project entry point to Government and facilitate coordination of the various project components.
- The NPC will have the main responsibility for project management, including the supervision of the other technical advisors, hiring project staff and consultants as needed.
- Interacting with NFA headquarters and project donors.
- Overseeing financial management of the project and preparing reports required by GEF/UNDP.
- Drafting and approval of subcontracts to national institutions, local and international NGOs and consultants to perform specific tasks under the log-frame.

### **(E) National Project Manager**

Position title: National Project Manager (NPM)  
Reports to: National Project Coordinator  
Supervises: Project Support Staff  
Duration of appointment: 5 years, subject to recommendations of mid-term evaluation in Year 3  
Location: Hoima and 20% time in Kampala, but with regular travel to Kibaale, Kyenjojo and Masindi districts

## **ANNEX 2**

### **SECTION 1: Reporting Schedule**

1: **WWF** shall provide **UNDP** and the government coordinating authority with periodic reports on the progress, activities, achievements and results of the Project, as agreed between the Parties.

2: Financial reporting and auditing as per **UNDP** Financial Regulations:

(a) As per the above-mentioned financial regulations, **WWF** will submit to **UNDP** reports in the forms provided by **UNDP** clearly agreed upon at the inception workshop as per the HACT & FACE guidelines.

(b) **WWF** will prepare a final financial report and submits it to the **UNDP** Resident Representative no later than two weeks after project completion or following the termination of the present Agreement. An inventory of supplies and equipment shall be attached to the report.

### **SECTION 2: Financial Disbursement Including Audits**

In accordance with the Project Budget, **UNDP** will make available to **WWF** funds up to the maximum amount of **3,395,000 USD**, in accordance with the project work-plans and budgets. The first installment will be advanced to **WWF** within 20 working days following signature of the Memorandum of Agreement. Upon submission of quarterly financial reports and narrative reports the subsequent installments shall be paid. The final instalment of will be transferred at the end of the contract when a financial report and other agreed-upon documentation, for the activities completed have been submitted to and accepted by **UNDP** as showing satisfactory management and use of **UNDP** resources.

### **SECTION 3: Monitoring and Evaluation.**

#### **M&E Plan and Budget for Strengthening Biodiversity Conservation Capacity in the Albertine Rift Forests of Uganda.**

##### **Principles**

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- 1. Monitoring is a critical tool for tracking project performance and measuring impact.**
  - 2. This project will be implemented through an adaptive framework which feeds the findings of monitoring into operational planning, enabling management strategies to be modified to reflect the evolving situation.**
  - 3. The M&E system will provide timely and accurate information for decision-making, generate a shared understanding of the project context amongst stakeholders, and support adaptive management.**
  - 4. Project stakeholders will therefore collect and analyse information regularly. In addition to tracking performance, they will identify real or potential obstacles likely to affect success of the project as early as possible and identify promising replicable interventions.**
  - 5. Augmented by financial auditing and external reviews, monitoring will promote accountability, transparency, credibility and public confidence in the project.**
- 

The Logical Framework Analysis in Annex B1 provides performance and impact indicators, means of verification and assumptions. These form the basis of the Monitoring and Evaluation Plan described below. The Monitoring and Evaluation Plan will be presented and finalized at the GEF Project's Inception workshop following a collective fine-tuning of indicators, means of verification, and the full definition of project staff M&E responsibilities. The report has four sections. Section one describes the project governance structures and their responsibility in monitoring. Section two

describes the various monitoring and reporting mechanisms. Section three describes evaluation and section four briefly describes learning and learning events.

## **Project governance structures and their roles in monitoring**

### ***a) Responsible agencies/offices***

The following agencies and offices will be involved in monitoring, evaluating or reporting.

#### *National Project Steering committee (PSC)*

The PSC will have the highest policy-level responsibility for oversight, guidance and monitoring. It will therefore ensure that the project is implemented according to approved plans and budgets and delivers satisfactory results and impacts from a technical point of view. In addition, it will ensure effective and efficient coordination and flow of information between the various ministries, institutions and donor projects, so as to optimize use of human and financial resources. Guiding the project from a programmatic perspective, the body will ensure full integration of project outputs and outcomes into policies and plans of parent organisations. Finally, it will review workplans and activities and budgets to be implemented, and address problems and constraints, proposing appropriate solutions. The PMU will provide secretarial services to the PSC

#### UNDP Country Office (CO) and UNDP/GEF Regional Technical Advisor

The UNDP CO will monitor implementation progress through quarterly and annual meetings with the project proponent. This will allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities. The RTA will monitor the project through the APR (Annual Project Report) and PIR (Project Implementation Report), through communications with the UNDP CO, and site visits. The RTA acts as the principle conduit between UNDP Rwanda, UNDP/GEF New York, and GEF.

#### *Project Management Unit (PMU)*

A PMU will coordinate day-to-day project management and monitoring. PMU staff will work with the Steering Committee to identify partners, establish MOUs, and develop workplans and budgets. It will coordinate inputs from all other stakeholders and monitor project implementation, impacts, and lessons learned. The PMU will develop a detailed schedule of project reviews and meetings, in consultation with project implementation partners and stakeholder representatives. Such a schedule will include: (i) tentative time frames for Tripartite Reviews, Steering Committee Meetings, and (ii) project related Monitoring and Evaluation activities. The PMU will inform the UNDP-CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.

### ***b) Monitoring and reporting mechanisms : Project Inception Workshop and Report***

A Project Inception Workshop will be conducted with the full project team, relevant government counterparts, co-financing partners, the UNDP-CO and representation from the UNDP-GEF Regional Coordinating Unit, as well as UNDP-GEF (HQs).

The Inception Workshop will provide an opportunity for stakeholders to understand the project and its contexts and therefore take ownership of the project's goals and objectives. The Terms of Reference for project staff and governance structures will be discussed, clarifying each party's responsibilities.

In particular, the stakeholders will review the logframe and if need be, refine outputs, indicators, means of verification as well as update risks and assumptions. In the process, they will assist the project team to finalize the Annual Work Plan

(AWP) with precise and measurable performance indicators, and in a manner consistent with the expected outcomes for the project. The stakeholders will also agree on tentative dates for the Annual Project Implementation Reviews (PIRs), Tripartite Review Meetings, and mid-term and final evaluations.

A Project Inception Report will be prepared immediately following the Inception Workshop. It will include a detailed First Year/ Annual Work Plan divided in quarterly time-frames detailing the activities and progress indicators that will guide implementation. The Work Plan will include the dates of specific field visits, support missions from the UNDP-CO or the Regional Coordinating Unit (RCU) or consultants, as well as time-frames for meetings of the project's decision making structures. The Report will also include a detailed budget for the year.

The Inception Report will contain updates on institutional roles, responsibilities, coordinating actions and feedback mechanisms as well as an update on external conditions that may effect project implementation. The UNDP Country Office and UNDP-GEF's Regional Coordinating Unit will review the report before it is circulated to project counterparts who will have a month to respond with comments or queries.

#### *Periodic Monitoring and Reports*

PMU will facilitate stakeholders to identify key monitoring events and develop a detailed monitoring action-plan, clearly identifying information to be collected on each indicator and the frequency and responsibility of collecting the information. The action plan will also outline the system of managing monitoring information. The plan will be used in conjunction with annual work plans to determine:

- ◆ whether implementation is on track;
- ◆ whether outputs are being produced within time and budget;
- ◆ what works well (and why) as well as what doesn't work well (and why)
- ◆ if stakeholder participation is on track
- ◆ what needs to be adjusted to ensure effective and efficient project execution.

The project will actively seek linkages with national, regional, and international academic institutions and explore the possibility of using graduate research to measure impacts. The project will also provide retainers with relevant institutions for specialized studies, e.g., vegetation cover analysis of satellite imagery, or populations of key species through inventories or through specific studies that are to form part of the project's activities.

Progress will be reported in quarterly and annual reports prepared in accordance with UNDP/GEF and Government guidelines. Additional reporting will be captured in Tripartite Review Reports and thematic/technical reports. The Project Steering Committee, in conjunction with project staff, UNDP, UNDP-GEF, WWF and other Implementing Partners, will identify themes requiring in depth technical analysis and reporting. This might relate to lessons learnt, specific oversight in key areas, or troubleshooting exercises to evaluate and overcome obstacles and difficulties encountered. The project staff will then facilitate the preparation of the specific thematic and/or technical reports. These reports will form a large part of reporting on impacts.

#### ***c) Independent Evaluation***

The project will have at least two independent external evaluations (mid-term and final evaluations).

#### **Mid-term Evaluation**

An independent Mid-Term Evaluation will be undertaken at the end of the second year of implementation. It will focus on the effectiveness, efficiency and timeliness of project implementation. The Mid-Term Evaluation will determine progress being made towards the achievement of outcomes and will identify course correction if needed. It will also highlight issues requiring decisions and actions, and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization, terms of reference and timing of the mid-term evaluation will be

decided in consultation with the key stakeholders. The Terms of Reference for the evaluation will be prepared by the UNDP CO based on guidance from the Regional Coordinating Unit and GEF.

**Final Evaluation**

An independent Final Evaluation will take place three months before the terminal tripartite review meeting. The final evaluation will focus on impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. The Final Evaluation will also provide recommendations for follow-up activities. The Terms of Reference for the evaluation will be prepared by the UNDP CO based on guidance from the Regional Coordinating Unit and GEF.

**Audit**

The PMU will provide the Resident Representative with certified periodic financial statements, including an annual audit of the financial statements relating to the status of UNDP (including GEF) funds, according to the established procedures set out in the Programming and Finance manuals. The Audit will be conducted by a legally recognized auditor of the Government, or by a commercial auditor engaged by the Government.

**d) Learning and Knowledge Sharing**

Results from the project will be disseminated within and beyond the project intervention area through a number of existing information sharing networks and forums. In addition, the project will participate, as relevant and appropriate, in UNDP/GEF sponsored networks organized for Senior Personnel working on projects that share common characteristics. Networks include Integrated Ecosystem Management, eco-tourism, co-management, etc.

The project will identify and participate in relevant and appropriate scientific, policy-based networks and discussion groups, deemed beneficial to learning and/or disseminating lessons, within the Albertine Rift region and beyond.

At each annual planning meeting, the project will facilitate stakeholders to reflect on lessons learned during the year. In addition, the project will identify areas of action research, such as collaborative management. Several projects have tested the concept of collaborative management in the region and produced models. The project will test the applicability of such models in the Rwanda Protected Area System. In the process, it will generate, analyse, collate and share lessons on several aspects of co-management in a PA system.

**TABLE 1 Summary of M and E Events**

<b>M&amp;E activity</b>	<b>Responsible Parties</b>	<b>Budget Not staff time</b>	<b>Time frame</b>
Inception Workshop	Project Management Unit UNDP CO & UNDP GEF	2,000 US \$\$	Within first two months of project start up
Inception Report	Project Team UNDP CO	1,000	Immediately following IW
Develop a detailed plan of action for monitoring (establishing what info to collect at what frequency, identifying responsible stakeholder to collect info, determining type of info management system to be used)	PMU and stakeholders	1,000	Within the first three months
Assess if project team has skills required to oversee monitoring	Project team		Within first three months
Conduct M&E training for project team and relevant stakeholders	UNDP CO UNDP GEF	Two day workshop	Within the first six months



	Project team	2,000	
Establish/determine baselines available for monitoring	Project Team UNDP CO	Within activities	Start, mid and end of project
Collect monitoring data	Project team to coordinate and oversee assessments and other data collection	To be determined as part of annual work planning	Throughout the project
Measure Means of Verification for Project Progress and Performance (measured on an annual basis)	Oversight by Project GEF Technical Advisor and Project Coordinator Measurements by regional field officers and local IAs	To be determined as part of the Work Plan preparation. Indicative cost 20,000\$	Annually prior to APR/PIR and to the definition of annual work plans
APR and PIR	Project Team UNDP-CO UNDP-GEF	None	Annually
TPR and TPR report	Government Counterparts UNDP CO Project team UNDP-GEF Regional Coordinating Unit	None	Every year, upon receipt of APR
Steering Committee Meetings	Project Coordinator UNDP CO	None	Following Project IW and subsequently at least once a year
Periodic status reports	Project team	In Output costs	TBD by Project and UNDP CO
Thematic/Technical reports	Project team Consultants researchers	Same	TBD by Project and UNDP-CO
Mid-term External Evaluation	Project team UNDP- CO UNDP-GEF External Consultants (i.e. evaluation team)	40,000	At the mid-point of project implementation.
Final External Evaluation	Project team, UNDP-CO UNDP-GEF External Consultants (i.e. evaluation team)	30,000	At the end of project implementation
Lessons learned	Project team UNDP-GEF RTA for documenting best practices	15,000 (average 3,000 pa)	Yearly
Audit	UNDP-CO Project team	5,000 average \$1000 pa	Yearly
Visits to field sites (UNDP staff travel costs to be charged to IA fees)	UNDP Country Office UNDP-GEF RTA (as needed), Government input.	5,000 about one visit pa	Yearly
<b>TOTAL INDICATIVE COST</b>			
Excluding project team staff time and UNDP staff-time		US\$ 120,000	

A Project specific monitoring and evaluation program will be developed and implemented in the first six months of the project launch. Activities will include developing a structured work plan and reporting formats, defining and refining performance indicators, adopting a standard methodology for data collection and analysis, and supporting capacity building in monitoring and evaluation. An independent mid-term and a final evaluation will be conducted, with broad dissemination of findings and lessons learned.

Key to the mid-term evaluation will be an assessment of performance against agreed benchmarks. The mid-term evaluation will be undertaken in the third project year to provide an assessment of achievements made through the funding of the present GEF project, as well as its support to the broader Albertine Rift Strategy. Within the project implementation there will be an inbuilt monitoring and evaluation framework to monitor success on a half yearly basis. This monitoring and evaluation process will be through a participatory approach constituted of a team from the various stakeholders whose report will provide foundation for the half yearly and the annual reports.

It is recognized that the Albertine Rift forest conservation endeavour is a long-term undertaking and that progress toward the set goals will take decades. Detailed performance benchmarks are already defined and included in the monitoring matrix below

Project Themes	Impact on Biodiversity	Impact on Pressures	Impact on Response Measures
<b>Overall Impact</b>			
	Populations of Chimpanzees in the northern corridor of the Albertine Rift remain stable or are increasing by Year 5, compared to 2003 baseline census	Total human impact (number of human signs per kilometer of survey) decrease illegal damage by 50% in the northern rift by year 5 (baseline WCS surveys of 2003) [hunting; timber harvesting; charcoal making; mining]	Annual application of WB/WWF "tracking tool" shows increased scores throughout life of the project
	No Endangered species (IUCN criteria) disappear from the northern corridor during the lifetime of the project (baseline: species lists of Biodiversity reports of Biomass Project and of WCS)	Encroachment for farmland in the Central Forest Reserves of northern Rift reduced by 25% by year 5	
	No species endemic to Albertine Rift disappear from the northern corridor during the lifetime of the project (baseline as above)	Bi-annual assessment using Threat Reduction Analysis shows positive trend throughout the lifetime of the project	
	Satellite imagery indicates no significant decrease (less than 0.5% per year, from baseline of 2003) in Montane Forest blocks in the Albertine Rift of Uganda by year 5 (baseline: pdf-B study)		
	Satellite imagery indicates maintenance of integrity of the forest corridor in the northern part of the Albertine Rift by year 5		
	Satellite imagery and ground truthing indicate maintenance of integrity of Central Forest Reserves in the northern part of the Albertine Rift by year 5		
	Incidence of wildlife by surveys remains the same or increases in the Central Forest Reserves of Northern Rift (baseline: 2003 WCS studies)		
	125,000ha of forest protected area under improved management by year 3		
<b>1. Improved resource management outcomes</b>			
<b>Improvement of protected area management system</b>		Area of new encroachment within the Central Forest Reserves of northern rift declines to zero by year 3 Number/incidence of illegal activities within Central Forest Reserves of the northern Rift decrease by 20% by year 5	At least 40% of boundaries of CFRs in northern Rift clearly demarcated
		Number/incidence of illegal activities within Central Forest Reserves of the northern Rift decrease by 20% by year 5	Area of Northern Albertine Rift under conservation management is increased by 20%  At least 50% of Central Forest Reserves of Northern Rift have an operational Management Plan by year 4

<b>Establishment of sustainable management systems</b>		At least 10 incidences of inter-district cooperation	At least 3 local Land use plans under implementation by year 4
<b>Establishment of community management</b>		Timber harvesting and charcoal making by surrounding communities decrease by at least 20% by end of project in northern rift	At least 3 participatory forest management plans developed and under implementation by year 5  At least 6 community groups involved in land use plans  At least 2 forest management agreements between CFRs and communities are being effectively implemented by year 5
<b>Effective enforcement</b>	Incidences of wildlife using the corridor remains stable or increase by year 5	Number of infractions reported by FA in CFRs decrease by at least 20% by end of project in northern rift	Forest guards perform at least 80 patrols per year by end of project in each CFRs of Northern Rift
<b>2. Economic and financial outcomes</b>			
<b>Alternative livelihood</b>		Surveys indicate decrease by at least 20% of dependence by local communities of forest resources of CFRs in northern rift	At least 5 alternative livelihood initiatives in place by the end of the project  At least 5 community groups participating in CFM by year 5
<b>Sustainable financing and financial instruments</b>			At least 3 new funding opportunities for local sustainable management of northern rift forests initiatives identified by year 4 External funding secured for 5 microprojects secured by year 5
<b>Engagement of private sector in conservation goals</b>		Decrease by at least 20% of logging activities for commercial purpose in CFRs	At least 3 best practice technologies piloted by year 5 Framework for incentives that promote conservation of forests on private lands developed and implemented by year 5 Problem animal control strategy developed and under implementation by year 4

<b>3. Capacity development outcomes</b>			
<b>Mobilization of communities for enforcement and monitoring</b>			At least 30 members of surrounding communities trained to participate in biodiversity inventories
<b>Training and interpretation</b>			At least 30 forest officers, rangers and planners trained by year 5
<b>Mainstreaming biodiversity conservation in production sectors</b>			At least 3 management plans for private forest reserves in northern firt developed by year 3 and under implementation by year 5
<b>4. Management of information and knowledge outcomes</b>			
<b>Environmental education and awareness building</b>		At least 50% of communities surrounding CFRs of the northern corridor aware of conservation value of key species and CFRs by end of project	Integrated Conservation strategy for Albertrine Rift forests of Uganda in place and 75% of surrounding districts aware of supportive
		More than 30% of the communities are aware of the value of the northern corridor for conservation purpose by end of the project	
		3 community groups using sustainable approaches in the management of natural resources by year 4	
		Annual increase in dissemination of information about conserving and managing the northern corridor is demonstrated from baseline information	
<b>5. Scientific and technical outcomes</b>			
<b>Biological and socio-economic surveys</b>			M&E guidelines in place and in use by year 3 Database for biological and socio-economic indicators completed by year 3 Mapping of northern corridor completed by year 2 National biodiversity data bank incorporates inventory data for national and local use by year 3 At least 3 research projects undertaken by year 3 focusing on issues related to management of the northern corridor At least 2 pilot projects under implementation based on research projects by year 5
<b>Ecological restoration (FLR)</b>		At least 3,000 of degraded forest planted or recovered from degradation	Local and district tree nurseries produce at least 300,000 seedlings during lifetime of the project and these include at least 40% of indigenous species

## **ANNEX 3: Minutes of the LPAC meeting**

### **MINUTES OF LPAC MEETING ON THE PROJECT**

#### **"CONSERVATION OF BIODIVERSITY IN THE ALBERTINE RIFT FORESTS OF UGANDA"**

**HELD ON MONDAY THE 12<sup>TH</sup> OF DECEMBER 2005 (9am – 1:15pm) IN UNDP CONFERENCE ROOM**

#### **ATTENDANCE:**

<b>Name:</b>		<b>Organisation</b>
i. Auke Lootsma	-	UNDP/ Chairman
ii. Wilson Kwamya		UNDP
iii. Justin Ecaat		UNDP (Secretary)
iv. Yakobo Moyini		YOMA
v. Abu-baker S. Wandera		UNDP- GEF/SGP
vi. Kaddu John . B.		Makerere University
vii. Bob Ogwang		Greenbelt Consult
viii. Alan Rodgers		UNDP-GEF RC/EA
ix. S. A. Nsita		National Forest Authority (NFA)
x. Abel J. Wagido		Aid Linison Dept – MFPED
xi. Gershom Onyango		Forest Inspection Division/MWLE
xii. David Duli		WWF
xiii. Paul Nteza	-	UNDP/ Secretary

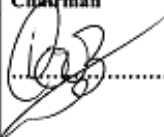
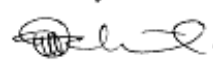
#### **AGENDA**

1. Communication from the Chair.
2. Presentation of Project document
3. Reactions and comments from participants
4. Way forward

<p>1.0</p> <p>2.0</p> <p>3.0</p>	<p><b><u>Communication from the Chair</u></b></p> <p>The chairman welcomed all members to the meeting and the agenda was adopted. As an update to members present, he requested Alan Rodgers to provide an overview of the process so far undertaken.</p> <p>Members were informed that the document for review had been approved by the GEF Council in 2003, and it was necessary that this meeting provides further guidance for finalization of the document. The Project document was a culmination of a planning process that started about 4 years ago, involving a PDF A and B support from GEF.</p> <p><b><u>Presentation of Project document.</u></b></p> <p>A presentation of the Project document was made by Mr. David Duli, of WWF. Highlights of his presentation included the following:</p> <ul style="list-style-type: none"> <li>• Summary of the project preparatory stages, including PGF A and PDF B which included project inception workshop in January 2002, Vision Strategy Workshop in June 2002 and the National Consultative Workshop in October 2002.</li> <li>• Threats/pressures to AR forest resources that justify need for the project.</li> <li>• Root causes of those pressures that included insecure land tenure, undervaluation of forest resources, insufficient livelihood alternatives for local communities, insufficient planning for biodiversity conservation; etc</li> <li>• Scope of the project, including a total of 45 distinct activities.</li> <li>• Proposed project implementation strategy.</li> <li>• Project management arrangements including creation and composition of NPSC, Project Technical Coordination Committee (PTCC) and the District PSC, ALD as Executing Agency, Forest Inspection Division in MWLE and WWF as joint implementing agency, establishment of a PMU in the field with staff recruited via WWF, and with the MWLE providing management oversight and coordination through appointment of a National Project Coordinator who will be an entry point into Government through the Forest Inspection Division .</li> <li>• The legal context.</li> <li>• Budget and responsible institutions for implementation of various components of the project.</li> </ul> <p><b><u>Review of Proposal by Members and Matters Arising</u></b></p> <p>After presentation of the project elements as above, the chairman invited comments from members present starting first with general comments, then specific comments on each page. The following comments were presented:</p> <ul style="list-style-type: none"> <li>• ALD welcomes the project and its proposed execution modalities.</li> <li>• Need to refer to the CBD on page 2 of the project document.</li> <li>• There was concern that benefits of the project to the community were not adequately reflected. There was need to describe clearly the benefits of the project to the communities on the summary page as well.</li> <li>• Need to include carbon trading as part of the project targets since this would be an incentive for keeping forests on private land. There was an opportunity for the communities to benefit from initial carbon trade funds as an opportunity to address the question of livelihoods of the people surrounding the forests and also justify protection of forests on private land.</li> <li>• It was observed that the budget did not emphasize resources to communities, and that the money allocated towards community activities/initiatives in the budget was low and needed to be revisited, although it was later explained that the money to address community needs was cutting across different components of the project,</li> </ul>
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<p>including outputs D1, D2 and D3.</p> <ul style="list-style-type: none"> <li>• Since most of the forests (up to 70%) in the area are on private and customary land, and most of which was under the Bunyoro Kingdom, members advised that the Kingdom's participation be integrated in the project. The kingdom could be represented on the PTCC and that for increased private sector participation; the PTCC should build in flexibility to co-opt other emerging interest groups.</li> <li>• Because private sugar growers, including out-growers and Kinyara sugar works could easily target their expansion on forest areas on public land, it was critical that such stakeholders be brought on board on this project.</li> <li>• It was also suggested that involving regulatory authorities such as NEMA will be critical in reducing indiscriminate forest encroachment.</li> <li>• It was also recommended that since the project is working in protected areas that are contiguous with protected areas in Congo, efforts should be made to develop a strategy for addressing issues of a cross-border nature.</li> <li>• Since there have been changes in the Forest Sector, including changes in the legal trends, the project needed to take these into consideration. Management planning for the private forests was noted to be a challenge and needed to be emphasized.</li> <li>• Under the strategy, there is a need to emphasize the broader aspects of catchment management beyond the Central Forest Reserves. This would also address the issues of water quality management through improved catchment area management.</li> <li>• The consistency of the document with COP6 of CBD should be stressed.</li> <li>• The lead institution should also indicate whom they are to work with and what their different roles will be.</li> <li>• Members proposed the inclusion of an organogram on management structure on the main project document. They also recommended that for more involvement and participation of the districts on the project, they should be included on the Project Steering Committee since the Ministry of Local Government may not represent the interests of all the different districts involved. It was also recommended to include the districts at the implementation level in the organogram.</li> <li>• The inclusion of the district authorities as implementers calls for the clarification of the TORs for each implementing entity so as to reduce on any overlaps that may exist. The TORs of the NPSC, DPSC and PTCC were also to be reviewed.</li> <li>• It was recommended that opportunities for co-financing be highlighted in the document, for example co-financing by IFAD, WCS or through the Small Grants Programme. It was proposed that some key co-financiers such as IFAD be co-opted/represented on the Project Steering Committee.</li> <li>• Under the M &amp; E section, it was recommended that the standard text describing established modalities used for other projects on UNDP/GoU co-operation framework be adopted for inclusion in the text to replace the existing text. It was also recommended that the M&amp;E framework should include provision for publishing lessons learnt from the project.</li> <li>• It was recommended that the reporting mechanisms be clarified.</li> <li>• Members re-iterated the need to have clarity in the reporting arrangements. This is because harmonized reporting at all levels is crucial in order to capture the impact &amp; results rather than the processes. In addition, since many players are involved, there is a need to ensure smooth information flow among the different stakeholders.</li> <li>• In the National Project Steering Committee, responsibilities should be clearly outlined and flexibility should be built in to allow for creation of sub-committees as need arises.</li> </ul> <p>At the end of the comments, clarifications were made on the issues raised:</p> <ul style="list-style-type: none"> <li>• That project coincides with the new Country Programme Action Plan which recognizes the entire UNDP portfolio as a NEX, with the only differences which may come being in the mode of channeling project funds directly to implementing partners. Otherwise annual work plans will still serve as the basis release of funds to</li> </ul>
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4.0	<p>implementing partners and that the AWP will be signed by UNDP and ALD.</p> <ul style="list-style-type: none"><li>• GEF projects seek environmental benefits – co-finance seeks community livelihood benefits. However Outcome D does have some 0.5 mill USD addressing community process.</li></ul> <p>The EPAC after review of the Prodoc and subject to the comments; approved the document.</p> <p><b><u>Way Forward</u></b></p> <p>The following were the action points regarding the Full-Sized Project:</p> <ul style="list-style-type: none"><li>• Comments made were to be incorporated into the Pro-doc.</li><li>• There is a need to finalize the Annual Work Plan in the Atlas format</li><li>• Clarification on co-financing was necessary</li><li>• EPAC minutes to be incorporated as an Annex to the Pro-doc.</li><li>• After the above, the project document should be sent through UNDP-GEF RC in Nairobi to UNDP-GEF HQ in New York. This will lead to a "Delegation of Authority" letter from UNDP- New York to UNDP CO, authorizing UNDP CO Uganda to sign documents and disburse funds.</li><li>• Some issues such as management planning for forests on private land, involvement of private sector and detailed breakdown of budget to be refined during the inception workshop.</li><li>• Planning arrangements for recruitment of project staff and office set-up should be initiated, on receipt of the DOA letter.</li></ul> <p>There being no other issues to discuss, the Chairman thanked the members and closed the meeting at 1:15pm.</p> <p><b><u>Signed</u></b></p> <p><b>Chairman</b>  .....</p> <p style="text-align: right;"><b>Secretary</b>  .....</p>
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**ANNEX 4: Letter of Agreement for WWF (EARPO)**

**MEMORANDUM OF AGREEMENT**  
**between**  
**THE UNITED NATIONS DEVELOPMENT PROGRAMME (UGANDA)**  
**and**  
**WORLD WIDE FUND FOR NATURE - EARPO**

Whereas the United Nations Development Programme ("UNDP") and World Wide Fund for Nature ("the NGO") have, on the basis of their respective mandates, a common aim in the furtherance of sustainable human development;

Whereas UNDP has been entrusted by its donors with certain resources that can be allocated for programmes and projects, and is accountable to its donors and to its Executive Board for the proper management of these funds and can, in accordance with the UNDP Financial Regulations and Rules, make available such resources for cooperation in the form of a Project;

Whereas the NGO, its status being in accordance with national regulations, is committed to the principles of participatory sustainable human development and development cooperation, has demonstrated the capacity needed for the activities involved, in accordance with the UNDP requirements for management; is apolitical and not profit-making;

Whereas the NGO and UNDP agree that activities shall be undertaken without discrimination, direct or indirect, because of race, ethnicity, religion or creed, status of nationality or political belief, gender, handicapped status, or any other circumstances;

Now, therefore, on the basis of mutual trust and in the spirit of friendly cooperation, the NGO and UNDP have entered into the present Agreement.

**Article I. Definitions**

For the purpose of the present Agreement, the following definitions shall apply:

- (a) "Parties" shall mean the NGO and UNDP;
- (b) "UNDP" shall mean the United Nations Development Programme, a subsidiary organ of the United Nations, established by the General Assembly of the United Nations; through their Uganda Country Office
- (c) "The NGO" shall mean World Wide Fund for Nature – East Africa Regional Programme Office (WWF-EARPO) a non-governmental organization that was established in and incorporated under the laws of Uganda, with the purpose of conserving and managing the rich biodiversity forests in the Albertine Rift allowing sustainable development for all stakeholders;
- (d) "The Agreement" or "the present Agreement" shall mean the present Memorandum of Agreement, the Project Document (Annex), which incorporates the Project Objectives and Activities, Project Work Plan, Project Inputs being provided by UNDP resources, and Project Budget, and all other documents agreed upon between the Parties to be integral parts of the present Agreement;
- (e) "Project" shall mean the activities as described in the Project Document;
- (f) "Government" shall mean the Government of Uganda – Ministry of Water and Environment; Government Coordinating Authority is the National Project Coordinator within the Forest Inspection Division of the Ministry of Water and Environment.

- (g) "UNDP resident representative" shall mean the UNDP official in charge of the UNDP office in the country office in Uganda, or the person acting on his/her behalf;
- (h) "Project Director" shall mean the person appointed by the NGO, in consultation with UNDP and with the approval of the Government coordinating authority, who acts as the overall co-ordinator of the Project and assumes the primary responsibility for all aspects of it;
- (i) "Expenditure" shall mean the sum of disbursements made and valid outstanding obligations incurred in respect of goods and services rendered;
- (j) "To advance" shall mean a transfer of assets, including a payment of cash or a transfer of supplies, the accounting of which must be rendered by the NGO at a later date, as herein agreed upon between the Parties;
- (k) "Income" shall mean the interest on the Project funds and all revenue derived from the use or sale of capital equipment, and from items purchased with funds provided by UNDP or from revenues generated from Project outputs;
- (l) "*Force majeure*" shall mean acts of nature, war (whether declared or not), invasion, revolution, insurrection, or other acts of a similar nature or force;
- (m) "Project Work Plan" shall mean a schedule of activities, with corresponding time frames and responsibilities, that is based upon the Project Document, deemed necessary to achieve Project results, prepared at the time of approval of the Project, and revised annually.

## **Article II. Objective and Scope of the Present Agreement**

1. The present Agreement sets forth the general terms and conditions of the cooperation between the Parties in all aspects of achieving the Project Objectives, as set out in the Project Document (to which this present Agreement is annexed).
2. The Parties agree to join efforts and to maintain close working relationships, in order to achieve the Objectives of the Project.
3. Appendix 1 of this Agreement sets out the specific roles and responsibilities of both parties in attaining the Project Objectives.

## **Article III. Duration of Project Agreement**

1. The term of the present Agreement shall commence on **November 2006** and terminate on **November 2011**. The Project shall commence and be completed in accordance with the time frame or schedule set out in the Project Document.
2. Should it become evident to either Party during the implementation of the Project that an extension beyond the expiration date set out in paragraph 1, above, of the present Article, will be necessary to achieve the Objectives of the Project, that Party shall, without delay, inform the other Party, with a view to entering into consultations to agree on a new termination date. Upon agreement on a termination date, the Parties shall conclude an amendment to this effect, in accordance with Article XVII, below.

## **Article IV. General Responsibilities of the Parties**

1. The Parties agree to carry out their respective responsibilities in accordance with the provisions of the present Agreement, and to undertake the Project in accordance with UNDP policies and procedures as set out in the UNDP Programming Manual, which forms an integral part of the present Agreement.
2. Each Party shall determine and communicate to the other Party the person (or unit) having the ultimate authority and responsibility for the Project on its behalf. The Project Director shall be appointed by the NGO, in consultation with UNDP and with the approval of the government coordinating authority.

3. The Parties shall keep each other informed of all activities pertaining to the Project and shall consult once every three months or as circumstances arise that may have a bearing on the status of either Party in the country or that may affect the achievement of the Objectives of the Project, with a view to reviewing the Work Plan and Budget of the Project.

4. The Parties shall cooperate with each other in obtaining any licenses and permits required by national laws, where appropriate and necessary for the achievement of the Objectives of the Project. The parties shall also cooperate in the preparation of any reports, statements or disclosures, which are required by national law.

5. The NGO may use the name and emblem of the United Nations or UNDP only in direct connection with the Project, and subject to prior written consent of the UNDP Resident Representative in Uganda.

6. The activities under the present Agreement are in support of the efforts of the Government, and therefore the NGO will communicate with the Government as necessary. The Project Director will be responsible for day-to-day contacts with the relevant national authorities and UNDP on operational matters during the implementation of the Project. The UNDP Resident Representative will act as the principal channel for communicating with the Government coordinating authority regarding the activities under the Project Cooperation Agreement unless otherwise agreed with the Parties and the Government.

7. The UNDP Resident Representative will facilitate access to information, advisory services, technical and professional support available to UNDP and will assist the NGO to access the advisory services of other United Nations organizations, whenever necessary.

8. The Parties shall cooperate in any public relations or publicity exercises, when the UNDP Resident Representative deems these appropriate or useful.

#### **Article V. Personnel Requirements**

1. The NGO shall be fully responsible for all services performed by its personnel, agents, employees, or contractors (hereinafter referred to as "Personnel").

2. The NGO personnel shall not be considered in any respect as being the employees or agents of UNDP. The NGO shall ensure that all relevant national labour laws are observed.

3. UNDP does not accept any liability for claims arising out of the activities performed under the present Agreement, or any claims for death, bodily injury, disability, damage to property or other hazards that may be suffered by NGO personnel as a result of their work pertaining to the project. It is understood

that adequate medical and life insurance for NGO personnel, as well as insurance coverage for service incurred illness, injury, disability or death, is the responsibility of the NGO.

4. The NGO shall ensure that its personnel meet the highest standards of qualification and technical and professional competence necessary for the achievement of the Objectives of the Project, and that decisions on employment related to the Project shall be free of discrimination on the basis of race, religion or

creed, ethnicity or national origin, gender, handicapped status, or other similar factors. The NGO shall ensure that all personnel are free from any conflicts of interest relative to the Project Activities.

#### **Article VI. Terms and Obligations of Personnel**

The NGO undertakes to be bound by the terms and obligations specified below, and shall accordingly ensure that the personnel performing project-related activities under the present Agreement comply with these obligations:

(a) The personnel shall be under the direct charge of the NGO, which functions under the general guidance of UNDP and the Government;

(b) Further to subparagraph (a) above, they shall not seek nor accept instructions regarding the activities under the present Agreement from any Government other than the Government of *Uganda* or other authority external to UNDP;

(c) They shall refrain from any conduct that would adversely reflect on the United Nations and shall not engage in any activity which is incompatible with the aims and objectives of the United Nations or the mandate of UNDP;

(d) Subject to the requirements outlined in the document “UNDP public information disclosure policy”, information that is considered confidential shall not be used without the authorisation of UNDP. In any event, such information shall not be used for individual profit. The Project Director may communicate with the media regarding the methods and scientific procedures used by the NGO; however, UNDP clearance is required for the use of the name UNDP in conjunction with Project Activities in accordance with Article IV, paragraph 5, above. This obligation shall not lapse upon termination of the present Agreement unless otherwise agreed between the Parties.

### **Article VII. Supplies, Vehicles and Procurement**

1. UNDP shall contribute to the Project the resources indicated in the Budget section of the Project Document.

2. Equipment, non-expendable materials, or other property furnished or financed by UNDP shall remain the property of UNDP and shall be returned to UNDP upon completion of the Project or upon termination of the present Agreement, unless otherwise agreed upon between the Parties, and in consultation with the government coordinating authority. During Project implementation and prior to such return, the NGO shall be responsible for the proper custody, maintenance and care of all equipment. The NGO shall, for the protection of such equipment and materials during implementation of the Project, obtain appropriate insurance in such amounts as may be agreed upon between the Parties and incorporated in the Project Budget.

3. The NGO will place on the supplies, equipment and other materials it furnishes or finances such markings as will be necessary to identify them as being provided by UNDP through a GEF grant.

4. In cases of damage, theft or other losses of vehicles and other property made available to the NGO, the NGO shall provide UNDP with a comprehensive report, including police report, where appropriate, and any other evidence giving full details of the events leading to the loss of the property.

5. In its procedures for procurement of goods, services or other requirements with funds made available by UNDP as provided for in the Project Budget, the NGO shall ensure that, when placing orders or awarding contracts, it will safeguard the principles of highest quality, economy and efficiency, and that the placing of such orders will be based on an assessment of competitive quotations, bids, or proposals unless otherwise agreed to by UNDP.

6. UNDP shall make every effort to assist the NGO in clearing all equipment and supplies through customs at places of entry into the country where Project activities are to take place.

7. The NGO shall maintain complete and accurate records of equipment, supplies and other property purchased with UNDP funds and shall take periodic physical inventories. The NGO shall provide UNDP annually with the inventory of such equipment, property and non-expendable materials and supplies, and at such time and in such form as UNDP may request.

### **Article VIII. Financial and Operational Arrangements**

1. In accordance with the Project Budget, UNDP has allocated and will make available to the NGO funds up to the an amount of **USD 2,900,000**. The first installment of **USD ?????** (to cover operating expenses within the first six months) **CHECK** will be advanced to the NGO within **20** working days following signature of the present Agreement. The second and subsequent installments will be advanced to the NGO quarterly, when a financial report and other agreed-upon documentation, as referenced in Article X, below, for the activities completed have been submitted to and accepted by

UNDP as showing satisfactory management and use of UNDP resources. Note that a sum of 267,000\$ is retained by UNDP Uganda for equipment purchases.

2. The NGO agrees to utilise the funds and any supplies and equipment provided by UNDP in strict accordance with the Project Document as laid out in Appendix 1. The NGO shall be authorised to make variations not exceeding 20 per cent on any one line item of the Project Budget provided that the total Budget allocated by UNDP is not exceeded. The NGO shall notify UNDP about any expected variations on the occasion of the quarterly consultations set forth in Article IV, paragraph 3, above. Any variations exceeding 20 per cent on any one line item that may be necessary for the proper and successful implementation of the Project shall be subject to prior consultations with and approval by UNDP and partners.

3. The NGO further agrees to return within two weeks any unused supplies made available by UNDP at the termination or end of the present Agreement or the completion of the Project. Any unspent funds shall be returned within two months of the termination of the present Agreement or the completion of the Project.

4. UNDP shall not be liable for the payment of any expenses, fees, tolls or any other financial cost not outlined in the Project Work Plan or Project Budget unless UNDP has explicitly agreed in writing to do so prior to the expenditure by the NGO.

#### **Article IX. Maintenance of Records**

1. The NGO shall keep accurate and up-to-date records and documents in respect of all expenditures incurred with the funds made available by UNDP to ensure that all expenditures are in conformity with the provisions of the Project Work Plan and Project Budgets. For each disbursement, proper supporting documentation shall be maintained, including original invoices, bills, and receipts pertinent to the transaction. Any Income, as defined in Article I, paragraph 1 (k), above, arising from the management of the Project shall be promptly disclosed to UNDP. The Income shall be reflected in a revised Project Budget and Work Plan and recorded as accrued income to UNDP unless otherwise agreed between the Parties.

2. Upon completion of the Project/or Termination of the Agreement, the NGO shall maintain the records for a period of at least four years unless otherwise agreed upon between the Parties.

#### **Article X. Reporting Requirements**

1. The NGO shall provide UNDP and the government coordinating authority with periodic reports on the progress, activities, achievements and results of the Project, as agreed between the Parties. As a minimum, the NGO shall prepare an annual progress report.

2. Financial reporting will be quarterly:

(a) The NGO prepares a financial report and submits it to the UNDP Resident Representative no later than 30 days after the end of each quarter, in English.

(b) The purpose of the financial report is to request a quarterly advance of funds, to list the disbursements incurred on the Project by budgetary component on a quarterly basis, and to reconcile outstanding advances and foreign exchange loss or gain during the quarter.

(c) The financial report has been designed to reflect the transactions of a project on a cash basis.

For this reason, un-liquidated obligations or commitments should not be reported to UNDP, i.e., the reports should be prepared on a "cash basis", not on an accrual basis, and thus will include only disbursements made by the NGO and not commitments. However, the NGO shall provide an indication when submitting

reports as to the level of un-liquidated obligations or commitments, for budgetary purposes;

(d) The financial report contains information that forms the basis of a periodic financial review and its timely submission is a prerequisite to the continuing funding of the Project. Unless the Financial

Report is received, the UNDP Resident Representative will not act upon requests for advances of funds from UNDP;

(e) Any refund received by an NGO from a supplier should be reflected on the financial report as a reduction of disbursements on the component to which it relates.

3. Within two months of the completion of the Project or of the termination of the present Agreement, the NGO shall submit a final report on the Project activities and include a final financial report on the use of UNDP funds, as well as an inventory of supplies and equipment.

#### **Article XI. Audit Requirements**

1. The NGO shall submit to the UNDP Resident Representative in Uganda a certified annual financial statement on the status of funds advanced by UNDP. The Project will be audited at least once per year, as will be reflected in the annual audit plan prepared by UNDP Headquarters (Division of Audit and Performance Review) in consultation with the Parties to the Project. The audit shall be carried out by the auditors of the NGO or by a qualified audit firm, which will produce an audit report and certify the financial statement.

2. Notwithstanding the above, UNDP shall have the right, at its own expense, to audit or review such Project-related books and records as it may require and to have access to the books and record of the NGO, as necessary.

#### **Article XII. Responsibility for Claims**

1. The NGO shall indemnify, hold and save harmless, and defend at its own expense, UNDP, its officials and persons performing services for UNDP, from and against all suits, claims, demands and liability of any nature and kind, including their cost and expenses, arising out of the acts or omissions of the NGO or its employees or persons hired for the management of the present Agreement and the Project.

2. The NGO shall be responsible for, and deal with all claims brought against it by its Personnel, employees, agents or subcontractors.

#### **Article XIII. Suspension and Early Termination**

1. The Parties hereto recognise that the successful completion and accomplishment of the purposes of a technical cooperation activity are of paramount importance, and that UNDP may find it necessary to terminate the Project, or to modify the arrangements for the management of a Project, should circumstances arise that jeopardise successful completion or the accomplishment of the purposes of the Project. The provisions of the present Article shall apply to any such situation.

2. UNDP shall consult with the NGO if any circumstances arise that, in the judgement of UNDP, interfere or threaten to interfere with the successful completion of the Project or the accomplishment of its purposes. The NGO shall promptly inform UNDP of any such circumstances that might come to its attention. The Parties shall cooperate towards the rectification or elimination of the circumstances in question and shall exert all reasonable efforts to that end, including prompt corrective steps by the NGO, where such circumstances are attributable to it or within its responsibility or control. The Parties shall cooperate in assessing the consequences of possible termination of the Project on the beneficiaries of the Project.

3. UNDP may at any time after occurrence of the circumstances in question, and after appropriate consultations, suspend the Project by written notice to the NGO, without prejudice to the initiation or continuation of any of the measures envisaged in paragraph 2 above, of the present Article. UNDP may indicate to the NGO the conditions under which it is prepared to authorise management to resume.

4. If the cause of suspension is not rectified or eliminated within 14 days after UNDP has given notice of suspension to the NGO, UNDP may, by written notice at any time thereafter during the

continuation of such cause: (a) terminate the Project; or (b) terminate the management of the Project by the NGO, and entrust its management to another institution. The effective date of termination under the provisions of

the present paragraph shall be specified by written notice from UNDP.

5. Subject to paragraph 4 (b), above, of the present Article, the NGO may terminate the present Agreement in cases where a condition has arisen that impedes the NGO from successfully fulfilling its responsibilities under the present Agreement, by providing UNDP with written notice of its intention to terminate the present Agreement at least 30 days prior to the effective date of termination if the Project has

a duration of up to six months and at least 60 days prior to the effective date of termination if the Project has a duration of six months or more.

6. The NGO may terminate the present Agreement only under point 5, above, of the present Article, after consultations have been held between the NGO and UNDP, with a view to eliminating the impediment, and shall give due consideration to proposals made by UNDP in this respect.

7. Upon receipt of a notice of termination by either Party under the present Article, the Parties shall take immediate steps to terminate activities under the present Agreement, in a prompt and orderly manner, so as to minimise losses and further expenditures. The NGO shall undertake no forward commitments and shall return to UNDP, within 30 days, all unspent funds, supplies and other property provided by UNDP unless UNDP has agreed otherwise in writing.

8. In the event of any termination by either Party under the present Article, UNDP shall reimburse the NGO only for the costs incurred to manage the project in conformity with the express terms of the present Agreement. Reimbursements to the NGO under this provision, when added to amounts previously remitted to it by UNDP in respect of the Project, shall not exceed the total UNDP allocation for the Project.

9. In the event of transfer of the responsibilities of the NGO for the management of a Project to another institution, the NGO shall cooperate with UNDP and the other institution in the orderly transfer of such responsibilities.

#### **Article XIV. Force majeure**

1. In the event of and as soon as possible after the occurrence of any cause constituting Force majeure, as defined in Article I, paragraph 1, above, the Party affected by the Force majeure shall give the other Party notice and full particulars in writing of such occurrence if the affected Party is thereby rendered unable, in whole or in part, to perform its obligations or meet its responsibilities under the present

Agreement. The Parties shall consult on the appropriate action to be taken, which may include suspension of the present Agreement by UNDP, in accordance with Article XIII, paragraph 3, above, or termination of the Agreement, with either Party giving to the other at least seven days written notice of such termination.

2. In the event that the present Agreement is terminated owing to causes constituting *Force Majeure*, the provisions of Article XIII, paragraphs 8 and 9, above, shall apply.

#### **Article XV. Arbitration**

The Parties shall try to settle amicably through direct negotiations, any dispute, controversy or claim arising out of or relating to the present Agreement, including breach and termination of the Agreement. If these negotiations are unsuccessful, the matter shall be referred to arbitration in accordance with United Nations Commission on International Trade Law Arbitration Rules. The Parties shall be bound by the

arbitration award rendered in accordance with such arbitration, as the final decision on any such dispute, controversy or claim.



**Article XVI. Privileges and Immunities**

Nothing in or relating to the present Agreement shall be deemed a waiver, express or implied, of any of the privileges and immunities of the United Nations and UNDP.

**Article XVII. Amendments**

The present Agreement and its Annex/ Appendix may be modified or amended only by written agreement between the Parties.

**IN WITNESS WHEREOF**, the undersigned, being duly authorised thereto, have on behalf of the Parties hereto signed the present Agreement at the place and on the day below written.

For the NGO:

For UNDP:

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_

Place: \_\_\_\_\_

Place: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

## APPENDIX ONE-IMPLEMENTATION MODALITIES OF PROJECT OBJECTIVES

- 1) WWF East African Regional Project Office (EARPO) is contracted by UNDP Uganda for the purposes of **leading** the implementation of this GEF funded project on behalf of Government of Uganda, UNDP and other partners.
- 2) The specific role of each partner is set out in the Project Document, and Terms of Reference are attached thereto. These Terms of Reference (TOR) may be modified by the Project Inception Report process within the first 6 months of the project start-up and subsequent approval by the Steering Committee.
- 3) WWF (EARO) will set up a Project Management Unit in Uganda, in Hoima Bay. The PMU will be headed by a National Project Manager and advised by an internationally recruited Technical Advisor. WWF EARO will work with Government and UNDP to set up joint recruitment process.
- 4) The Project Office will report to both Government, through the National Project Coordinator (NPC) in the Forest Inspection Division; and to UNDP Country Office. In addition the Project Office will maintain close liaison with District Government partners and other organisations in the implementation of this project.
- 5) Major equipment for the project will be procured through the Service Centre of the UNDP Country Office, using duty-free processes. A table of such equipment is attached to this Appendix.
- 6) WWF through both their East African and new Country Office will provide technical and managerial and accounting backstopping to the Project. The project budget provides an overhead fee to cover such costs.
- 7) Financial disbursement is from the UNDP Country Office in Kampala to WWF EARPO and WWF EARPO disburses funds to the Project Bank Account in Hoima Bay. UNDP CO disburses funds according to the agreed Annual Work Plan and Quarterly Project Reporting. Government – via ALD approves Annual Work Plans,
- 8) This project has been established in a spirit of collaboration with several partners, from Government, Civil Society and Academia. Both WWF and the NPC within FID will actively encourage this spirit of partnership.

## ANNEX 5: Response to Council and Secretariat Comments

No	Council / GEFSEC Comments	Responses
1	<p><b>Council Member for USA</b></p> <p>Please strengthen the Cost-Effectiveness Section.</p>	<p>This has been done – see enhanced text in section (pp23) of this Pro-Doc.</p>
2	<p><b>Council Member for Germany</b></p> <p>a) The Exec Summ is rather long.</p> <p>b) No major activity refers to local income streams and marketing and enhancing the value of local produce</p> <p>c) Consider a Regional Framework for Land-Use Planning</p> <p>d) Consider some readjustment of budgets to enhance CBNRM (eg by reducing M and E budgets)</p>	<p>Apolgies, we learn for future submissions</p> <p>This activity is within D3 “incentives for sustainable use of forest resources are promoted”. We also stress the considerable levels of co-finance on this (eg IFAD on rural livelihoods in our area) AND the growing activity on this from USAID’s Prime-West project in adjacent areas of forest.</p> <p>Good Point. A1 (the overall Rift Strategy) emphasises regional (and lower level!) land-use planning frameworks. LUP is now a mandated function of strengthened Local Councils I(LC5 with whom Project works).</p> <p>We will raise this at the Inception Workshop after project start-up. But we note the lot of co-finance around CBNRM (increased since Council Approval – eg Danish support to CARE for CFM scale-up and networking {<i>which uses past UNDP-GEF cross-borders success stories from Rakai District as models</i>}). And, we wanted to maintain M and E process</p>
3	<p>GEFSEC</p> <p>No comments needed, the Brief “was lauded as best practice”</p>	

## **ANNEX 6: Final Albertine Annexes-Project proposal**

### **List of Annexes Following the Executive Summary:**

Essential annexes are marked in Bold. ACRONYMS ARE IN ANNEX 7 – THE BRIEF.

- Annex 1. Table 2a: Logical Framework Analysis  
Table 2b: Results Management Matrix**
- Annex 2. Letter of Endorsement from Country OFP**
- Annex 3. Letters of Co-Finance Commitment**
- Annex 4. STAP Technical Review and Response to STAP**
- Annex 5. Maps of Project Sites
- Annex 6. The Project Brief: Detailed Analysis of Values, Institutions and Threats**
- Annex 7. Outstanding Biodiversity Features and Global Importance
- Annex 8. Threats and Root Causes Analysis
- Annex 9. Outcomes of PDF B Activity
- Annex 10. Stakeholder Involvement and Public Participation Plan Summary
- Annex 11. Lessons Learnt Analysis
- Annex 12. Monitoring and Evaluation Framework
- Annex 13. Outline Work plan

**Annex 1. Table 2A PROJECT DESIGN SUMMARY/ LOGICAL FRAMEWORK**  
**Hierarchy of Objectives, Key Performance Indicators, Means of Verification and Critical Assumptions/Risks**

<b>Hierarchy of Objectives</b>	<b>Key Performance Indicators</b>	<b>Means of verification</b>	<b>Critical Assumptions/Risks</b>
<b>DEVELOPMENT OBJECTIVE or GOAL:</b> “The diversity of the Albertine Rift forest resources is conserved and providing sustainable benefits to all stakeholders”.	(Note that this is the Stakeholder Vision for the Project)		Govt is committed to forest conservation Political stability & law maintained PRSP / PEAP process supports forest sector for rural livelihoods. Macro-economics remain positive Policies continue to be pro-poor with adequate rural dimension
<b>Project Objective (Purpose):</b> The system of protected areas in the North Albertine Rift Valley Forest (Unit 1) is strengthened and consolidated, effectively conserving globally significant biodiversity	Rates of deforestation in the Albertine Rift have decreased by 50% of baseline levels by EOP. Populations of key indicator species are maintained or increase in the Albertine Rift forests by EOP. Eleven forest reserves have revised management plans under implementation by EOP. The area of Albertine Rift forest under conservation management is increased by 82,916 ha by EOP.	Satellite images Biodiversity surveys Government documents indicate approval and funding of conservation strategies. Total land covered by CFM	No natural disaster to affect forest biodiversity No transboundary conflict. The new National Forest Authority develops according to plan.
<b>Outcome A:</b> An overall conservation and management strategy for the Albertine Rift Forested Protected Area (PA) systems in place and functioning.	Integrated conservation strategy for the Albertine Rift forests developed and under implementation by EOP. 50% of key stakeholders are actively involved in managing the Albertine Rift forests by EOP. Independent evaluation confirms that by EOP, monitoring systems for biodiversity and socio-economic situation are fully established in the AR forests and collected data is being fed into management decisions.	An integrated conservation manual Annual reports Project reports Minutes of meetings Participatory M&E manual	Stakeholders remain willing to collaborate
<b>Outcome B:</b> Central Forest Reserves are strengthened and provide conservation & sustainable management of forest resources.	Area of CFR under sustainable management up by 80% EOP. Biodiversity monitoring indicates numbers of key species in CFR remain the same or increase by EOP. Eleven participatory forest management plans for CFRs with areas greater than or equal to 3,000ha developed and under implementation by EOP. Capacity of Forest Authority to manage forests improves.	Project reports detailing management plan implementation Forest areas show boundary demarcation. Annual CFR report based on resource inventory	Dedicated champions can be recruited from local communities to participate in

<b>Hierarchy of Objectives</b>	<b>Key Performance Indicators</b>	<b>Means of verification</b>	<b>Critical Assumptions/Risks</b>
<b>Outcome C:</b> Forest connectivity maintained within the Northern Corridor.	Ten % of the total forest area out side protected areas in the project sites is demarcated for conservation purposes and recognized by stakeholders by year 3, 30% by year 5. Wildlife incidence in corridor increase by 30 % by EOP More than 50% of the communities are aware of the value of the northern corridor for conservation purposes by EOP. All four districts approve land use plan processes and start to implement plans by year 5	Area demarcated and details of land area covered by PFM plans Project reports, maps M&E Surveys Management plans Land use plan reports Awareness surveys	Landowners accept corridor in their land. Stakeholders willing to collaborate in land use planning and forest management
<b>Outcome D:</b> Incentives for community based forest conservation initiatives in place and functioning.	Two fold increase in income being generated for local communities from non-timber forest resources by EOP. Communities sign at least 10 forest management plans and start implementation by EOP. An increase in at least 40 % of community groups benefiting from conservation processes	Project reports Management agreements Socio-economic surveys	Livelihood initiatives acceptable to the community

### Outputs, Output Indicators and Targets and Activities.

<b>OUTPUTS</b>	<b>Indicators and Targets</b>	<b>Activities</b>
A1 Local sustainable financing mechanisms identified and promoted	3 funding opportunities identified by EOP External funding secured for five micro-projects by year 4. No of supporters to the financing strategy increases by 50% at EOP	A1.1 Identify current sources of financial support for forest conservation in the Albertine Rift of Uganda as well as potential, innovative sources of support. A1.2 Strengthen local governments capacity to develop business plan for financing forest conservation and management, including funding strategy. A1.3 Identify options for partnerships with institutions including local micro finance institutions with interests in natural resources to support conservation funds.
A2: The Forest Nature Reserve Master Plan is implemented in the Northern AR	Two full Nature Reserves, approved, demarcated and in place, managed as per plan processes, accepted by communities.	A2.1 Use biodiversity assessments in reserves to plan Nature Reserves A2.2 Planned Nature Reserves agreed with decision makers at all levels A2.3 Nature Reserves demarcated, agreed and managed according to plans
A3: Stakeholders supported to develop an overall regional strategy for the Albertine Rift forested protected area system through sharing lessons, data and information	Guidelines, frameworks and action plans for strategy implementation are in place and being used by EOP Number of stakeholders involved in developing the strategy increases by 50% from baseline situation by EOP	A3.1 Support stakeholder consultation to formulate a biodiversity vision, objectives and action plans for the AR forested protected area system A3.2 Support partners to undertake studies through lessons, data and information sharing to understand factors and threats affecting conservation targets and identify conservation priorities to be addressed by the overall AR Conservation strategy A3.3 Support the development of the Albertine Rift Conservation Strategy
A4: Monitoring and evaluation frameworks for the Albertine Rift protected area system developed	M&E guidelines and manual in place and in use by year 3 Completed data base for biological and socio-economic indicators completed yr 2	A4.1 Establish socio economic monitoring indicators and evaluation systems at central and district levels. A4.2 Develop resource monitoring and evaluation indicators (forest cover, biodiversity, poaching and other human uses)
B1. Biodiversity and forest resources in the CFRs inventoried	Mapping of northern corridor completed by year 2 30 members of community trained to participate in resource inventory National biodiversity data bank incorporates inventory data for national and local use by year 3	B1.1 Map the northern corridor landscape B1.2 Conduct training in biodiversity inventory techniques B1.3 Conduct Biodiversity inventories/surveys B1.4 Support the national biodiversity data bank to incorporate the inventory data generated for national and local use.
B2. Central Forest Reserve boundaries secured and demarcated	Eleven (11) forest reserves have their boundaries demarcated by year 2 Forest encroachment reduced by 25% 4,900 ha of degraded forest regenerated Forest cover increases by 22%	B 2.1 Conduct boundary re-surveys and produce boundary plan maps for Itwara, Kagombe, Matiri complexes and small forest reserves in Kibaale district B 2.2 Demarcate the boundaries with standard recommended NFA mark stone B 2.3 Identify degraded areas and select target sites for regeneration.

<p>B3. Incidence of illegal activities in central forest reserves reduced and brought under control, through improved capacity and partnership .</p>	<p>Rate of illegal timber and charcoal burning in CFR decreases by 20% Incidence of agricultural and settlement encroachment in the reserves declines to zero by EOP Joint protection patrol and monitoring systems established by FD/UWA and other stakeholders and in use</p>	<p>B 3.1 Translate and simplify ordinances &amp; regulations for natural resource management in local languages B 3.2 Support the process to develop ordinances and bye-laws with local government and build this into effective partnership. B 3.3 Support the process to enforce ordinances and bye-laws B 3.4 Support capacity of NFA, UWA and Local authorities to undertake joint protection patrols and monitoring of illegal activities. B3.5 Increase broad base awareness on the values of forest resources through public awareness campaigns</p>
<p>B4 Forest Management Plans for CFRs developed with applied scientific information.</p>	<p>Seven CFRs established with new Management Plans by year 4 30 forest staff, planners and community members trained by yr 5 Three applied studies completed by EOP, and feeding into management planning processes.</p>	<p>B 4.1 Support and strengthen national, district and local institutions to effectively develop strategic Forest management plans for CFRs. B4.2 Facilitate district forest offices &amp; Local Environment Committees to develop participatory forest management plans. B4.3 Develop and support focused research to help in the selection of suitable forest practices for specific target sites. E.g. corridor design, human wildlife conflicts and buffer zone management. B 4.4 Develop and pilot mechanisms to integrate results of such studies into natural resource management plans.</p>
<p>C1 Northern biodiversity corridor assessed</p>	<p>Boundaries of the corridor are identified and agreed with stakeholder participation by year 2 Ecological, socio-economic and cultural values/services of corridor assessed by yr 3</p>	<p>C1.1 Identify and confirm potential components of the corridor C1.2 Document ecological, socio-economic, cultural values and services of the northern corridor</p>
<p>C2. Local land use plans developed and implementation initiated with increased awareness of planning values.</p>	<p>Three local land use plans developed with the participation of stakeholders by yr 4. 6 communities involved in land use plans Ten incidences of inter district cooperation Three community groups using sustainable approaches in management of natural resources by year 4 Annual increase in dissemination of information about conserving and managing the northern corridor is demonstrated from baseline situation</p>	<p>C 2.1 Develop local land-use plans that support the maintenance of the northern corridor C 2.2 Pilot implementation of local land-use plans C 2.3 Promote and undertake community awareness and education on values, opportunities, benefits, incentives and threats to forest resources. C 2.4 Educate stakeholders on rights and obligations on forest resources in terms of access, ownership, decision making, roles and responsibilities C2.5 Disseminate relevant information to various stakeholders through e-mails, internet, and other communication technologies.</p>
<p>C3 Local authorities, communities and private land owners supported to develop Private Forest Management Plans</p>	<p>Three management plans for private forest reserves developed and under implementation by year 5</p>	<p>C 3.1 Train stakeholders to enhance their skills in participatory forest management planning, design and implementation C3.2 Mobilize and facilitate stakeholders to develop participatory forest management plans</p>



C4. Undertake Forest landscape connectivity in the northern corridor	19,200 ha of degraded landscape under afforestation programs such as tree planting, agro-forestry wood lots and commercial fuel wood plantations by yr 4 Forest cover increases by 22%	C4.1 Identify degraded areas and select target sites for restoration cover, through regeneration or enrichment planting. C4.2 Mobilize communities to undertake regeneration / restoration planting in the target sites
D1 CBNRM approaches promoted for the maintenance of forest resources on private lands	At least five alternative livelihood initiatives in place by the EOP	D 1.1 Analyse relevant baseline data on potential community-based projects. D 1.2 Design and pilot CBNRM initiatives using participatory approaches, that integrate CBNRM in parish, sub county and district development plans
D2 Collaborative Forest management (CFM) approaches promoted in CFRs	Five community groups participating in CFM by EOP Two agreements negotiated/signed by EOP	D2.1 Initiate and support CFM processes in selected sites D2.2 Draft a simple CFM plan D2.3 Pilot implementation of CFM agreements and forest management plans
D3 Incentives for sustainable use of forest resources explored and promoted.	Three best practice technologies by EOP Framework for incentives that promote conservation of forests on private land developed and implemented by EOP Problem Animal Control strategy developed and under implementation EOP	D 3.1 Promote technologies for efficient use of forest and agro-based products D3.2 Identify/develop frameworks for incentives to promote conservation on private land D3.3 Support local authority and communities to implement Problem Animal Control strategy developed by UWA and strengthen district vermin control units

**B2: Results Measurement Template: Albertine Rift Valley Forests: Uganda (See M and E Framework in Annex 14)**

Objectives	Key Performance Indicators	Target (Year 5)	Sampling Frequency	Notes
<b>Project Objective (Purpose):</b> The system of protected areas in the North Albertine Rift Valley Forest (Unit 1) is strengthened and consolidated, effectively conserving globally significant biodiversity	The area of Albertine Rift forest under conservation management is increased by 250,000 ha by EOP.	250,000 ha, of which xx is forest reserve and yy in private forests.	Year 3,5	Indicators are number of ha which are under approved management plans (both FR & private), and these plans are being implemented.
	Rates of deforestation in the Albertine Rift have decreased by 50% of baseline levels by EOP.	50% decline in present rate	Year 3 (sample) and 5.	Satellite Imagery
	Populations of key indicator species are maintained or increase in the Albertine Rift forests by EOP.	Same or increase in densities and range. Chimpanzees, IBA bird lists, AR biodiversity reports from WCS.	Chimpanzees In year 3,5. IBA surveys in years 1,2 & 4,5.	IBAs (Important Bird Areas) have lists and abundance scores of threatened endemic bird species.
	Eleven forest reserves have revised management plans under implementation by EOP. FRs have improved scores on the WB – WWF PA tracking tool.	Eleven FRs, and ALL FRS show significant increase	Tracking Tool as baseline in year 1, then yr 3 & 5.	Tracking tool to be done with new NFA staff (not available in PDFB process)
<b>Outcome A:</b> An overall conservation and management strategy for the Albertine Rift Forested Protected Area (PA) systems in place and functioning.	Integrated conservation strategy for the Albertine Rift forests developed and under implementation by EOP.	Strategy for both AR Units, implemented in Unit 1	Year 3,5	Implementation means that components are built into NFA Business Plan.
	50% of key stakeholders are actively involved in managing the Albertine Rift forests by EOP.	Institutional stakeholders based on lists within PDF B, see annex 11.	Year 3,5	Stakeholders are LC3, and selected LC1 committees, and interest / user groups, private sector entities
	Independent evaluation confirms that by EOP, monitoring systems for biodiversity and socio-economic situation are fully established in the AR forests and collected data is being fed into management decisions.	All management plans have adaptive management processes, with links to M and E outputs.	Year 3,5	The M and E protocol for forest conservation in the Albertine Rift will be part of the larger Strategy. It needs adoption by NFA, UWA & MUIENR.
<b>Outcome B:</b> Central Forest Reserves are strengthened and provide conservation & sustainable management of forest resources.	Area of CFR under sustainable management increases by 80% by EOP.	By year 4 half of CFRs are being implemented according to approved Mgmt plan. All by EOP.	Yr 4 and 5	The management plan is the key issue here (content, acceptability and implementation levels – including adequate funding)
	Biodiversity monitoring indicates numbers of key species in CFR remain the same or increase by EOP.	Key species as above (row 3)	As above	See above
	Eleven participatory forest management plans for CFRs with areas greater than or equal to 3,000ha developed and under implementation by EOP.	Plans approved and under implementation.	Test in year 3, evaluate year 5.	PFM plans are again the key.

Objectives	Key Performance Indicators	Target (Year 5)	Sampling Frequency	Notes
<b>Outcome C:</b> Forest connectivity maintained within the Northern Corridor.	Ten % of the total forest area outside protected areas in the project sites is demarcated for conservation purposes and recognized by stakeholders by year 3, 30% by year 5.	Plans approved and under implementation.	Test year 3 evaluate year 5. TRA reduction scores useful.	The detailed satellite imagery map of forest cover is the baseline in general and for each significant patch.
	Wildlife incidence in corridor increase by 30 % by EOP (densities, signs, reports)	Baseline in 2002 assessments. 30% increase in corridor hotspots.	Test yr 3, evaluate in yr 5	Elephant, chimpanzee, buffalo signs are easily seen.
	More than 50% of the communities are aware of the value of the northern corridor for conservation purposes by the end of the project.	Communities measured as LC1, and private land-owners	Test annually by TRA and other methods.	
	All four districts approve land use plan processes and start to implement plans by year 5	Land-use plans include realistic forest targets and protocols.	Test year 1,3 and full in year 5.	Land-use plan content, approval level and implementation are key.
<b>Outcome D:</b> Incentives for community based forest conservation initiatives in place and functioning.	Two fold increase in income being generated for local communities from non-timber forest resources by EOP.	Baseline data was at LC3 level in PODF B. Need to finalise datasets in target villages in year 1 – focusing on those with CFM input	Year 1 (expand BL) yr 3 and year 5	Income levels at household, tied to resource use surveys and valuation processes.
	Communities sign at least 10 forest management plans and start implementation by EOP.	Plans in place, approved and under implementation.	Test in year 3, evaluate year 5	Strength of plan implementation
	An increase in at least 40 % of community groups benefiting from conservation processes	Benefits as in income (see above) and in group capacity, and non-monetary poverty indices.	Year 1 (expand baseline) test in year 3 and evaluate in yr 5.	Non-monetary benefits include access to herbal medicines, access to sustainable fuelwood etc.

Annex 2 Endorsement Letter (This was obtained and used in Block B Process. See .pdf file for 2004 letter)

SENT BY:UNDP

;29- 7-99 ; 15:34 ;

UNDP-KAMPALA→

212 906 6362 ;# 2/ 2

Telephones: Minister;  
Kampala: 232370  
Office;  
Kampala 234700/9 (10 lines)  
Fax: 230163/341397  
Email: finance@imul.com

In any correspondence on  
this subject please quote No. \_\_\_\_\_

EC 78/37



THE REPUBLIC OF UGANDA

Ministry of Finance,  
Planning & Economic  
Development  
P.O. Box 8147,  
Kampala.  
Uganda .

28<sup>th</sup> July, 1999

The Resident Representative,  
UNDP  
**KAMPALA**

**SUBJECT: CONSERVATION OF BIODIVERSITY IN THE ALBERTINE RIFT-  
VALLEY FORESTS- PROPOSAL FOR A PDF BLOCK GRANT.**

This bears reference to a letter from the National Environment Management Authority (NEMA) NEMA/6.5 dated July 27, 1999, in which we are requested to submit the proposal to GEF through UNDP for funding.

The purpose of this letter is to formally forward to GEF through you the proposal for their appropriate action.

J. C. Anyali

For: **PERMANENT SECRETARY/SECRETARY TO THE TREASURY**

cc The Executive Director,  
National Environmental Management Authority (NEMA)  
**KAMPALA**

### Annex 3 Seven Letters of Co-Finance Commitment

(EU Project in Forestry, IGCP, MacArthur, Hoima District IFAD, WCS, Forestry in Government of Uganda – via FAO, and Direct Contribution)

GENERAL LINE: 253485  
COMMISSIONER: 251917  
DEP. COMMISSIONER: 251921  
FAX: 251968



MINISTRY OF WATER, LANDS AND  
ENVIRONMENT  
FOREST DEPARTMENT  
P.O. BOX 7124  
KAMPALA, UGANDA.

IN ANY CORRESPONDENCE ON THIS  
SUBJECT PLEASE QUOTE NO. 14/27

THE REPUBLIC OF UGANDA

05 November 2003

The UNDP/GEF Coordinator,  
C/o UNDP Country Office  
Kampala

#### **Mutual Interventions for the Conservation of the Albertine Rift Forests in Uganda**

The Forest Resources Management and Conservation Programme is a Forestry Department Programme, which is funded by the European Union. The purpose of the Programme is *"to improve forest management for conservation of biodiversity and increased sustainable production with a focus on the poor"*. To this end, we place great importance on the biodiversity in the Albertine Rift Forests in Uganda.

Therefore, this is to confirm the interest of the Forest Resources Management and Conservation Programme in working with the GEF/UNDP project that is being developed for the conservation of the Albertine Rift Forests. We plan to spend over US\$ 2,500,000 over a period of 3 years.

We look forward to a fruitful partnership.

A handwritten signature in black ink, appearing to read 'A.K. Kyaroki'.

A.K. Kyaroki  
Ag. Commissioner for Forestry

cc. Permanent Secretary, Ministry of Water, Lands and Environment  
cc. Director, Lands and Environment



**INTERNATIONAL GORILLA CONSERVATION PROGRAMME**

PO Box 48177, Nairobi, Kenya. Telephone: (254-2) 710367 Facsimile: (254-2) 710372. email [igcp@unfpa.org](mailto:igcp@unfpa.org) www.igcp.org

To UNDP GEF Coordinator  
c/o UNDP Country Office  
Kampala

Nairobi, September 3, 2003

Re: Mutual interventions for the Conservation of the Albertine Rift Forests in Uganda

Dear Colleagues,

I write to confirm the interest of the coalition of organisations supporting the International Gorilla Conservation Programme (IGCP) in working together with GEF/UNDP on the development of a GEF-UNDP project for sustainable conservation of Albertine Rift Forests. This letter confirms that the coalition of organisations, including the African Wildlife Foundation, Fauna and Flora International and WWF, is spending some USD 500,000 on conservation activities through the IGCP in Rwanda, the Democratic Republic of Congo and Uganda. This is considered the co-financing contribution towards the overall goal of sustainable conservation and management of the Albertine Rift forests, and specifically in Uganda.

Respectfully,

Annette Lanjouw  
Director  
International Gorilla Conservation Programme



MACARTHUR  
The John D and Catherine T. MacArthur Foundation



October 15, 2003

UNDP/GEF Coordinator  
c/o UNDP Country Office  
Kampala  
UGANDA

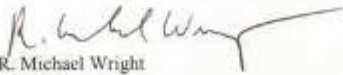
Re: Mutual interventions for the Conservation of the Albertine Rift Forests in Uganda.

Dear Colleagues:

This is to confirm the interest of the MacArthur Foundation in working together with the developing GEF-UNDP project on the sustainable conservation of Albertine Rift Forests. This letter confirms that the MacArthur Foundation is spending some USD 730,000 on conservation activities, as indicated in the table below, which we consider as co-financing towards the overall goal of sustainable conservation and management of the Albertine Rift Forests in Uganda.

MacArthur Albertine Rift Grants		
	Total grant	In Uganda
Albertine Rift Conservation Society (ARCOS) (thru WWF)	300,000	200,000
African Wildlife Foundation (AWF) /IGCP	300,000	50,000
World Wildlife Fund (WWF)	300,000	100,000
Wildlife Conservation Society (WCS)	300,000	100,000
College African Wildlife Management	200,000	50,000
International Centre of Insect Physiology and Ecology (ICIPE)	230,000	230,000
<b>Total</b>	<b>1,630,000</b>	<b>730,000</b>

Sincerely yours,

  
R. Michael Wright  
Director  
Conservation and Sustainable Development  
Program on Global Security and Sustainability

140 South Dearborn Street, Suite 1100, Chicago, Illinois 60603-5285  
Telephone: (312) 726-8000 Facsimile: (312) 920-6258 www.macfound.org





## HOIMA DISTRICT DEVELOPMENT SUPPORT PROGRAMME

(Funded by IFAD Belgian Survival Fund and Government of Uganda)



*Our Ref:*

*Your Ref:*

Date 15<sup>th</sup> October 2003

To UNDP GEF Coordinator  
C/o UNDP Country Office  
Kampala.

**RE: MUTUAL INTERVENTIONS FOR THE CONSERVATION OF  
THE ALBERTINE RIFT FORESTS IN UGANDA.**

Dear Colleagues,

I write to confirm the interest of the District Development Support Programme, an IFAD supported project in Hoima working together with the developing GEF-UNDP project on the sustainable conservation of Albertine Rift Forests.

This letter confirms that our organization is spending some USD 2,747,090 in five years on conservation activities, which we consider as co financing towards the overall goal of sustainable conservation and management of the Albertine forests in Uganda.

  
**Project Coordinator,  
HOIMA DDSP.**

WAVAGABA JOHN WILLIAMS  
THE COORDINATOR  
DEVELOPMENT  
PROGRAMME

Project Coordinator:  
Rukurato Road,  
P.O.Box 334, Hoima;  
Tel: 0465 - 40029/40150

Alternative Communication:  
Liaison Office, H/K/DDSP  
Uganda House, P.O.Box 7037, Kampala

Tel: (256) 041 - 235034  
Fax: (256) 041 - 235075





WCS ALBERTINE RIFT PROGRAMME,  
PLOT 39 ACACIA AVENUE  
PO Box 7487, KAMPALA  
wcs@infoccm.co.ug

To UNDP GEF Coordinator  
c/o UNDP Country Office  
Kampala

14th October 2003

**Re: Mutual interventions for the Conservation of the Albertine Rift Forests in Uganda**

Dear Sir/Madam,

I write to confirm the interest of the Wildlife Conservation Society (WCS) in working with the developing GEF-UNDP project on the sustainable conservation of Albertine Rift Forests. This letter confirms that WCS is spending USD 350,000 on conservation activities in Uganda over the next 3 years, which we consider as co-financing towards the overall goal of sustainable conservation and management of the Albertine Rift forests in Uganda.

Yours faithfully

Andrew Plumptre PhD,  
Director Albertine Rift Programme  
Wildlife Conservation Society

**Re: Mutual interventions for the Conservation of the Albertine Rift Forests in Uganda: DANIDA – WWF/CARE Project**

Dear Colleagues,

UNDP GEF Coordinator  
c/o UNDP Country Office  
Kampala

12-12-03

I write to confirm the interest of the Danida-funded PEMA-programme in working together with the developing GEF-UNDP project on the sustainable conservation of Albertine Rift Forests.

The PEMA programme ('Participatory Environmental Management – Engaging the Rural poor as Partners in Conservation') is handled by an alliance of WWF Denmark, CARE Denmark, and DOF-Birdlife Denmark. The programme is focussing among others on activities within the Albertine Rift Valley. The Danida spending within the Albertine Rift Valley is 35 % of the total programme.

This letter confirms that DANIDA is spending some USD 408.000 on conservation activities in the Albertine Rift forests in Uganda. We consider this contribution as co-financing towards the overall goal of sustainable conservation and management of the Albertine Rift forests.

Yours sincerely



Kim Carstensen  
CEO, WWF Denmark

Letter from Government of Uganda –

GENERAL LINE: 233485  
COMMISSIONER: 251917  
DEP. COMMISSIONER: 251921  
FAX: 251918



MINISTRY OF WATER, LANDS AND  
ENVIRONMENT  
FOREST DEPARTMENT  
P.O. BOX 7124  
KAMPALA, UGANDA.

IN ANY CORRESPONDENCE ON THIS

SUBJECT PLEASE QUOTE 3/92

5<sup>th</sup> September 2003.

The UNDP GEF Coordinator  
C/o UNDP Country Office  
Kampala

**Re: Mutual intervention for the Conservation of the Albertine Rift Forests in Uganda.**

I write to confirm the interest of the Forest Department in working together in partnership with the developing GEF-UNDP project on the sustainable conservation of Albertine Rift Forests. This letter confirms that our organisation is spending some USD 300,000 on conservation activities, which we consider as co-financing towards the overall goal of sustainable conservation and management of the Albertine Rift forests in Uganda.

  
Deo N. Byarugaba  
Ag. Commissioner for Forestry

Email: mwle@mwle.go.ug  
Fax: 230891  
Telephone: General: 342931/3  
Hon. Minister: Direct: 259420  
Hon. Minister of State (Water): 236384  
Hon. Minister of State (Lands): 231020  
Hon. Minister of State (Environment): 349265  
Permanent Secretary: 230879  
Director Water Development: 220376  
Director Lands and Environment: 341875  
Under Secretary: 236359



THE REPUBLIC OF UGANDA

MINISTRY OF WATER, LANDS  
AND ENVIRONMENT  
P.O. BOX 7096  
KAMPALA, UGANDA

In any correspondence on  
this subject please quote **DLE/52/168/01**

18<sup>th</sup> November 2003

The UNDP/GEF Co-ordinator,  
C/o UNDP Country Office  
**KAMPALA**

**Mutual Interventions for the Conservation of the Albertine Rift Forests in Uganda.**

The Ministry of Water, Lands and Environment under its obligation to support the establishment of District Forest Services (DFS) under the new National Forestry and Tree Planting Act 2003, has made a provision of approximately US\$ 418,000 within the Medium Term Budget Framework (MTBF) for the 2003/04-05 financial years. This money will be sent to districts as Conditional Grants to support establishment of the DFS and to promote their role in the implementation of forestry activities under the National Forest Plan. This can be considered as co-funding for districts in the Albertine region for the proposed GEF/UNDP Project for the Conservation of the Albertine Rift Forests of Uganda.

  
Gershon Onyango  
For PERMANENT SECRETARY

## Annex 4: STAP Roster Technical Review/Response to STAP comments

### Annex 4A: STAP Review of Project Proposal

#### Conservation of Biodiversity in the Albertine Rift Forest Protected Areas of Uganda

Dr Mike Harrison, London. UK.

##### Scientific and technical soundness of the project

1. The **natural science** basis of the project is sound, with the best available ecological and biodiversity data sourced from the Nature Conservation Master Plan (one of the best such exercises ever conducted in Africa) and more recent surveys and mapping conducted by WCS and others.
2. **Social science** concepts and issues, on the other hand, are less well covered, and the information base is weaker. However, the institutional and governance approaches to addressing the social challenges of conservation in the Albertine Rift are sound. There is clear acknowledgement that poverty is a major driver of forest destruction, and improved livelihoods and participation by poor people are central to the programmes activities. The project will require a deeper understanding of the livelihood assets and aspirations of the farmers and forest users in the region when developing practical interventions and incentives.
3. The **threat analysis** is comprehensive, covering dimensions of poverty and institutional failure as well as forest loss from hunting, illegal logging and agricultural land clearance. The issue of human-animal conflict is highlighted but given little thought in terms of how the project will address this, especially as the development of wildlife corridors is likely to increase such conflicts.
4. The proposed approach to **ecosystem management** is sound, based on rehabilitation of degraded landscapes, development of connecting corridors between forest blocks to improve the effects of forest fragmentation, securing the Central Forest Reserves where most of the remaining forest blocks still exist as strongholds of biodiversity, and developing a vision and programme of regional linking to the rest of the Albertine Rift in neighbouring Rwanda, Burundi, Tanzania and DRC.
5. A suitably focussed number of **indicators** have been developed for the project, which reflect a number of the threats and outcome areas. These are mainly focused on biodiversity and forest measures however, and the project could do well to develop **more social indicators** since the success of the effort will only be sustained if there are significant social and developmental benefits to the population of the northern Albertine Rift. For example, although doubling of income from NTFPs is a very useful and ambitious indicator, others could include numbers of CFM agreements in place, kinds of local institutions in place to deal with community and private forestry, and numbers of tenure agreements that support rehabilitation of corridor areas with adequate incentives.
6. The broad **approach** of the project is sound, based around four outcomes areas to achieve conservation of the northern Albertine Rift forests in Uganda: improved strategic planning, strengthened management of central forest reserves, improving connectivity between forest patches and providing incentives for community-based forest conservation. The institutional analysis is sound, identifying the lead institutions at national and local levels, including government and non-government, and aiming to build on these.
7. Virtually no attention is however given to the new **National Forest Plan (2003)** which has recently concluded a 3-year process of consultation to agree national strategies for forest conservation and management. The NFP is rich in insights, analysis and innovative strategies for forest sector reform and development, particularly in the areas of institutional reforms to the new NFA and new decentralised district

forest services, community-based forest management, conservation and development of customary forests outside forest reserves, and reforms of service delivery by local government and NGOs. All of these are highly relevant to the Albertine Rift project, and GEF is now in a very strong position to build on these ideas and approaches to boost implementation of the new Forestry Policy and secure Uganda's unique biodiversity and forest values.

8. The new National Forestry Authority (NFA) is now launched as a successor to the failing Forestry Department, and funded for a 5-year period<sup>8</sup>. This represents the strongest possible lead institution with which the GEF project can work. The other area of government which is under reform, and for which there is **very limited funding or clarity of vision yet, is the decentralised District Forestry Services**. The GEF project could make a major contribution in this area, but this is not clearly spelled out in the proposal. The districts will be the main driver of forestry developments outside the NFA-managed central forest reserves, including community and private forestry, improvement of forest markets and enabler of **new forms of land tenure through the District Land Boards**.
9. One such area which is given no mention in the proposal is the provision in the Land Act (1998) for Communal Land Associations (CLAs). **CLAs present the best possible legal and institutional mechanism for securing community tenure to customary forest areas**, which are common in the Albertine Rift, and should be a major plank of the project interventions outside forest reserves for building incentives for forest rehabilitation and conservation. The approach is outlined in the NFP, and considerable practical experience with this approach on private or customary land has now been gained in the northern end of the Albertine Rift around Masindi.
10. The balance of financing in the various budget heads appears generally sound, although in some cases some adjustments seem justified. For example, under A2 (Nature Conservation Master Plan implemented) \$150,000 seems too low for implementation, while A3 (M&E developed) appears heavily co-funded already up to \$1 million. Similarly, under B1 (biodiversity inventories) further inventories may be desirable but not critical to the project, whereas **securing reserve boundaries (B2) appears woefully underfunded** for the amount of work required, especially given the time-consuming physical work, negotiations and legal consolidation required. Biodiversity inventories will always be inadequate, but Uganda is relatively well endowed with such data and there are other actors in this field already. (Incidentally, B1 may be a misnomer as "inventory", as the main activities defined are mapping and not inventory).
11. Under B3 (illegal activities in CFRs), \$330,000 appears too small for the task of enforcement relative to the challenge. Further, emphasis is placed on enforcement of bye-laws and regulations, and raising awareness amongst local communities, but no mention is made of corruption which is a major driver of illegal activities. It is widely accepted that this involves the military, police and local governments. The project needs to **develop some appreciation and tactics as to how it intends to address this serious matter in the political economy of forest conservation**, or it could seriously undermine the overall effort.
12. Outputs C and D appear to lack some coherence in their logic and ideas for intervention. The fact that forest landscape regeneration in the northern corridor is placed as a lower level output (C4) is puzzling, as this is at the heart of whole corridor strategy. The critical question is **how** this is to be done – simply mobilizing, encouraging and training farmers is inadequate, there are many other pre-requisite enabling conditions and incentives required. The other outputs and interventions are all subservient to this output, namely development of incentives, improved planning, secure land tenure, and community-based management. The above-mentioned CLAs as well as private land titles or tenure security will be critical pre-requisite institutional mechanisms in efforts to rehabilitate forests in the corridor lands. All of these will take time and money, and are areas where GEF can make a critical contribution (given the lack of finance for the district

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<sup>8</sup> Note : there is confusion throughout the document between the UFA and the NFA, and both are given in the list of acronyms. There is no UFA, only the newly formed NFA.

forest services, and the already well-endowed NFA). Thus, the budgets allocated to outputs C & D are relatively low in comparison to other areas.

13. The idea of connectivity is an excellent **innovation** of this project, and not something that can be undertaken other than at a macro- ecosystem scale. However, further thought must be given to how this is to be achieved and whether wood lots, commercial plantations or agro-forestry developments will achieve the objectives of connecting corridors. Evidence should be evaluated of whether wildlife will use such corridors (or gene flows benefit from reduced forest fragmentation), and of whether this will not **increase the already existing human-animal conflicts** and become counter-productive to overall conservation efforts.
14. The limited emphasis on project structures and the focus on working through existing lead institutions is welcome, although there are some **risks and constraints**. In this context, it is **inappropriate to see WWF listed as a lead institution on so many of the community-based forest management and development outputs**. Equally, in the section on project implementation, the details of how GEF will work with the lead institutions is not clear. In the case of the CFRs, the NFA has its own budgets, targets, staff and workplans – it would be useful to see GEF money being channelled through those structures and processes. Similarly at the district level, although this will be more difficult as the district forest services are not yet running. There are high risks in such a case that the project can create dependency rather than strengthen and build new local institutions. Ideally the project will create funding mechanisms for contracting others rather than developing its own activity programmes. In the case of the district forest services, considerable support to the MWLE may be required to help their overall objective of establishing the district forest services across the Albertine Rift.

#### Identification of global environmental benefits and fit within the context of the goals of GEF

15. The project is eligible under the CBD COP guidelines and eligible for GEF financing.
16. The **global environmental benefits** from the conservation of Uganda's western rift biodiversity will be substantial. Existing national programmes will not achieve these benefits without the incremental costs being met by GEF. District development programmes have other priorities, but the proposed GEF funding will complement their development interventions and deliver global biodiversity benefits as well as local livelihood benefits.
17. The proposal sets out clearly the global importance of Uganda's Albertine Rift biodiversity in terms of ecosystems and key species, many of which are endemic or endangered. There are no other well-funded, strategic or regionally integrated conservation initiatives which aim to support conservation of this unique biodiversity.
18. The project also clearly fits within the context of the goals of GEF for biodiversity conservation in forest ecosystems.

#### Regional Context

19. The project does not propose to develop transboundary interventions, other than to contribute to **regional** planning efforts to develop a holistic framework for conservation of the entire Albertine Rift. This is appropriate, given the need to focus on local realities and develop local institutions and conservation solutions, and given other GEF supported initiatives for cross-border interaction. In this context, the project is an important intervention from a conservation perspective in the region.

#### Replicability of the project

20. The project has learned lessons from other GEF interventions in the past, and promises to yield its own experience and learning through M&E work, and will thus contribute to **replication** of successes elsewhere. The elements that make up the project, from conservation financing to capacity building, from working with national and local government institutions to NGOs and the private sector, from working on collaborative



forest management in state forests to private forest management, the project will yield lessons and practices that can be replicated elsewhere in Africa – many of the problems of the Albertine Rift are generic to other areas, and GEF networks across Africa and elsewhere will ensure learning from others and replication of successes.

### Sustainability of the project

21. The project design is based strongly on working through existing lead institutions and not creating parallel project structures or institutions. This is a fundamental basis for **sustainability**. By strengthening the capacity of existing institutions, by following the lead of the national Uganda Forestry Policy (2001), the National Forest Plan (2002) and the National Forests and Tree-Planting Act (2004), and by working on sustainable financing mechanisms for conservation, the project will achieve sustainable impacts.

### **Secondary issues**

#### Linkage to other focal areas

22. The project will make a major contribution to addressing land degradation, both within forest reserves and in corridor areas between reserves, whose degradation is adding to the fragmentation of the Albertine Rift forest mass.
23. In addition, some of the areas where the project may develop incentives for conservation include actions to sequester carbon and minimize land degradation, and actions that will help conserve the important aquatic systems that run through the Albertine Rift.

#### Linkage to other programmes and action plans at the regional or subregional level

24. The project will link in with other East African GEF activities that are coordinated from Nairobi, and with past, ongoing and prospective work of the Implementing Agencies and other bodies as outlined in the comments above. As part of a regional Albertine Rift initiative, it has clear links with other regional and subregional conservation programs and action plans.

#### Other beneficial or damaging environmental effects

25. Beneficial impacts on biodiversity are clearly set out in the proposal. In addition, improved land management can be expected to contribute to improved watershed management and provision of improved environmental services to the region.
26. No negative impacts are foreseen as a result of eco-tourism, or the use of and harvesting of biological resources. Although incomes of local communities are targeted to double, this will be through newly planted forest resources and sustainable harvesting of non-timber forest products. Monitoring efforts will explicitly target the impacts of such harvesting on biodiversity resources.

#### Degree of involvement of stakeholders in the project

27. **Stakeholder involvement** is a central plank of the project, with major effort on improving participation, incentives and co-management operations that will benefit local people. In addition, both in the design so far and in the proposed implementation in future, stakeholder participation is a major focus with local and national institutions. The project is based on working through such institutions. Objectives are to promote community-based management of biodiversity and the co-management of resources through contracts or negotiations with governments that define each stakeholder's responsibility in managing the resource, and the devolution of management to local groups and NGOs. However, although the intent is clear in the proposal, the actual mechanisms for such partnerships and participation are not clearly spelled out.



Capacity building aspects

28. These are well covered in the proposal, as central objectives of the project to build capacity at all levels, from communities up to national institutions. **Capacity building** efforts will support local communities, build on their knowledge, and support practices relevant to conservation of biodiversity with their prior informed consent and participation.
29. Likewise in government institutions, the project aims to support local government, local NGO and NFA staff with training and other forms of operational support, to build capacity for sustaining the impacts of the project.

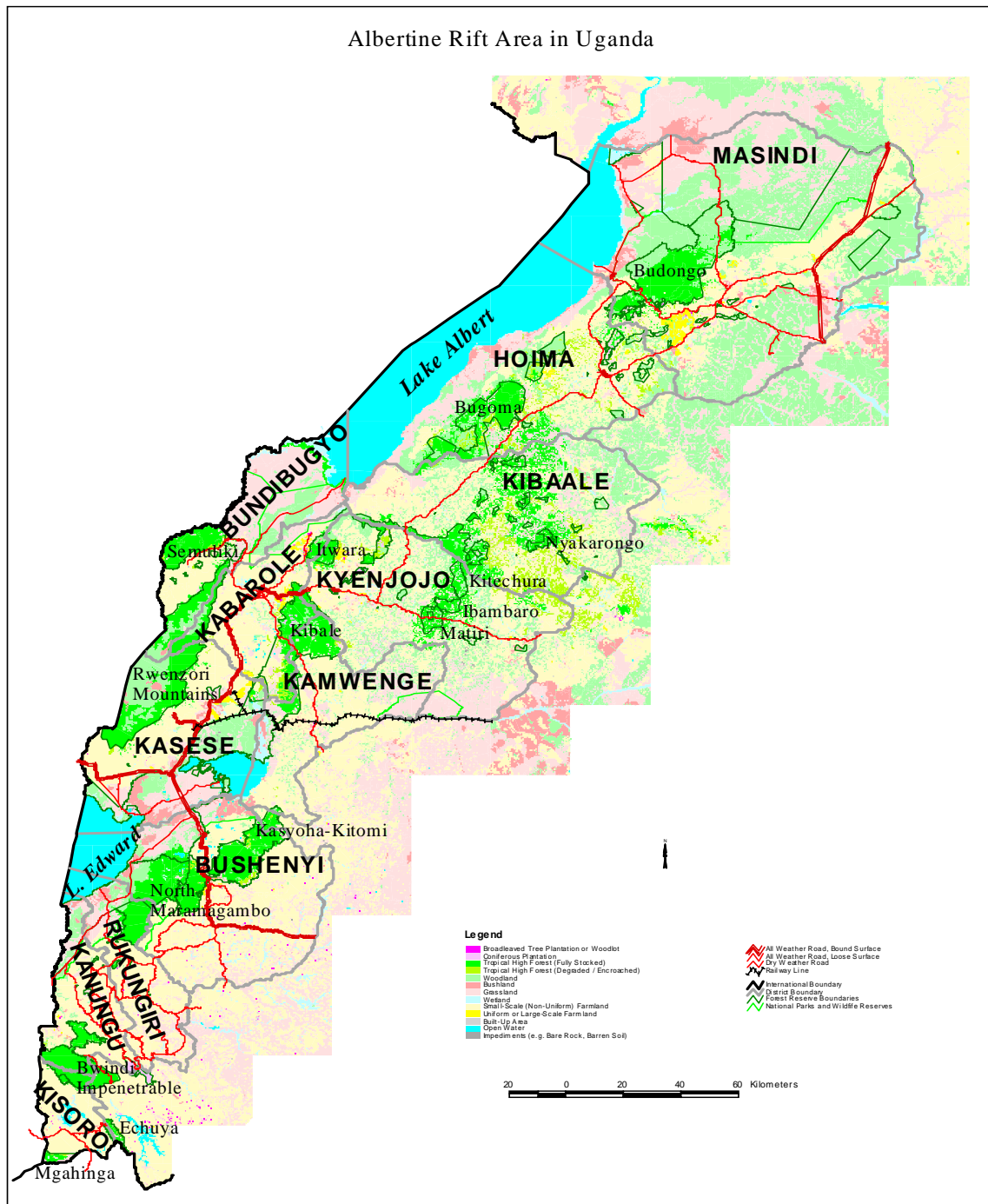
**ANNEX 4B PROJECT RESPONSE TO STAP REVIEW**

This is a thorough Review, welcomed by the Project Preparation Team and partners. We are in agreement with virtually all comments, and have explanations to cover areas where there was perhaps insufficient clarity or emphasis. Specific comments – relating to specific paragraphs follow, as a table matrix. In places we have modified the Proposal (Executive Summary, Brief and Annexes) and in places we will address the issue (around implementation) within the Project Document itself and in the Inception Report with the full implementation Team in Place.

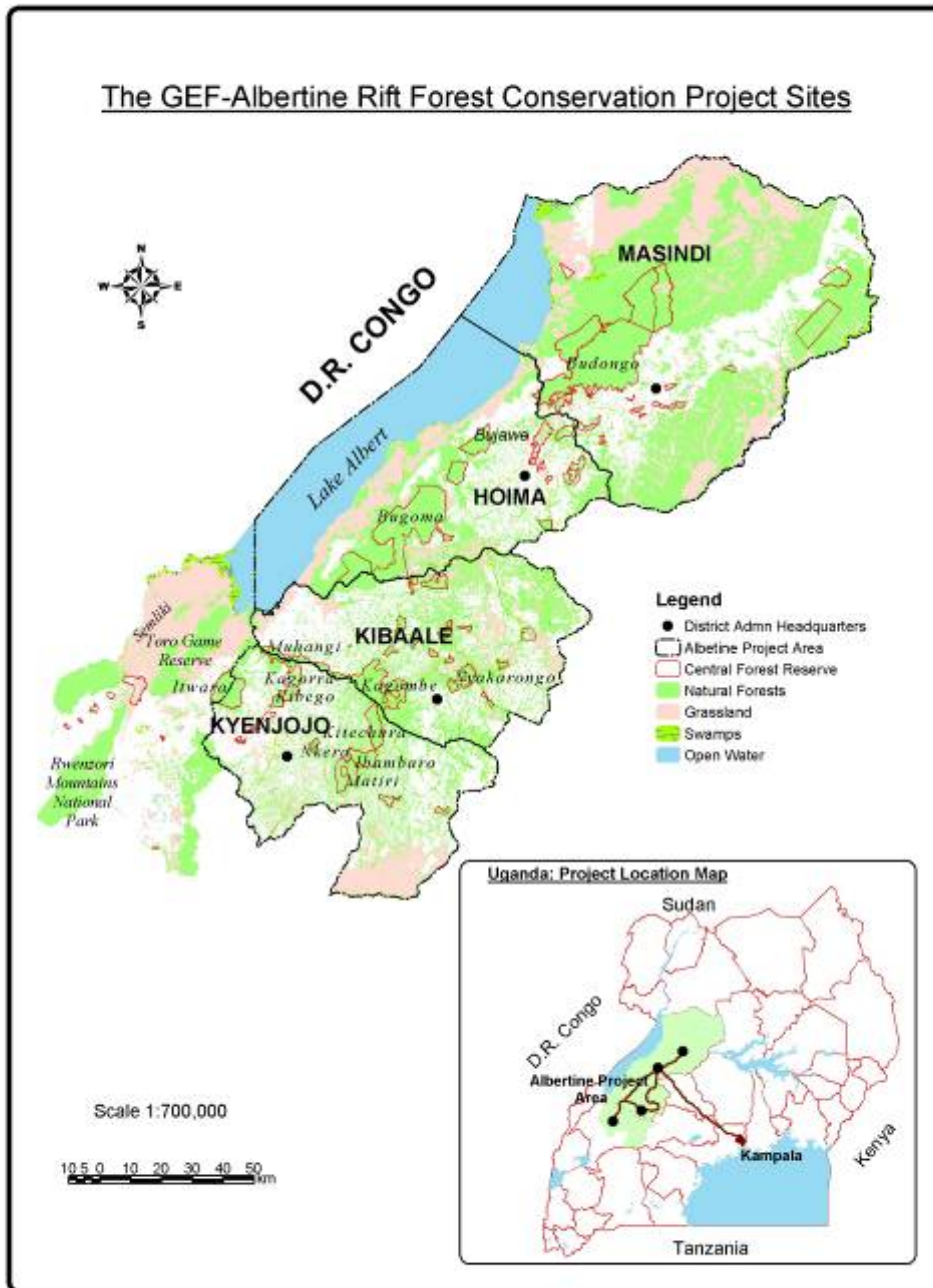
<b>Number</b>	<b>Issue</b>	<b>Response</b>
Para 2	Socio-economic data	The project invested time and effort in broad based socio-economic analysis of forest people inter-action in general terms in all four districts. We purposefully did not go into detailed socio-economic analysis at household level (the key entry level for use data) as this raises great expectation and confusion amongst those interviewed. Once the project is approved, as part of the inception phase, the project with district partners will conduct detailed analyses within selected households within stratified communities at LC1 and LC 3 levels.
Para 5	Social Indicators	The detailed log-frame analysis and M&E framework do contain exactly the indicators required by the STAP Evaluator. These were not in the Results Framework Matrix which was at Outcome level only.
Para 7	NFP - The National Forest Plan	The lack of emphasis on is an oversight, although it is in the list of acronyms. Indeed the team leader and counterpart for the NFP did participate in the development of this project and the NFP was presented in all the PDF B strategic workshops and linkages to. The Central Government co-funding of US\$ 418,099 is for the implementation of the NFP in the project sites. Para 13 of the Brief highlights the NFP.  Project proponents also took part in the development of the NFP.  The NFP (approved in October 2002, and published in 2003) was designed to operationalise the 2002 Uganda Forest Policy. The NFP sets out the institutional structures for Forestry at the Central Level (NFA) and District Level (District Forest Service) and champions partnerships. The NFP has 7 main programme areas and 12 Strategic Frameworks. We address in this project some 7 of the Strategic Frameworks – principally those concerned with Conservation of Forest Biodiversity (SF7), Collaborative Forest Management (SF5), Watershed Protection (SF8) and Forestry on both Government Land (SF1) and Private Land (SF2). A fuller analysis of these strong linkages will be made in the Project Document.
Para 8	Links to District Forest	The Brief makes considerable analysis of the capacity problems of the District Forest Services and the need for Support. The whole institutional structure of

	Service	forestry was under debate as this project was being developed and relationships between NFA and DFS were not clear. This will be strengthened in the Pro-Doc and addressed in the Inception Phase of the Project. It is the purpose of the project to work with and through the DFS.
Para 9	Communal Land Associations.	A good point and noted. This will be taken into consideration in the inception phase and the text clarified in the Pro-Doc. The project development did interact with the piloting CLA process in Masindi District.
Para 10	Budget Allocations	Whilst there is much co-finance in the M&E activity this is largely at biodiversity survey and assessment level. There is little that takes such information systematically and integrates it into an adaptive management response programme that interacts with a national Forest Monitoring System. That is the purpose of the project investment in M and E, with considerable testing and validation of systems. We also did the budgets based on the principal that the GEF funding shall be focused on supporting the incremental costs to boost the global value and therefore such activities which could be handled by the national government and institutions were budgeted low. Nature Reserves: Dr Harrison draws attention to the strength of the Forest Nature Conservation Master Plan (supported by past GEF projects) so much ground work is complete. Once the new Nature Reserves are drawn-up, approved and demarcated their management will be under the regular Forest Reserve Management Plan. Boundary demarcation costs are based on community involvement costs from the recent Cross Borders Project in Uganda. Further support comes from NFP Co-Finance inputs.
Para 11	Corrupt Practices	The point is taken, and this was an issue dealt with in past GEF forest project processes in Uganda (Cross-Borders). Working within the institutions at central and district level allows this to be tackled squarely. A detailed action plan on these issues will be in the Inception Report.
Para 12	The Corridor: Landscape Restoration	Much of the corridor is still intact – but clearing for cultivation is increasing. Incentives to maintain forested land on private land-holdings are the key here. Where restoration of deforested linkages is needed, then priority is for natural regeneration as such re-growth rates are high in areas with proximity to seed source and with rooted material. Much of the restoration will be through co-finance partners. Woodlots etc are likely to be only part of a land-use strategy. The Inception Phase will introduce a corridor regeneration / restoration strategy, which will focus on the maintenance of ecosystem health rather dwelling solely on increasing the forest cover within the corridor per se. DFS are the critical partner here with their linkages at districts to agriculture and planning departments.
Para 13	Connectivity	The issue of Human-Wildlife Conflict is both important and emotional. We are guided here by a recent WCS Publication on such conflict around Uganda Forested PAs. There is a trade-off between levels of connectivity and crop-damage from wildlife. These trade-offs become part of the negotiation tools in awareness-raising around the corridor itself. Nevertheless the natural connectivity systems made up streams, rivers and wetlands along which are forested patches constitute the major linkages between bigger forest reserves. By enforcing the implementation of the River Banks and Lake Shore Regulations coupled with education and fostering collaborative management a win-win situation can be realised. A conflict action-plan will be drawn-up in framework level in the Inception Process at Project Start-up.
Para 14	Implementation	We realise that the Implementation Section was perhaps over sketchy here. WWF like other NGOs have, as Dr Harrison says, comparative strengths in some areas and not in others. Where the term lead institution is used in the matrix, this is always in conjunction with other partners or the NFA itself. WWF skills here are in facilitating and networking, but they also have experience in on the ground project implementation. The NFA itself have sought WWF input to such a facilitation role. The project document will be much more detailed in the issues of implementation. Partnerships are a key principle as this STAP Review points out in paragraph 27.

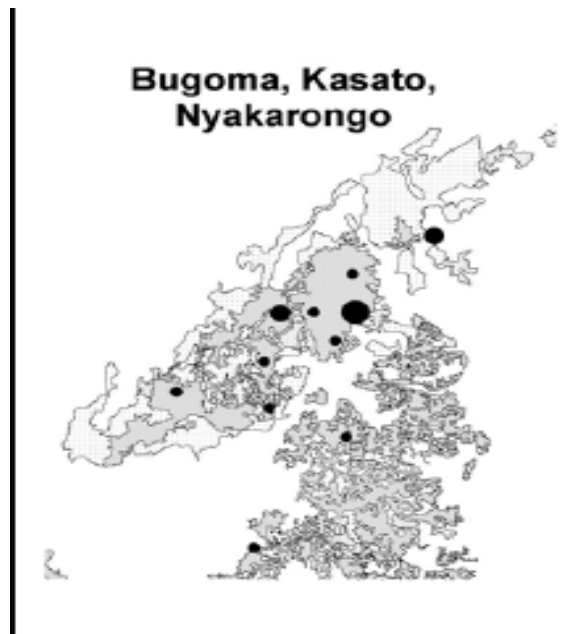
**Annex 5a Map showing the location of Albertine Rift in Uganda**



**Annex 5b Map showing the location of project geographical focal area.**

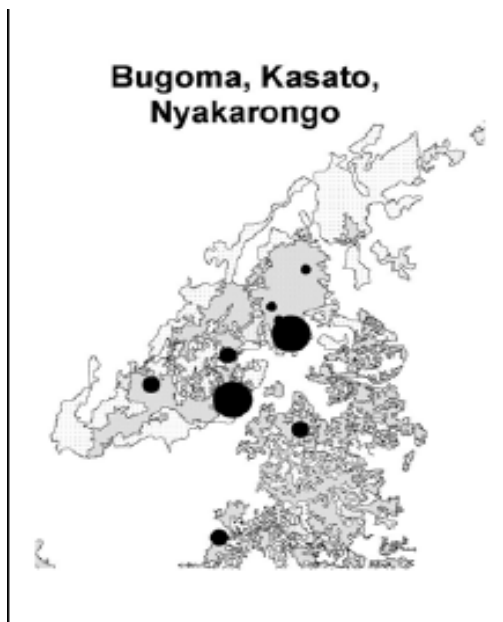


**Annex 5c Map showing Threats to a FR in Uganda : example of Logging in Bugoma FR**



Signs include pitsaw sites and pitsawing camps. Larger circles show greater encounter rates.

**Timber harvesting threat in Bugoma Forest Reserve**



Signs include snares, pitfall traps, hunters encountered, dogs and nets. Source: Plumptre (2002)

**Bush meat hunting threat in Bugoma Forest Reserve**

**ANNEX 6: PROJECT BRIEF: DETAILED ANALYSIS  
UNDP / GEF**

**UNDP Project ID:** PIMS 449

**Country:** Uganda

**Project Title:** Conservation of Biodiversity in the Albertine Rift Forests of Uganda

**GEF Agency:** UNDP

**Executing Agency:** Ministry of Finance, Planning and Economic Development (MFPED)

**Duration:** Five years

**GEF Focal Area:** Biodiversity Conservation

**GEF Operational Program:** OP 3: – Forest Ecosystems

**GEF Strategic Priority:** BP 1: - Protected Area Systems

**Estimated Starting Date:** September 2004

**Primary Target Beneficiaries:** Local Communities

**Secondary Target Beneficiaries:** Government, conservation organizations and development oriented civil society.

**Sector/Sub-sector:** (20) Environment; (10) Environment policies.

**ACC Sector/Sub-sector:** (3) Natural resources; (12) Sector policy.

**Primary areas of focus:** (3) Promoting environmental and natural resources sustainability;

**Primary Type of Intervention:**(2) Direct support; (9) Advocacy and strategy-oriented inputs

**GEF PROJECT/COMPONENT**

**Financing Plan (in US\$):**

Project	3,395,000
PDF A	24,720
PDF-B	335,000
<i>Sub-total GEF:</i>	<u>3,754,720</u>

**Co financing**

EU	2,500,000
IGCP	500,000
MacArthur	730,000
IFAD:	2,747,090
WCS	350,000
GOU/NFP	418,099
WWF/DANIDA	408,000
FAO/DFID	300,000
<i>Sub-total Co financing</i>	<i>US\$7,953,189</i>

**TOTAL Project financing: 11,348,189**

**Project Summary** The Albertine Rift Eco-Region is the most important forest system in Africa for biodiversity, extending across the Great Lakes Region of East and Central Africa (DRC, Uganda, Tanzania, Rwanda, Burundi). Regional level conservation planning (2001-2003) developed a Strategic Planning Framework for the Albertine Rift Forests, recognizing six planning units at landscape level. The forests have been under increasing threat from rural communities with high degrees of poverty and forest resource dependence and from growing commercial demands. These forest pressures coupled with weak conservation agencies at decentralised levels and as yet untried collaborative management strategies with local people have led to considerable loss of forest cover, especially on private and public land. This GEF Proposal is to provide additional resources to the Government of Uganda and partners for innovative conservation activities in Planning Unit One – the Northern Albertine Forests of Uganda. Inputs are at the Protected Area System level (framework strategies, financing plans, M & E process, implementing biodiversity master plans for Nature Reserves); as well as strengthening Central Forest Reserves and maintaining linkages between these protected areas through incentives for forest conservation on private land. The project will develop the national Conservation Strategy for Albertine Rift Forests under the Regional Framework, as well as a coherent M and E strategy for closed forests in Uganda. Project activities include support to collaborative management, capacity in the newly formed National Forest Authority and incentives for alternative resource use strategies and conservation on private lands. The project addresses the issues of Strategic Priority BD1 of the GEF.

**Signatures:**

On Behalf of:	Signature	Date	Name / Title
UNDP			
Govt of Uganda			

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## **ABBREVIATIONS AND ACRONYMS**

ALD	- Aid Liaison Department in the Ministry of Finance
ARCOS	- Albertine Rift Conservation Society – a regional NGO registered in UK.
AR	- Albertine Rift Eco-Region
AWF	- African Wildlife Foundation
BFP	- Budongo Forestry Project
CAO	- Chief Administrative Officer
CARE	- CARE International (an NGO)
CBD	- Convention on Biological Diversity
CBNRM	- Community Based Natural Resource Management
CBO	- Community Based Organisation
CCF	- Country Corporation Framework
CEO	- Chief Executive Officer
CEPF	- Critical Ecosystem Partnership Fund
CFM	- Collaborative Forest Management
CFR	- Central Forest Reserves
CI	- Conservation International
CLA	- Communal Land Associations
CITES	- Convention on International Trade in Endangered Species
COP	- Convention of Parties
DANIDA	- Danish International Development Agency
DFID	- Department for International Development (UK)
DFO	- District Forest Officer
DRC	- Democratic Republic of Congo
EMCBP	- Environment Management Capacity Building Project (World Bank in NEMA)
EN	- Endangered
EPED	- Environment Protection and Economic Development
EU	- European Union
FD	- Forest Department
FFI	- Fauna and Flora International
FMA	- Forest Management Areas
FR	- Forest Reserve (CFR = Central Forest Reserve)
GEF	- Global Environment Facility
GIS	- Global Information System
GOU	- Government of Uganda
GTZ	- German Fund for International Development
ICD	- Integrated Conservation and Development

IFAD	- International Fund for Agricultural Development
IGCP	- International Gorilla Conservation Programme (AWF, FFI and WWF)
ITFC	- Institute for Tropical Forest Conservation
IUCN	- International Union for the Conservation of Nature
JGI	- The Jane Goodall Institute
KSCDP	- Kibaale Semliki Conservation Development Project
LC 1	- Village / Community Environment Committee Level
LC 3	- Sub County Council Environment Committee Level
LC 5	- District Council Environment Committee Level
LG	- Local Government
LVEMP	- Lake Victoria Environment Management Project
M&E	- Monitoring and Evaluation
MAAIF	- Ministry of Agriculture and Inland Fisheries
MPED	- Ministry of Finance Planning and Economic Development.
MoV	- Means of Verification
MISR	- Makerere Institute of Social Research
MUBFS	- Makerere University Biological Field Station
MUIENR	- Makerere University Institute for the Environment and Natural Resource
MWLE	- Ministry of Water, Lands & Environment
NAR	- Northern Albertine Rift
NBSAP	- National Biodiversity Strategy and Action Plan
NEAP	- National Environment Action Plan
NEMA	- National Environment Management Authority
NFA	- National Forestry Authority
NFP	- National Forest Plan
NGO	- Non Governmental Organisation
NORAD	- Norwegian Agency for International Development
NP	- National Park
NPSC	- National Project Steering Committee
NTFP	- Non Timber Forest Product
OP	- Operational Programme (of GEF)
PA	- Project Area
PAMSU	- Protected Areas Management Support Unit
PDF	- Program Development Fund
PEAP	- Poverty Eradication Action Plan
PFE	- Permanent Forest Estate
PMU	- Project Management Unit
PRIME	- Productive Resource Investment for Managing the Environment
RDC	- Resident District Commissioner
SP	- Strategic Priority (of GEF)
UFA	- Uganda Forest Authority
UNDP	- United Nations Development Programme
UNFC	- United Nations Framework Convention on Climate Change
UNHCR	- United Nations High Commission for Refugees
USAID	- United States Agency for International Development
UWA	- Uganda Wildlife Authority
WB	- World Bank
WCS	- Wildlife Conservation Society
WWF	- World Wide Fund for Nature



## **PROJECT BACKGROUND AND CONTEXT:**

*The Executive Summary for this Brief described the environmental context in some detail. This annexure provides further explanation and background about the project, concentrating on the social and institutional issues, without major repetition of matters issues described in the Executive Summary. The environmental – forest conservation problems are highlighted first. The annexure emphasises the threats and root causes to biodiversity issues in the protected area system. The Executive Summary addresses the broader set of barriers facing system level conservation. The annexure goes on to describe the baseline in institutional and thematic terms identifying gaps necessary for successful conservation of biodiversity in the Protected Area system. Annex A above, on the Incremental Cost Analysis provides costs for the baseline.*

*This Annexure describes the Alternative in more detail, providing the rationale for the log-frame interventions. The Annexure closes with a description of the stakeholder issues, PDF phases, lessons learned and project linkages around the preparation of this brief.*

1. Biodiversity Context: The Albertine Rift (AR) eco-region ranks first out of the 119 distinct terrestrial eco-regions of continental Africa in terms of endemic species of birds, mammals, reptiles and amphibians and second in terms of globally threatened species. The importance of the Albertine Rift Forests led to the global conservation community starting an ongoing eco-region conservation planning process across the whole of the eco-region in Uganda, Rwanda, Burundi, DRC and Tanzania (ARCOS 2001). Activities in this project proposal focus on the Northern Unit of the Ugandan AR, as well as developing a national strategic plan for the entire Albertine Rift in Uganda, and integrating that national plan into the developing regional strategic framework (ARCOS 2003).

The northern section of the AR extends from Budongo Forest Reserve (FR) to forests in Toro Game, in Masindi, Hoima, Kibbale and Kyenjojo Districts. The conservation of the Albertine Rift Forests is based around a system of Protected Areas. There are three categories of Protected Area: those forests in National Parks, the forests in Central Forest Reserves and forests on private and public lands. Of the six Forest National Parks, managed by the Uganda Wildlife Authority, none are in the northern Albertine Rift. Central Forest Reserves (CFRs) are protected and managed by the Uganda Forest Authority, and 12 CFRs are in the northern AR, with a total area of 165,100 ha (over 50% of the AR total). Over 100 discrete forest patches totalling 89,000 ha are found on private land and a few patches on public land. In this proposal these ungazetted forests are named “private forests”. Annex 6 maps the major forest blocks in the AR of Uganda.

The extensive ungazetted private forests area have important conservation values not just on their species content but on the fact that they provide linkages or corridors between other larger forests, allowing connectivity important for species dispersal and gene flow between larger forests. The Albertine Rift forests are important for providing important ecosystem services by regulating global and local climatic conditions and acting as a carbon sink. Catchment protection includes international water bodies such as River Semuliki, Lake Edward and Lake George (a Ramsar site). The unit lies along the border with DRC and links with Ruwenzori NP, shared between Uganda and DRC, and Semuliki NP, contiguous to Virunga NP in DRC.

### 2 Forest Conservation Context: Strengths and Weaknesses of the Forest Protected Area System.

In theory the individual forest protected areas provide a coherent protected area system, most large patches are protected as forest reserves. However there has been no coordinated management system in the past. The local District Forest Officer managed each individual forest, and earlier management plan processes had fallen into dis-use. Past management plans focused on internal

issues, with little regard to external pressures and processes, with no community or district stakeholder buy-in. There was no consideration of connectivity or corridors to increase long-term viability. Whilst conservation alliances have developed broad framework Conservation Strategies – approved by stakeholders, including Ugandan foresters – these strategies have not yet been internalised into forest conservation processes. This last three years has seen the transformation of the past Uganda Forest Department from a normal civil service institution into the new National Forest Authority – an autonomous forest management body, answerable through a Board of Directors to the Ministry. This change was empowered by a new Forest Policy and new Forest Act, which provide for management plans, new financing methods, collaborative forest management etc<sup>9</sup>. Links to districts are still unclear, but the new forest policy offers scope for developing innovative forest conservation.

Studies carried out during PDF-B process analysed satellite images of the Albertine Rift area in western Uganda from the mid 1980s to 2001. These analyses show that over 11,000 ha of forest outside the formal PA network have been cleared since mid 1980s around Bugoma FR alone and a further 43,500 ha around six major forest blocks in the area. Unless this rate of loss on private land forest is checked there will be growing pressures on the PA forests

**3. Uganda's Response to these Conservation Challenges. At the national level, the National Environment Management Authority (NEMA) is mandated to coordinate, monitor and supervise all activities in the field of environment including biodiversity. Uganda Wildlife Authority manages forests in National Parks. The National Forest Authority housed within the MWLE now controls Forest Reserves centrally. The decentralized district forestry levels are still poorly funded and lack sufficient capacity and resources to manage the newly designated district forests. The mandate of the DFO is to head and manage the District technical forestry department, oversee the management of Local Forestry Reserve estates, and work with farmer groups and other interest groups to manage corridor forests and plantation and agro-forestry inputs. There is uncertainty of mandates and responsibility at de-centralised levels.**

Past policies of controlling forestry resources from the centre with little involvement of the district and local communities have been identified as a contributing factor to the degradation of forest ecosystems and loss of biodiversity. There is still a debate on the management of forestry resources with the Forestry Sector (UFA) believing in managing forestry resources from the centre whilst the Ministry of Local Government wants the Districts to manage forests locally. This impasse is partially being resolved by a division of forests into *Central Forest Reserves* (managed by UFA) and *Local Forest Reserves* managed by districts.

The institutional reform process was provided for in new policy and legislation. Biodiversity conservation is to be carried out in concordance with the Forest Nature Reserve Conservation Master Plan, which details the need for and role of Forest Nature Reserves within larger multi-use Forest Reserves. New policies stress the need for community partnership through Collaborative Forest Management processes, based on real incentives to ensure win-win situations. Partnerships between forestry and the private sector are called for, but in both cases there are few working models of partnership. Innovative approaches are needed.

**4. Socio-economic Context:** Forests are crucial to millions of Ugandans, especially the poorest sections of society. Some 35% of the Ugandan population who live below the poverty line are marginalized rural communities, unable to buy or grow fuel wood, without land or productive assets and heavily dependent on access to forest resources for their survival. This dependence and the

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<sup>9</sup> Past GEF Forest Projects helped develop such policies and models (eg Cross Borders, PAMSU).

livelihood opportunities provided by forests were not adequately recognized in Ugandan planning fora until recently<sup>10</sup>. Forest and trees provide numerous direct benefits to poor people in form of energy, food, employment, incomes, quality of life and reduced vulnerability to shocks and stress. Forests also provide critical agricultural support and environmental services that are often poorly understood and undervalued<sup>11</sup>. A regular supply of clean water and soil fertilization are major services provided by forests that are especially important to the poor, as they cannot afford alternatives such as piped water and fertilizers.

Field visits and baseline studies during the PDF B process showed that over 50% of the forest adjacent population depends directly on the Albertine Rift forests for products such as fuel-wood, timber, building poles, thatching materials, bush-meat, medicinal plants, vegetables, water, fruits and honey. Local populations still largely rely on wood as source of energy and timber is also collected from some Forest Reserves for industrial and domestic purposes. Although cattle raising exists in the area, bush-meat provides an additional source of animal proteins to surrounding villages. The forests provide water for agriculture and households.

There are four types of land tenure systems in Uganda: freehold, Mailo, customary and leasehold systems. Freehold tenure system offers maximum security of tenure, and the interest in land is perpetual, there may be no interference or mediation by local or state agencies. In the Mailo tenure system, the potential security of tenure could encourage conservation, depending on the level of awareness and interest the owner may have in conservation, but destruction may also come in guise of development since owners have the absolute power over land. The problem of squatters on such land presents new challenges for management since their supervision is difficult. The customary tenure system encourages land fragmentation due to inheritance processes, whilst leasehold tenure leads to unsustainable land exploitation, as tenants seek to maximize the benefit of the lease. This exploitation includes forest conversion.

**5 Institutional Context:** At the national level, the National Environment Management Authority (NEMA) is the overall institution mandated to coordinate, monitor and supervise all activities in the field of environment including biodiversity. It is the National Focal Point for the Convention on Biological Diversity and has coordinated the preparation of the National Biodiversity Strategy and Action Plan (NBSAP). It has a National Biodiversity Technical Committee to strengthen its coordination and technical backstopping. NEMA links to the Ministry of Water, Lands and Environment (including forests), which over-sees policy implementation on matters of environment and natural resources.

Forests in National Parks are managed by Uganda Wildlife Authority but Forest Reserves were controlled centrally by the Forest Department (FD), that was housed within the MWLE. Since early 2004 the Forest Department functions have been absorbed into the recently created Uganda Forest Authority (UFA). The UFA is responsible for coordination of all national forest programmes in the country. At the field level the Forest Area Managers<sup>12</sup> (FAM) report directly to the Executive Director of UFA and are assisted by a group of subordinate staff. These are Forest Reserve Managers who are stationed in the major forest blocks in the project area. These major forest blocks in the NAR include Budongo, Bugoma, Itwara and Kitichura-Matiri group of forests. The decentralized district forestry levels are still poorly funded and lack sufficient capacity and resources to manage the newly designated district forests. The institutional structure maintains the

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<sup>10</sup> The revised PEAP (Poverty Elimination Action Plan) 2003 does now include a greater recognition of forest and natural resource support to poverty alleviation and livelihoods in the rural areas.

<sup>11</sup> See policy briefing notes on forest and biodiversity valuation in Uganda, prepared by the UNDP-GEF Cross Borders Biodiversity Project (2001-2003)

<sup>12</sup> FAMs cover an area larger than a District, and they control a group of similar close-by Forest Reserves.

District Forest Offices who are now recruited by the District Service Commission and supervised by the District Forest Services. The mandate of the DFO is to head and manage the District technical forestry department, oversee the management of Local Forestry Reserve estates, and work with farmer groups and other interest groups to manage corridor forests and plantation and agro-forestry inputs. There is still some uncertainty of mandates and responsibility at these decentralised levels.

6. The past policies of controlling major forestry resources from the centre with relatively little involvement of the district and local communities have frequently been identified as a major constraint and a contributing factor to the degradation of forest ecosystems and loss of biodiversity. There is still a debate on the management of forestry resources with the Forestry Sector (UFA) believing in managing forestry resources from the centre whilst the Ministry of Local Government wants the Districts to manage forests locally. This impasse is partially being resolved by a division of forests into *Central Forest Reserves* (managed by UFA) and *Local Forest Reserves* managed by districts.

7. The District is the basic unit of local government and has been given considerable autonomy through recent legislation. The District Council is referred to as Local Council LC5, with lower levels of local government being LC4 down to LC1 at village level. The National Environment Statute (1995) provides for a District Environment Committee with specific attributions and functions and a District Environment Officer, who is in charge of environmental matters in the district. These district environment committees oversee local forest issues, but the committees are essentially new with inadequately defined roles. A Local Environment Committee exists at the Sub-county level (LC 3) and resource user groups at the Community/Village level (LC1).

8. There are increasing numbers of national environmental NGOs working in the northern corridor of the AR. These NGOs have a wide range of intervention ranging from capacity building of local communities and local authorities to implementation of conservation activity. Notable NGOs are BUCUDO engaged in advocacy on forest resources conservation around Budongo Forest Reserve and Nature Uganda that supports implementation of conservation activities in the three Important Birds Areas in the project area. Uganda Wildlife Society, Wildlife Clubs of Uganda, Accord, Environment Alert, Joint Energy, Solar Connect Association, all have elements of sustainable resource utilization that conform to the overall objectives of the project.

9. The Wildlife Conservation Society (WCS) has a long tradition of support to biodiversity research and documentation in parts of the AR, and especially Budongo FR. Of the many international “conservation and development” NGOs working in Uganda, none are directly involved in the northern corridor. WWF is about to continue support to Rwenzori NP, IUCN are completing a long-term support project in Kibale – Semliki NPs. CARE has a long history of ICD involvement in southern AR, around Bwindi. This document incorporates considerable lessons learned, knowledge from past implementation experience from Government, projects and NGOs including WWF, IUCN, WCS and CARE (see Annex 12).

10. Several international NGOs are involved in socio-economic activities and rural infrastructure development. Action Aid is working in the four districts in the project area, where key activities are health and water sanitation through construction of health units in selected sub counties and the construction of schools buildings and rural roads. They also support limited environmental awareness programmes in schools including establishment of institutional woodlots in schools and churches. The Hoima Village Based Development Programme (VIBADEP) is a local non-governmental organization working in Hoima Catholic Diocese in the department of social services and economic development of the diocese. Its mandate is to promote socio-economic development in the area by targeting to improve the welfare of the rural communities. This goal is being

addressed through strategies aimed at improving income and health, gender sensitization and leadership and community mobilization strategy.

11. The private sector has an increasing investment in the utilization of natural resources in the Albertine Rift, e.g. saw-milling, charcoal production etc. where returns are quick but are little regulated or monitored by the Forest Sector. By strengthening management in Central Forest Reserves and building capacities of local governments to manage Local Forest Reserves the project will contribute to reducing these unsustainable forest resource-harvesting practices. There is still an inadequate emphasis on replanting or industrial plantations, although fuel woodlots are becoming more common in the sugar plantations in Masindi and the tea plantations in Hoima and Kyenjojo districts. The EU Forest Project (co-finance to this proposal) is developing guidelines for strategic investor input to industrial plantations. The tobacco industry is also making significant contribution in fuel wood plantation at family and smallholders level. Other interventions in support of the private sector to engage in sustainable use of natural resources include the GEF World Bank initiative in support of wild coffee.

12. Policy and Legislative Context: The Forest Act (of 2002, replacing the old Act of 1964) is the main law that regulates and controls forest management in Uganda including its biodiversity. It seeks to ensure forest conservation through the creation of forest reserves where human activity is strictly controlled. The Act also controls commercial harvesting of forest products. The Act proposes the decentralization of management of some forests to the district level. Simplistically, the new Forestry Act decentralizes forest reserves under 1,000 ha to be managed by local governments but larger reserves are still to be centrally managed. District officials are therefore limited in their abilities to intervene in management issues of these larger reserves despite the fact that the Local Government Act (1997) provides for increased public participation in natural resource management by involving the district council, lower administrative units and the local communities.

13. The Act provides for public participation in forest management, through Collaborative Forest Management systems thereby promoting the appreciation and tapping of indigenous knowledge for sustainable forest resource utilization. There is limited experience of CFM in Uganda. The UNDP-GEF Cross-Borders Biodiversity Project activities at Sango-Bay in Rakai District, is perhaps the most widely documented experience, providing valuable lessons learned. Parallel to the CFM process is the initiative pioneered in Masindi District in supporting Communal Land Associations to take responsibility for forest resources on community and private land. The CLA offers models for testing elsewhere in the northern corridor. The Forestry Policy (2001) prioritises the development of an integrated forest sector that will achieve sustainable increases in economic, social and environmental benefits from forests and trees by all the people of Uganda, especially the poor and vulnerable. The National Forest Plan or NFP (2002) is the framework that turns this policy into action aimed at poverty eradication and sustainable forest resource management targeting local, district, national and international interests in biodiversity, among others. The NFP (approved in October 2002, and published in 2003) was designed to operationalise the 2002 Uganda Forest Policy. The NFP sets out the institutional structures for Forestry at the Central Level (NFA) and District Level (District Forest Service) and champions partnerships. The NFP has seven main programme areas and 12 Strategic Frameworks. We address in this project seven of the Strategic Frameworks – principally those concerned with Conservation of Forest Biodiversity (SF7), Collaborative Forest Management (SF5), Watershed Protection (SF8) and Forestry on both Government Land (SF1) and Private Land (SF2). The NFP provides considerable co-finance to forest reserve management.

The Forestry Nature Conservation Master Plan (1999) provides a general description of the forest estate and its management, an overview of biodiversity conservation activities in Uganda (with a specific reference to the role of forests). This Plan implements the 1992 Cabinet Decision to divide the forest estate into Nature Reserves (20%), Community Buffer Zone Use (30%) and Sustainable Forest Logging (50%). Each of the forests selected for Nature Reserve establishment is profiled, which includes several in the northern Albertine Rift Area – Budongo, Bugoma, Itwara. However these plans are yet to be fully implemented.

14. Some specific national policies; eg agriculture, through the PMA (Plan to Modernize Agriculture) make one land use more attractive than another through deliberate incentives such as price support and subsidies, land redistribution and subsidised service delivery. The Government of Uganda recently adopted agriculture policies that focus on increased agricultural production, resulting in clearance of forests. Furthermore a lack of a comprehensive system of forest resource accounting has led to a consistent under-valuation of forest products, particularly non-commercial timber and other products providing benefits to communities. This has resulted in a formulation of policies that, in relative terms, have overvalued activities that lead to the removal of forest resources rather their establishment<sup>13</sup>.

15. There are a number of laws that regulate environment and natural resource management in Uganda which have a bearing on forest conservation in the Albertine Rift Area. The National Environment Statute (1995) provides for wider issues relating to sustainable use and management of forest resources outside protected areas. The Statute is being implemented in tandem with various regulations such as the Regulations on the Management of Hilly and Mountainous Areas (2000) and Regulations on Wetlands, River Banks and Lake Shores (2000).

16. The Wildlife Statute (1996) provides a framework for protection of wildlife. The Water Statute (1995) provides for the use, protection and management of water resources; and the Prohibition of Burning of Grass Decree no. 5 (1974), makes unauthorized burning of grass illegal. Byelaws are yet to be developed to make some of these statutes work at local level, but capacity to pass byelaws (in a participatory manner) is increasing in Uganda at central and district level. This project will work with such developing capacity.

17. The National Biodiversity Strategy and Action Plan (NBSAP) was endorsed by Cabinet and awaits implementation. The NBSAP identifies priority strategies for the conservation and sustainable use of Uganda's biodiversity, including the management of biodiversity in privately owned forests and local forest reserves, promotion of improved forest management techniques, improvement of institutional collaboration in the management of forest biodiversity and promotion of research and information management on forest resources.

## **THE BASELINE SITUATION**

18. This section addresses the whole of the Albertine Rift of Uganda, as this project proposes to complete a strategic action plan for the Albert Rift in all Uganda, and then gives specific details of the Northern Planning Unit where most interventions take place.

19. The PDF-B commissioned five studies to provide the background information:

- Institutions, policies and legislation affecting forest resource management in the AR.
- Socio-economic studies and analysis of human impacts in the AR forests.

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<sup>13</sup> A developing project funded by USAID – “PRIME West” is to investigate the incentive processes that determine land-use change. Whilst PRIME will operate in southern Uganda, valuable lessons will accrue to this GEF project.

- Extent and status of the forests in the Albertine Rift.
- Natural resource initiatives in the Albertine Rift area and lessons learnt from the previous initiatives and interventions.
- Socio-economic Analysis of Forests on Private Land in the Albertine Rift Area.

Threats to Biodiversity:

20. Regional Conservation Stakeholders across the Albertine Rift Eco-region elaborated the overarching threat analysis that led to the Regional Albertine Rift Strategic Framework (2003)<sup>14</sup>. Studies done during the PDF-B assessed the current status and extent of forests in the northern sector in more detail. These reports evaluated the importance of the larger forest reserves (those greater than 50 km<sup>2</sup>) for conservation and the major threats faced by forests.

21. A Satellite Image Analysis done by the University of Maryland with local partners (Plumptre 2002) funded by PDF-B shows the extent of forest cover in western Uganda – including the northern AR, based on satellite images from 1999-2001. The satellite analysis compares forest loss since the mid 1980s in four areas of the rift and shows that most loss occurred outside the forest reserves. The detailed data sets provide a strong baseline for future impact monitoring.

22. A Biodiversity Assessment report (Plumptre et al 2003a) shows that out of the five forests that consistently rank high for biodiversity conservation, two are located in the project area and they are: Budongo and Bugoma Forest Reserves. Threats were in five main categories:

1. Forest conversion caused by encroachment for agricultural land
2. Hunting for bushmeat
3. Charcoal burning
4. Timber harvesting (where it is illegal)
5. Mining

23. These threats were mapped and quantified for the larger forests in western Uganda (see Map 6c for examples in Annex 6) and the relative intensities of the threats are shown both between the different forests and within the forest boundaries. This data provide baseline information for M & E.

24. Detailed socio-economic studies in the PDF-B (EAGO 2002) show that in the northern AR area of Uganda the density of people is not as high as in the south-west (around Bwindi for example where there are hard boundaries between cultivation and gazetted forests, with little secondary forest/woodland in between the forests). However, in Kibaale, Hoima and Masindi districts there are still areas with woodland and forest cover (often along rivers and streams) outside gazetted forest. This provides a degree of connectivity that is of importance for species dispersal and gene flow. The extensive ungazetted private forests in the area have very important conservation values not based on their species content but on the fact that they provide linkages between other larger forests. The forests are also important water catchments to regulate the flow of water in the streams and wetlands, many of which are recognized as Important Bird Areas by BirdLife International. The

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<sup>14</sup> This was funded by MacArthur Foundation over a three year period, and included initiatives and lessons from past and present GEF projects from five countries (See ARCOS 2003)

catchments constituted by the forest of the northern corridor is important for domestic water supplies to the population in both rural and urban areas and make up a big contribution of the rain fed agricultural production activities.

25. One species for which dispersal and gene flow is important is the chimpanzee, a species classified as endangered under IUCN criteria as they occur at low densities compared with other animals and have slow reproductive rates. Surveys carried out by WCS and JGI (Plumptre et al 2003b) estimated some 4,950 chimpanzees in all Uganda. Detailed surveys in eight forests show that most forests contain less than 500 animals. The results obtained from the surveys provide an estimate of the chimpanzee populations in each forest and also a measure of the variation in distribution of the chimpanzee within the larger forest. The results for chimpanzee census show that the forests of the northern corridor have some 35% of the national total.

26. Population biology suggests that for a population to be viable in the long term it should have at least 500 individuals (Soulé 1987). Hence if the populations in these forests are to remain viable they need the connectivity between the forests to allow gene flow. Other species that are known to occur at low densities, and so will benefit from corridor integrity, include the large carnivores (leopard, golden cat, serval), large ungulates (buffalos and large duikers – due to hunting pressures many are at low density – see below) and large birds of prey (although these probably migrate between discontinuous forests).

27. *Forest Conversion:* In all the districts visited during the PDF A and B phases, forest conversion was identified as a key problem. In Masindi and Hoima Districts, a number of riparian forests have been converted especially for sugar cane and tobacco growing. In Masindi, the emergence of sugar-cane out-growers and the expansion of agricultural land have greatly contributed to conversion of forest ecosystems. In Kibaale District, private and public land forests are under intense pressure from agricultural expansion.

28. The influx of “displaced persons” (internal refugees) in Masindi, Hoima, Kibaale and Kabarole Districts has exacerbated forest conversion. Agricultural practices are poor, characterised by shifting cultivation; and in some places population pressure has led to land fragmentation and land shortage forcing people to move on to find more fertile land elsewhere.

Indiscriminate clearance of forest results in forest fragmentation that causes loss of minimum viable conservation areas, increased edge effects and real risks of extinction of some species. Forest fragmentation and loss of connectivity between forest blocks has led to isolation of forest patches, some of which are no longer viable for biodiversity conservation. In some cases chimpanzee and elephant communities have been trapped in such isolated forest patches.

29. The once extensive wildlife migratory routes have been encroached by agricultural establishment and human settlements rendering wildlife more vulnerable to over exploitation and elimination from their habitats. The growing pressure on wildlife habitats has led to escalating wildlife human conflicts including crop raiding and destruction of property resulting in increased poverty and lack of food security in the neighbourhood of forested areas. This has led to a growing hostility for wildlife and destruction of the remnant wildlife habitats in a bid to control wildlife movements.

30. *Hunting for Bush meat:* Bushmeat hunting occurs in all of the forests surveyed (Plumtre 2002). In many of the forests the predominant signs of hunting are the presence of snares, pitfall traps and campsites, although in some forests hunting with nets and dogs is more common. Setting of snares indiscriminately kills or maims other animals, including endangered species. For instance, many chimpanzees in Budongo and Kibale forests lack feet or hands because of snare injuries (between



25-35% of the population of habituated animals). It partly depends on the level of law enforcement by the Uganda Wildlife Authority or Forest Department. Hunting with dogs and nets occurred in the forests that were more remote, and less intensively visited by staff. These forests included Matiri, Kagombe and Kitechura. Bugoma and Budongo forests have the highest levels of bushmeat hunting, particularly along their southern edges where the human population density is higher. The Forest Department does not patrol the forests to try to stop bushmeat hunting unlike UWA, and although hunting of most species is illegal they do not have the manpower to be able to control it.

31. This GEF project proposal addresses methods by which bush-meat hunting can be reduced in the forest reserves. With the plan to reduce staff dramatically under the new Uganda Forest Authority, there will be fewer staff to patrol these forests. Collaborative Forest Management, and improved civil society linkage to wildlife agencies are potential methods.

*Charcoal Burning and Fuelwood Collection:*

32. Charcoal burning is a specific commercial use of wood in the forest reserves. In the past, charcoal burning was legal in certain forests but today it is illegal in tropical high forest (although at the time of the PBF B survey the Forest Department had initiated a small trial in Kalinzu FR to validate if it could be reintroduced there as a sustainable regulated forest use). The survey showed that charcoal burning was less widespread in the northern area, as compared to Kasyoha-Kitomi and Kalinzu Forest Reserves to the south. Differences are due to lack of nearby markets, and still considerable tree cover on private land. However it is anticipated that similar pressures would extend to the forest of the northern Albertine Rift if it is not addressed. Presently the charcoal market outlets are few because of the poor road network to the rural areas but the Government programmes for the rehabilitation of the rural feeder roads are underway and would improve accessibility to the rural areas, which would provide a good conduit for charcoal to the urban areas. Fuelwood collection is more a subsistence activity, and varies as to extent in the CFRs, depending on wood availability on private communal land.

*Timber harvesting (where it is illegal):*

33. Harvesting of trees for timber is legal in several forest reserves, notably Budongo and Bugoma in the north and Kalinzu and Kasyoha-Kitomi. Much of the harvesting is carried out using pitsawing rather than sawmills. However it is only legal in certain compartments (felling coupes) within these forests. Illegal logging is present in many of these reserves, particularly those with the most valuable timber species such as the mahoganies *Khaya* and *Entandrophragma* in Budongo, Bungoma and Kalinzu. Logging signs occur throughout many of these forests. Signs include pitsaw sites, felled trees, and pitsawing camps. Tackling such illegal logging is of primary concern if these forests are to be managed for timber production in future. At present there is a policy by the forest sector to increase the number of species harvested in the forests to make sustainable management more financially viable. However, enlarging the market by including more species may lead to increased negative impacts on the forests if illegal logging cannot be controlled. There is the potential to establish collaborative community management of the timber harvesting in these forests to provide incentives to the local people to manage the forest rather than illegally harvest the trees.

34. Although efforts have been made to work with the various wood user groups (notably the pitsawyers associations) to reach a common understanding on the methodology of collaboration including access and equitable sharing of timber resources, there are many issues that need to be put in place before any collaborative management is to be established. These include: identifying all stakeholders involved in timber logging, defining the categories and interest of local communities around forest reserves clearly (indigenous and immigrants populations); developing clear mechanisms for timber revenue sharing and other benefits among the communities, and determine how such benefits can be used by the communities and finally define and enforce the way timber harvesting shall be managed with local communities.

35. *Mining*. Systematic seismic prospecting for oil has been ongoing since the early 1990s. Recently two concessions have been assigned for exploratory drilling. One concession, which includes Semuliki Wildlife Reserve and Semuliki National Park, has been given to Heritage Oil and Gas Company, a Canada-based company. The second concession includes part of Bugoma forest and Budongo Forest and the grassland at the base of the escarpment to Lake Albert has been given to Hardman Resources. Recent results suggest that significant amounts of good quality oil exist. This could form a potential threat to the whole corridor plan if it is not developed carefully. It offers an opportunity to provide significant sums for conservation if taxation mechanisms are built into the contracts. Opportunities exist for the formation of a Conservation Trust Fund and further partnership and collaboration with the Private Sector in enforcing good environmental standards in the oil drilling industry. Lessons from western African countries could help establish this partnership.

36. *Human – animal conflict*. With the increasing cultivation of cash crops in the country land is being taken for cultivation where in the past it was relatively wild, particularly in Hoima, Kibaale and Masindi districts. There are increasing problems with human animal conflict in these areas. Certain species have been classified as vermin and can legally be killed on farmland whilst raiding crops (eg. baboons, vervet Monkeys, bushpigs). However, major problems occur when endangered species raid crops, such as chimpanzees and elephants. As a signatory to CITES and the convention on biodiversity Uganda has stated it will protect species of conservation concern. Chimpanzee crop-raiding is a problem around Budongo forest where they raid sugarcane (on the Kinyara plantation and in out-growers fields), around Bugoma forest where they raid cocoa crops, and around forests in Kibaale and Kyenjojo districts where they raid bananas in people's fields. Elephants are a concern around Bwindi and Kibale National Parks and around the northern part of Kasyoha-Kitomi where they enter the forest from Kyambura Game Reserve. Crop raiding increases the negative relations between local communities and the authorities responsible for forest management and probably leads to increased illegal activities.

37. *Fire*. The surveys during PDF-B (Plumptre 2002) showed that forest fires had occurred in several forests but none of these covered a very large area. Grassland fires around the forests particularly in Hoima, Masindi and Kibaale do have an impact in preventing forest expansion and may possibly lead to a steady erosion of the forest at their edges. The socio economic surveys during PDF B (EAGO 2002) stressed the impacts of fires and concluded that fires emanate from human settlements around forests reserves set both deliberately and accidentally. Fires are used in the slash and burn cultivation practices common in the Hoima, Kibaale Masindi and the Kyenjojo districts. They are also used to drive away vermin and problem animals and for bush meat hunting in the forests.

38. *Reduction in Forest Department staff*. With the recent creation of Uganda Forest Authority, the plan to reduce ex- Forest Department staff from about 1,200 to 400 people is a potential threat to the integrity of the forest estate. New "policy" suggests that reducing numbers but paying more reasonable wages will lead to improved performances. Thus staff will be more active and a fewer number of people will have the same impact. This may be true to some extent but it is also true that many forest reserves are seriously understaffed at present to be able to tackle the threats. For example in Budongo Forest Reserve, the Forest Officer has only seven rangers and a few temporary staff to work with. These few people are responsible for a myriad of activities including overseeing licensed pitsawyers in the forest, stock mapping and inventory, marking trees for harvesting, stamping timber that is leaving the forest, organizing slashing of the boundary, and also searching for illegal pitsawyers, who have caused personal injury to rangers in the past. At present, there are

no staff with the capacity to address the bushmeat hunting problems as a result. It is anticipated that Collaborative Forest Management Processes can alleviate staff shortages.

39. At the district level the forestry staff are being reorganized to form the District Forest Service and forestry technical staff at LC5 and LC3 levels. This is a challenge to the District Service Commission (recruitment body in the districts) who over time escaped the burden of overhead expenditures to support the forest sector before decentralization. Districts need institutional capacity building in order to establish a functional and competent forestry division at the local levels.

40. Un-sustainable harvesting of non timber forest resources leading to loss of biological diversity: PDF-B studies showed that many biodiversity resources (palms, medicinal plants, poles, lianas) in the Albertine Rift Forests are currently over-exploited. Demands for forest products for human survival, the need for socio-economic development, changes in patterns of demand, poor funding to the forestry sector, and poor enforcement of laws have contributed to over-exploitation of biodiversity in the Albertine Rift. Cases of illegal harvesting of non timber products were evident in most districts visited, with many people, including the local authorities and local people, involved thereby exerting considerable pressure on the biodiversity resources. In Masindi and Hoima, fish-smoking was reported to be consuming large amounts of wood. Particular species are sometimes targeted such as those with high calorific values. The brick making industry increases demand on fuel wood, while at the same time degrading the wetlands. Discussions in Bushenyi and Rukungiri Districts indicated that most of the major wetlands. ...what?

41. Several inventories of timber resources generating sizable information have been carried out in the past, allowing informed decisions on the timber harvesting in the forests in the Albertine Rift. Rarely however has this information been integrated into management plans and regulatory frameworks. However the non-timber resources have not attracted the same level of attention. As a result there are no substantive data to guide decisions on the management of non- timber products. This GEF intervention will undertake such inventories in the major forest reserves like Budongo and Bugoma firstly as a training and capacity building activity to develop a standard methodology for such inventories, secondly to ascertain levels of sustainable off-takes for monitoring purposes and incorporation in the collaborative management agreements, and thirdly to support M & E processes.

42. **Root Causes:** The wide range of threats described above arises from a variety of root causes, elaborated below, and summarised in Annex 9.

43. Insecure land tenure and resource access: The current land tenure systems do not cater for conservation of biodiversity, as short-term land-use gains predominate over resource management for long term sustainability. Local chiefs allocate public forested land to people for cultivation and subsequently many forest patches have been degraded. This situation is exacerbated by a lack of ownership of resources by the sitting tenants who may be local settlers or squatters from elsewhere.

44 Communities have been continually alienated from forest resources and still play no role in their management despite recent legislation allowing CFM. However best practice<sup>15</sup> suggests that CFM requires considerable investment in time, resources and leadership. Subsequently many people in the districts see forest policy and laws as alien instruments designed to deny them access to forest biodiversity resources.

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<sup>15</sup> Eg GEF –UNDP Cross Borders Project, CARE work around Bwindi NP, etc

45 *Economic Valuation, Incentives and Sustainable Financing:* Districts do not fully value the fact that they own valuable biodiversity resources in their areas of jurisdiction and are not aware that decentralization can allow a better sense of resource ownership. By-laws can be passed to empower local government and communities to better manage their resources.

46 Forest resources are critical for subsistence and income through harvesting for basic needs such as fuel wood, medicine, building poles and craft materials, sustaining livelihoods in all districts. Problems of food security, fuel, poverty and poor agricultural practices were identified as critical problems during the PDF B analysis. However the exclusion of local communities from management of forests has resulted in a situation of open access and unsustainable resource use. This is compounded by their lack of control on use of resources by outsiders. For example government gives timber concession licenses without prior consultation with local communities, especially for reserved trees on public land. When trees are felled, often crops are destroyed and the local people are not compensated.

47 The financing of forestry, and especially forest conservation, remains uncertain in Uganda. The forest sector has transformed from the past situation (dating to colonial times) where forestry was supported by annual financial allocations from government and all revenues went back to central Treasury. In real terms, the amount (in constant US \$ per ha of forest estate) of allocation has decreased significantly over the past three decades – leading to forest degradation. The new situation is that the recently created Uganda Forestry Authority is to become a self-financing organisation, with a business plan showing how such sustainability is to be achieved. The UFA has a grace period in which to achieve such sustainability. Whilst increased royalties on timber (AND improved collection capability) will support timber areas, the financing of conservation areas remains uncertain. There are lessons to be learned, notably from the operation of the Bwindi Trust Fund, even though it is unlikely that similar trust funds will be created for other separate forest blocks. The setting up of a trust-fund linked to the anticipated oil exploitation will however be investigated, using experience drawn from a similar situation with the Chad-Cameroon Pipeline. Other areas of investigation will include the possibility of fees for ecological services – such as water – explored by the GEF –UNDP Cross Borders Project, use of private sector support – eg the oil sector see below). This proposed project will work with government and partners to provide rationale and inputs to the UFA financing plan. Note that this is not a situation unique to Uganda; the regional Albertine Rift Programme sees sustainable financing as a critical component of long term forest security.

48. *Insufficient alternatives for income and sustainable resource use:* Opportunities for sustainable use of forest resources such as woodlots, bee keeping and agro forestry, and sustained use of resources in forest through CFM, which would have a meaningful benefit to local livelihoods, have not been capitalized in the area. Agricultural improvement is expected through the national programme “PMA” Planned Modernisation of Agriculture, supported by WB. Increased emphasis in demand driven extension, an emphasis on cash-crops as well as improved food crops are key features. But this is still awaited to show on ground impact in these remote districts.

49. *Limited awareness:* Although local communities consulted during project preparation generally showed a good degree of understanding of the values of biodiversity, inadequate channels exist for developing this awareness into practical sustained use programmes. The local councils do not seem to be aware of their role in translating the awareness messages into actions that promote forest conservation and in many cases are abetting the destruction of biodiversity by giving out forests for land cultivation. The new cadre of recently elected local leaders need further exposure on community mobilization, CFM and conservation concepts if practical conservation work is to be mainstreamed at all grass root levels. Lack of awareness on admittedly unclear forest reserve

boundaries has resulted in encroachment in some reserves – and a lack of awareness is used as an excuse. In some cases encroachment is deliberate as patrols are lacking. The situation is even more complex in FRs where enclaves of private land exist (Matiri and Budongo). All FR boundaries that are not clear need to be re-surveyed and opened, and regularly maintained, with community support to ensure awareness.

50. Institutional Issues: The long process of evolution from the civil service Forest Department (which was unable to recruit to fill vacancies in the past four years) to the National Forest Authority (with threat of redundancies etc) has not helped morale or efficiency in the forest sector. Uncertainty over the role of central and district authorities in forest management have exacerbated this situation. The changing focus of power due to decentralisation from the centre to district and to sub-district has taken time to take effect, with still lack of clarity of role and responsibility in all sectors. Policy issues still remain unclear. The forceful Plan to Modernise Agriculture (PMA) for example which is thought to drive deforestation, and has a still ineffective extension process to combat this forest loss. An issue linked to institutions is the need to address the still existing problem of direct and indirect support to illegal patterns of timber extraction coming from within a variety of central and decentralised organisations. Awareness, strengthened civil society, greater political will to overcome such resource mining are critical issues to address.

51. Insufficient planning for biodiversity conservation at local levels: Rural areas of Districts visited during project preparation had no land use guidelines and, as a result, the local people settle and cultivate anywhere they find available land. With the exception of Masindi District, where the Environment Protection and Economic Development (EPED) Project funded an environmentally friendly District Development Plan, other districts have not properly integrated biodiversity management into their district development plans despite the fact that NEMA has either carried out or facilitated all districts to carry out district Environmental Profiles.

52. Population pressure (Migrant Settlements) and Poverty: The Albertine Rift forests, once continuous forest cover in western Uganda, have now been reduced to a relic of patches. Once there was harmony between human population, economic activities and biodiversity resources in the Rift; however as populations continue to grow, the demand for resources has also increased. The population figure for the southern corridor is 120 individuals per km<sup>2</sup>, while the average in the northern corridor is 86 individuals per km<sup>2</sup>. Studies carried out during the PDF-B indicate high immigration from the densely populated southern corridor to the northern-forested areas hence progressively exerting pressure. This influx of people to the northern corridor is encouraged by the existing tenure systems (Mailo) in most parts of Hoima, Kyenjojo, Masindi and Kibaale districts, which makes it easy to access land. Absentee landlords, whose land areas are left under no control and supervision, further compound this problem.

53 Baseline Specific Activities: The baseline course of events in a business-as usual scenario over the next five years is described below. Gaps are identified and the need for GEF intervention highlighted. The incremental cost analysis (Annex 1) detailed baseline costs.

54 Conservation Management at the Regional level: At the regional level, Uganda, Rwanda, Burundi, Tanzania and the Democratic Republic of Congo are countries with major Albertine Rift forests and through a consortium of international, national and local NGOs, have been brought together in a number of fora to develop the Albertine Rift Strategic Planning Framework. However this framework, whilst gaining broad approval, has yet to be translated into on ground actions. The forests of the Albertine Rift forested protected area system are not yet managed according to this new strategy. Many existing interventions are based on limited consultations and are executed in

accordance with individual donor and agency desires. The GEF project will address the strengthening and implementation of this framework strategy in Uganda through outcome A.

55. At Trans-Boundary level some interventions have been started by IGCP, WWF, WCS to strengthen cross border collaboration in the Virunga Forests. In particular the IGCP is a cross-border conservation initiative for the endangered mountain gorillas *Gorilla gorilla beringei* and their unique forest habitats in Bwindi Impenetrable Forest and Mgahinga National Parks in Uganda and in the Virunga and Volcanoes National Park in DRC and Rwanda. The programme promotes eco-tourism, ecological monitoring, community participation and benefit sharing around Bwindi and Mgahinga. The UNF-UNESCO Project on World Heritage Sites in Danger provides direct support to the five World Heritage Sites in DRC. This includes Virunga National Park in the Albertine Rift implemented by WWF on behalf of UNF / UNESCO.

56. Initiatives in the Albertine Rift in Uganda supported by other donors include the EU Forestry Programme focusing on Central Forest Reserves and Plantations; support to Bwindi and Mgahinga NP through a trust fund (World Bank - GEF); the International Gorilla Conservation Programme (AWF, FFI and WWF); and CARE and WCS; support to Ruwenzori NP (WWF); and Semuliki and Kibale NP (IUCN Netherlands). Much of this support focuses around the forest National Parks on the south-western corner of Uganda. The northern part of the Ugandan Rift receives relatively little support and the PDF-B process clearly showed these forests and resources of global value are threatened. GEF support will therefore focus its intervention in the northern sector of the Albertine Rift. In particular, the project will ensure that current conservation efforts in key Central Forest Reserves promote conservation of the northern forest patches on private land thereby creating a corridor between the major forest blocks.

57. The Institute for Tropical Forest Conservation (ITFC) in Uganda is a biological field station of the Mbarara University of Science and Technology. It is based in Bwindi Impenetrable National Park and provides research support to the work of the Uganda Wildlife Authority and Uganda Forest Authority in Bwindi, Mgahinga and Echuya Forest Reserve. ITFC is assessing ICDP approaches in western Uganda, providing crucial information for the design, implementation and monitoring of ICDP in the Albertine Rift.

58. The WCS Albertine Rift programme is to conserve some of the African's most biodiverse forest sites. The programme focuses on three main goals: the provision of science-based information to enable protected area managers to better manage conservation sites within the region. Current research includes biodiversity surveys of the Albertine Rift sites, monitoring mammal and bird population in major national parks and more detailed studies of threatened species. The second goal is to build the capacity of African nationals to be able to use scientific methods in their approach to protected area management, particularly focusing on the staff of the protected areas in the region. This includes training programmes for wardens in monitoring and research programmes and cross border collaborations. The final goal is to provide financial support to protected area authorities to manage certain specific sites of interest; current support is to Bwindi, Nyungwe and Virunga National Parks, covering some management costs.

59. National Forest Reserves: The Permanent Forest Estate (PFE) is defined as land that is set aside for forest activities in perpetuity. The PFE provide the basis for the livelihoods and cultural traditions of the most Ugandans. They provide food security, energy and incomes and help to reduce vulnerability in times of hardships. The PFE is currently under the management of different institutions mainly the Forest Authority (UFA), Uganda Wildlife Authority (UWA) and the local governments (LG) with a wide range of other stakeholders influencing its management. According to the Constitution (1995) and the Land Act (1998) it is the Central and Local Governments that

hold forest reserves in trust for the people of Uganda, however Government can grant a concession, licence or permit to any person or body to invest in forest reserves for forestry purposes.

60. Although the present Forest Policy indicates that there are enough forest estates for the people of Uganda, there are notable regional differences in the area gazetted for forestry. This had meant that districts with limited forest estates could no longer provide enough fuel-wood and other forest resources for the population hence causing the migration from those areas to the project areas, which still have substantial forest reserves.

61. Forests on Private Land: Lack of clarity on the land tenure systems, inability to implement policies, ordinances and byelaws; and total lack of incentives for the protection of forest on private land are important factors contributing to the loss of forest on private land.

62. Capacity of the Forest Sector: Over the last ten years, the Forest Department was supported by EU grant to build capacity by training staff and setting up a Conservation Section within the Department. However, this has been far from achieving lasting solutions to capacity building, and there will be a reduced conservation section in the new Forest Authority. There are over 80 forest reserves under the Forest Authority in the Albertine Rift. In practice many of these reserves are small and geographically spread, which makes it difficult for the FA to manage them effectively and efficiently. With limited resources, FD has concentrated attention on the management of only a few selected reserves especially those considered to be of high economic and biodiversity values. These include the Budongo and Bugoma Forest Reserves in the project area but leaves out the vital smaller reserves such as the Itwara, Matiri and Kitichura, which provide connectivity and act as reservoirs for isolated primate populations and biodiversity.

63. Most forest reserves in the Albertine rift do not have operational management plans, as all of them expired during the 1970s. The Budongo Forest Reserve Management Plan was revised in the late 1990s through limited consultancy input, and the Bugoma Plan is still in draft form. Without management plans the majority of the reserves have no operational guidelines for addressing threats to the reserves and promoting sustainable management. Apart from the Forest Biodiversity Inventory data supported by the EU and GEF (1992-1996) and recent WCS surveys (Plumtre 2002, 2003b), there is limited inventory information on the condition of forest resources and uncertainty about the existing volumes and growth rates of timber and other products in the natural forests.

64. The low institutional capacity of the forest sector to undertake effective responsibility over its jurisdiction is attributed to the weak institutional structures, under funding and inadequate management of human resources. On average each district in the project area has one District Forest Officer, one Assistant District Forest Officer, one Forester and two Forest Rangers. The lower cadre groups such as the Forest Guards, Nursery workers and Patrolmen are recruited on temporary basis depending on the discretion of the DFOs. Many times the lower cadres do not receive their wages in time and resort to pay themselves by abating illegal activities. There is poor capacity to control illegal activities in the field due to insufficient skills and manpower compounded by staff indiscipline. The department does not have the strength to supervise, control and monitor personnel. Lack of staff motivation due to poor pay and conditions of employment has tended to aggravate the problems demonstrated by cases of some well trained staff opting to leave the department and go for better opportunities elsewhere.

65. Most ongoing donor interventions are either specific technical forest management activities in the Central Forest Reserves such as the EU and NORAD (support to training) funded programmes, or in communities (UNDP Small Grant Programme) or interventions which are meant to support economic development through companies in the tea, sugar and tobacco sectors. Less attention is

given to development interventions on community based natural resources management, which are focussed to address the dependence of poor people on forestry resources and its ability to improve their livelihoods. The linkage between poverty and the role of forestry in rural livelihoods is still little understood by the majority of policy makers at district and local levels in the Albertine Rift

66. Some critical negative impacts of the forest protected areas on community livelihoods are not prioritised for mitigation by the local administration. These impacts include:

- Vermin and problems animals. These are both protected and non-protected wild animals which destroy community crops and property. This was regarded as the biggest single problem experienced in the project area. Some community members argue that the state of poverty in their sub counties would be significantly lowered if vermin were eliminated from the forests.
- Insecurity. Forests are considered as perfect cover and hiding place for robbers and rebels.

67. Decentralization: Uganda has a strong decentralization programme, giving increased responsibilities to District (LC5) and Sub-District (LC3) government. It is not clear as to how much control will remain at the Centre for the nationally important forests, but it is certain that the districts will have increased mandate for forest management. The legal structures preparing for this change were announced recently. These changes offer opportunity for stronger conservation linkages to communities. Strategies for strengthening the local forestry by the District Forestry Services are: to recruit staff and build capacities to run effective District Forest Services, improve the promotion planning and funding of the forestry developments; improve management of the local forest reserves; collect revenue and licences from forest activities; support the delivery of forestry advisory services in agro-forestry technologies, in collaborative forest management, and in private and customary forestry management; to promote tree planting and protection of vulnerable areas and watersheds. There is big challenge in translating these strategies into action plans considering that most districts in the AR area are short of technical and financial resources for the implementation of conservation programmes. The GEF intervention through objective C will support the districts to implement the strategies above.

68. Development activities: The Government of Uganda runs its regular development activities in the four project districts of Masindi, Hoima, Kibaale and Kyenjojo, supporting the communities living within the project areas. These were assessed by the Local Benefits Study of the PDF B process, with a focus on agricultural support (planned to increase with inputs from the Plan to Modernise Agriculture (PMA) programme with WB and PEAP funding). The baseline includes the development of collaborative forest management approaches. Although these approaches are at their infancy in Uganda, the Forest Department has gathered some experience by implementing such initiatives in Mpanga, Mabira, Namatale and Sango-Bay FRs. Further there are lessons from the UWA Community Conservation Programme on revenue and benefit sharing, and wildlife user rights. This baseline experience will be built on, and lessons for forest management have been incorporated in this proposal.

69. Further lessons are expected to come from Uganda's experience with Integrated Conservation and Development Projects (ICDP), also part of the baseline. Many past ICDPs were designed and implemented by Conservationists with little understanding of development issues. Conversely many local scale development projects were designed by development NGOs without taking into account biodiversity values or the linkages with the Environment. The UNDP GEF Cross Borders Project showed the benefits of working with development NGOs within a conservation-led ICD partnership.

70. Potential lessons learned come from the WWF/CARE funded ITFC project on assessment of ICD initiatives in west Uganda (their models, design, assumption etc.); and from the DANIDA-



funded project on designing new ICD initiatives. The co-management of common property resources such as artisanal fisheries by fisher-folk from the DFID CARE Integrated Lake Management Project in west Uganda provides further experience.

### **Baseline Summary and Identification of Gaps**

71. The baseline situation in terms of the overall Protected Area system for forest biodiversity has been described in the Executive Summary. This addressed issues of strategic planning frameworks, financial viability and business planning, partnership and community collaboration, M and E processes as well as capacity in mandated institutions. The baseline situation was summarized in terms of key barriers to achieving a sustainable PA system. These were identified as:

- a) Conservation planning for the national system of forest PAs is not implemented.
- b) The limited protection to biodiversity offered by existing forest reserve status. Conservation planning in Uganda recognizes the need to develop Strict Nature Reserves within Forest Reserves, and to strengthen reserve management in general.
- c) Poor definition of roles of the state, districts, communities, civil society and private sector.
- d) The absence of legal/policy frameworks for public/private/community partnerships; and insufficient development of these partnerships for PA management, including insufficient incentives and legislation for community-based forest management
- e) There is little sustainable financing planning for the forest PA system.
- f) There is inadequate design and implementation of M&E systems.

These barriers form the first layer for the GEF interventions

The sections that follow look in detail at the biodiversity issues at protected area level. The baseline situation for on-ground conservation has three main risks, which threaten conservation outcomes:

- Rapid rate of forest conversion to agriculture, leading to fragmentation/loss of forest habitat.
- Unsustainable use of forest resources and illegal activities.
- Encroachment into forest reserves.

72. These pressures need to be confronted to protect the resource base and foster conservation compatible livelihoods. However, three major barriers impede the paradigm shift from the unsustainable to sustainable use of forest resources, and need to be addressed if the forests of the Albertine Rift in Uganda are to be conserved. These may be summarized as:

- Unclear forest management responsibilities and absence of coordination and collaboration between different sectors and levels of management;
- Absence of community participatory forest management alienating critical resources users.
- Limited incentives for conservation and sustainable resource use opportunities.

73. The baseline analysis concludes that whilst there are several forest conservation and community development initiatives across the Albertine Rift landscapes, these are not coordinated and are unlikely to have meaningful impact on the global biodiversity values inherent in the AR. The baseline analysis showed that the ongoing and past initiatives addressing conservation were insufficient to meet the scale of threats in the Albertine Rift. Initiatives were often ad-hoc with little coordination; many initiatives were concentrated in south-west Uganda, attracted by the charismatic gorilla populations. Major gaps exist in:

- Sustainable financing linked to approved and accepted strategic planning,

- Institutional capacity within emerging institutions at central and district level,
- Disconnect between agricultural expansion and forest conservation leading to deforestation on private land,
- Lack of management plans to direct forest conservation in Forest Reserves,
- Support to collaborative forest management.
- Demonstration of rational alternative resource use and income-generation for forest adjacent communities.

## **THE GEF ALTERNATIVE COURSE OF ACTION**

74. The fundamental strategy of the project is to provide a broad based integrated package of support to government and non-governmental agencies and local communities dealing with biodiversity in the northern corridor of the Albertine Rift protected areas system. This supports BD1 of the GEF Strategic Priorities (Catalysing Sustainable Protected Area Systems). This support is designed to be sustainable by host institutions in the longer term after the end of the project. The project is based on Government of Uganda and donor collaboration, with the GEF intervention focusing on protecting globally important biodiversity of the area.

75. This project will support the **overall goal to “Conserve and manage the rich biodiversity forests in the Albertine Rift allowing sustainable development for all stakeholders, with the long-term objective to support the conservation and management of globally important biodiversity resources in Albertine Rift forests in Uganda”**. A detailed logframe is provided in Annex 2. The threats/barriers analyses (Annex 9) show how activities will address the underlying root causes of biodiversity loss.

76. Four outcomes with a total of fifteen broad outputs are proposed, with the GEF financing the agreed incremental costs of biodiversity conservation. Letters of Co-Finance Commitment are provided in Annex 14, for a total of 7,800,000 US \$. Details of financing for each output (GEF and co0finance) are in The Executive Summary. Annex 2A – the Log-Frame has details of formal activity within each output. This text provides the rationale behind each output.

### **77. Outcome A: An overall conservation and management strategy for the Albertine Rift Forest Resources in Uganda in place, approved and functioning.**

Whilst many parts of the Albertine Rift forests receive support from various government, donor and NGO initiatives, these are often isolated and in most cases uncoordinated, leading to a reduced opportunity for synergy and efficient spending of financial resources. There is therefore need to attain a comprehensive, holistic strategy at the large Protected Area System scale (and linking this to eco-regional / landscape levels) in order to address issues across the whole set of forests of the Albertine Rift in Uganda and ensure their connectivity. This objective will ensure that there is an integrated strategy that is applicable to the entire forest system in Albert Rift. This is a major contribution to BD1 of the GEF Strategic Priorities.

A core group of institutions in the region have already developed a strategic framework for the entire Albertine Rift. An important element of Objective A will be to translate this overall framework into a strategic plan for the Uganda section of the Rift and to further translate this plan into action in Unit 1 (northern Rift in Uganda, including the northern corridor). At the same time, the programme will develop close links between field activities and further development of the strategic planning at the scale of the entire AR, particularly regarding Monitoring and Evaluation and sustainable financing.

There are four outputs (A1 to A4).

**Output A1: An overall strategy for the Albertine Rift protected area system for Uganda is developed and implemented involving the sharing of lessons, data and information collecting and dissemination of best practices:**

One of the threats identified in the PDF B process to the Albertine Rift protected area system is lack of a common vision and strategy on which policies, regulations and standards are laid for sustainable management of the Albertine Rift resources. This output will link with the ongoing regional Strategic Planning Framework initiatives by the Albertine Rift Core Group.

**Output A2: The Forest Nature Reserve Master Plan is implemented within the Northern AR Forests.**

The Uganda Forest Nature Conservation Master Plan set out detailed principles for the development of a network of Forest Nature Reserves designed to provide long-term protection of Forest Biodiversity. This was based on a decision of the Uganda Cabinet (1992) that 20% of the forest cover should remain inviolate (ie no exploitation of any kind). This Master Plan followed 4 years of detailed biodiversity research. The plan was approved by government and is embodied in policy and law. What remains now is to implement the plan – selecting (in a participatory way) the optimum size, location and shape for a Nature Reserve in each major forest block. The second step is managing the Nature Reserve zone (demarcation, protocols, patrolling, monitoring etc).

**Output A3: Local sustainable financing mechanisms identified and promoted for forest conservation:**

Financing of forest activities has for long largely depended on donor support. While Government has put in place a mechanism for ploughing back part of the revenue from forest products, this is inadequate given the revenue base and level of funding required for sustainable forest conservation and management practices. The PDF-B process identified the need for a long-term approach to funding the conservation of forest biodiversity. Currently much of the donor support in the area involves short term financing of long-term conservation programmes for which sustainability remains an issue to be addressed. Conservation is not generally a priority among the local government programmes especially since forest products are presently under-valued. Moreover, forestry revenues are rarely re-invested in conservation at both the national and district levels. For the local financial initiative to succeed, it will be necessary to develop clear guidelines for developing and implementing a conservation funding strategy.

**Output A3: Monitoring and evaluation frameworks for the Albertine Rift Protected Area System in Uganda developed:**

Effective ecological and socio-economic monitoring programmes and evaluation frameworks are necessary to evaluate programme effectiveness and progress towards goals. Strategies and management interventions must be adaptive, responding to such monitoring information, and delivering impact on the ground.

**78 Outcome B: The Central Forest Reserves within Unit 2 of the Albertine Rift Forest System are managed effectively, yielding biodiversity and livelihood benefits.**

The most significant constraints to the conservation and sustainable management of forest resources in CFRs include population pressure, lack of integrated participatory management plans & strategy

compounded by among others: lack of or limited data and information on the status of forestry resources and biodiversity (extent, scope and type of resource and input); inadequate and or limited policies and mechanisms for implementation; and weak institutional capacity among the key stakeholders (Govt, CBO/NGOs, private owners and local communities) encroachment and conversion to agricultural land. Lack of forest management plans, lack of clear forest boundaries, poor facilitations of relevant institutions and lack of suitable forest management interventions for implementation compound these pressures. The GEF project will address these issues through four outputs (B1 to B4).

**Output B1: Biodiversity and non-timber resources in the CFRs are inventoried:**

During the early 1990s, the Uganda Forest Department surveyed the biodiversity of major forest reserves in western Uganda, with support from GEF-UNDP and EU. These efforts produced species lists for each of the forests for five taxa: trees, birds, small mammals, butterflies and moths. The Wildlife Conservation Society (WCS) subsequently surveyed some of the same forests in collaboration with the Jane Goodall Institute in 1999 so as to assess the distribution of larger mammal species across the forests. These surveys are still ongoing. Despite such studies, there is still insufficient baseline information on some key biodiversity resources of the CFRs (focal tree species, endangered taxa) including their spatial distribution within the forests. Output B1 is therefore intended to produce land cover and land use maps of the northern corridor as well as maps showing the distribution of the major biodiversity resources in the area. This baseline data feeds into the M and E process.

**Output B2: Central Forest Reserve boundaries secured and demarcated:**

Although the FD has made efforts to demarcate the boundaries of some forest reserves, this remains one of its major challenges. Communities living adjacent to the reserves inadvertently encroach on the reserves due to lack of awareness of forest boundaries. Over time the forest department has marked the boundaries with earth cairns, trenches and line slashing which are temporal and expensive. Technical re-surveys are rarely ever carried out. Forest boundaries are sometime traced by asking the local chiefs or long time serving porters to show the boundaries. There exist heavy disputes and discrepancies on the location of most of the forest boundaries. Enhancing the FD's technical, financial and human resource capacity to demarcate the boundaries of forest reserves will assist in alleviating this concern. The GEF project will take lessons from the PAMSU project implemented by UWA to demarcate the forest boundaries.

**Output B3: Incidence of illegal activities in Central Forest Reserves reduced:**

Studies conducted during the PDF-B process concluded that Uganda has sufficient policies and legislation to safeguard environmental management in the country. However studies stressed that the implementation of policies and laws were lacking especially at district and lower levels.

Districts and sub-counties should therefore be in a position to enact ordinances and by-laws to strengthen local enforcement of national laws such as the Land Act, Environment Statute, Wildlife Statute and the upcoming Forest Act. The by-laws will not only help to clarify where national laws are not clear, but also make them locally relevant. However staff reductions planned in the NFA will impact on this.

Local governments need support to pass and implement legislation and land-use guidelines affecting forest conservation taking into account peoples changing needs, population patterns, historical conditions and cultural sites. This would promote sustainable use of land and forest

biodiversity. The PDF-B recommended certain areas where the by-laws are needed: bush burning, charcoal burning, soil and water conservation and tree planting.

Most legislation and regulations for managing natural resources are written in English with the “legal language”, which the local communities find difficult to understand. This creates an information gap for communities. Translation and simplification of some of the most important policies, laws and regulations governing the management of the Albertine Rift natural resources are needed.

**Output B4: Forest Management Plans for CFRs developed, based on sound scientific basis.**

Apart from Budongo, the CFRs within the Albertine Rift project area have no active management plans. Management plans of the reserves were drawn in the 1960s and all have expired and are outdated. They were drawn based on the conventional forestry paradigms where surrounding communities and stakeholders concerns were excluded and emphasis laid on timber production and exclusive protection. The absence of valid management plans makes it impossible for forest managers to undertake informed management decisions. Among other important uses, management plans provide information on the distribution of forest resources, forest boundary plans and management zones. The plans also prescribe the staffing, equipment and infrastructure needs of the various CFRs, and have implementation and investment plans.

Management plans are important investment documents that should be used to solicit donor support for the CFRs. It is important to ensure that the new management plans are drawn in a participatory manner where all relevant stakeholders like local governments, local communities, timber industries, etc. are involved.

More detailed monitoring and analyses of the effectiveness of management actions could be undertaken by research stations in the region. The Budongo Forest Project (BFP), Institute for Tropical Forest Conservation (ITFC) and Makerere University Biological Field Station (MUBFS) could all play a role in more detailed studies of management interventions if supported to do so. These detailed studies could include analyzing the dispersal of various species and use of forest patches along the northern corridor, corridor design, human-wildlife conflicts and buffer zone management. This project could contract one or more of these institutions to undertake more detailed research on the pilot strategies that will be implemented as part of the project.

**79 Outcome C: The Connectivity of the Northern Forest Corridor is ensured.**

The project will focus on key areas within the corridor including the major forest block (Budongo and Bugoma) and the smaller ones such as Matiri, Ibambaro, Kitechura and Itawara complex and Kagombe, Kibego and Muhangi complex and the forest patches in between. These forests are important for maintaining the connectivity that is vital for the functioning of the corridor especially for important migratory species.

The GEF intervention should include the delineation of the corridor using appropriate methodology, appraising the status of the forests and piloting intervention measures on the ground, which can be replicated elsewhere. The development of local land use plans and the promotion of awareness, conservation education and information will also be major themes of this objective for GEF support. Also to be included will be support to local authorities, communities and private landowners to develop Private Forest Management Plans. The project will also undertake forest landscape restoration programmes in the area. The project will achieve this objective through five outputs (C1 to C5).

**Output C1: Northern biodiversity corridor assessed:**

As in the case of CFRs there is still insufficient baseline information on the important biodiversity resources of the project area particularly those outside protected areas including their spatial distribution within the forests. There is no reliable information on the biodiversity status of the affected districts to act as baseline for monitoring changes. There is also relatively poor communication among the various institutions engaged in the inventories. Output C1 will produce land cover and land use maps of the northern corridor as well as maps showing the distribution of the major biodiversity resources in the area.

**Output C2: Local land use plans developed and implementation initiated:**

Uganda currently does not have a national land use plan and there are no land use guidelines in the districts or sub-counties. Lack of appropriate land use guidelines increase forest loss due to competing land uses especially for agriculture. Furthermore haphazard settlements lead to a lot of vegetation destruction, land disputes and no security of tenure for land.

The GEF intervention is needed to support Local Governments to develop comprehensive land use plans where settlements are regulated according to carrying capacity, integrated land management is practiced, the potential corridor is identified and negotiations with the land owners on conservation approaches are initiated. Such management plans should be drawn in a participatory manner, involving all relevant stakeholders including local government, local communities and the resource users. The District Land Boards also need to be empowered to make informed decisions on land related issues through training in such areas as surveying and mapping, assessment of land size and status, land use planning and maintenance of equipment and logistics.

In order for conservation practices to be adopted widely in the Albertine Rift, there needs to be aggressive campaigns targeting both local communities and their leadership on the value of conservation of forests, the opportunities available in conserving forests and technologies for tree planting, agro-forestry, eco-tourism development, engaging in non-forest product activities and wood fuel saving technologies.

The district local councils, through their extension departments, should be encouraged to package simple but effective forestry extension messages that can be availed to the local communities through various information channels. Conservation education on participatory management skills and integrated conservation and development are among the important areas that should be supported by GEF.

**Output C3: Local authorities, communities and private land owners supported to develop Forest Management Plans:**

Forest Management Plans are important technical tools for the management of forests resources. PDF B findings indicated that currently no private owner in the proposed project area has a management plan for his/her forest and few have the knowledge and skills to manage the forests productively and sustainably. Management Plans need skills and cost money to prepare, use and monitor. Currently there is no extension support to prepare such plans and there is no well organized and funded advisory service to support their implementation. Historically the role of the Forest Department in Uganda in private forests has been limited to revenue collection from charcoal and timber and control of protected species. In some cases where there are traditional or customary forest management systems, such systems were continually breaking down due to cultural changes,

market forces and insecurity of tenure. GEF support is being requested to strengthen the capacity of local authorities, the communities and private land owners to sustainably manage the forests through the development and use of Forest Management Plans.

**Output C4: Undertake forest landscape regeneration in the northern corridor:**

Due to various pressures such as lack of alternative income generation activities and forest conversion for agriculture and unsustainable use practices, most of the forest resources on private land are rapidly disappearing. One way to improve conservation of biodiversity while using the forests is to encourage the relevant stakeholders to participate in restoration programmes. GEF intervention is being sought to assist in mobilizing, training and encouraging the stakeholders to actively participate in rehabilitating selected degraded forest patches through tree planting and agro-forestry practices.

**80. Outcome D: Linkages between forest conservation and sustainable livelihoods are strengthened giving CFM benefits.**

Many people who have forests on their land can make immediate and individual benefits from them by converting them to timber or agricultural land. Local communities around the forests have a high dependence on the forest resources because of poverty and lack of alternative sources of livelihood. In many cases it is the rich, who live further away and can afford harvesting licenses that benefit from the forests rather than these local communities. There is generally no incentive for private forest owners to conserve forest on their land while the forests themselves harbour vermin and animals that destroy crops and livestock causing food insecurity and increase poverty. Local governments do not have adequate structures to handle the control of vermin and problem animals. This is left to local communities who use approaches that are destructive to vegetation such as forest clearing, bush burning and killing of the animals.

Owners of forests on private land as well as the local communities should be given incentives and alternative livelihood options in a form that will reduce their dependence on forests and forested land. The GEF intervention should ensure that any livelihood initiatives proposed and piloted be acceptable to the community to ensure sustainability. This objective is addressed by three outputs (D1 to D3).

**Output D1: Community Based Natural Resources Management (CBNRM) approaches promoted for the maintenance of forest resources on private lands:**

Discussions with local communities during the PDF-B process indicated that they are relatively well aware of the value of the forest patches on private and public land, however, equitable utilization has often been compromised by the expropriation and commercial exploitation by a few individuals in the community. Some of the forests have been destroyed through charcoal making and pit-sawing while others have been cleared for agriculture. No serious investment of time and effort into conservation can be made by the local communities unless they participate fully in their management and use.

Community Based Natural Resource Management approaches mainly of the integrated conservation and development (ICD) type, which provide support to local community livelihoods, were found during PDF-B to exist in the Albertine Rift including ecotourism, fish farming, bee keeping, mushroom farming, woodlots planting, goat keeping etc.

Such ICD initiatives have been implemented for quite some time now in Bwindi, Mgahinga, Kibale and Semliki districts that are south of the Albertine Rift project area. There is research going on by ITFC to assess the effectiveness of ICD in the conservation of these forests. GEF is being requested to support studies of these approaches in order to identify lessons learnt and best practices that could be piloted in the northern corridor. This support should include the development and pilot implementation of frameworks for participatory approaches especially on private land. The sustainability of these initiatives will depend on whether or not the districts and sub-counties agree to integrate community based natural resource management approaches in their development plans.

#### **Output D2: Collaborative Forest Management (CFM) approaches promoted in CFRs:**

Most communities who live adjacent to Central Forest Reserves depend on them to one degree or another for their livelihood. This dependence includes not only direct benefits such as fuel wood but also indirect benefits such as maintenance of constant water supply and protection of micro-climate. Continued degradation of forest reserves will therefore not only affect the national economy but will also exacerbate rural poverty in the affected areas. Government officials and local community stakeholders are aware of these problems but have not been able to address the situation on their own. There is an urgent need for concerted and integrated action to protect the remaining forests from further exploitation, encroachment and degradation. A review undertaken during the PDF-B process revealed that collaborative management by different stakeholders promote effective management of forests especially where local communities adjacent to the forests are closely involved. Experiences of collaborative forest management around Bwindi Impenetrable National Park show that the process of negotiations towards collaborative forest management agreements is an important avenue to promote dialogue between communities and management authorities. Thus the challenge of this output will be to balance the interests and needs of all the different stakeholders that benefit directly or indirectly from the CFRs in Albertine Rift.

#### **Output D3: Incentives for sustainable use of forest resources explored and promoted:**

Studies from the PDF-B process found that some of the major causes of forest depletion is the increasing need to meet community requirements in terms of timber, food, building materials and opening new land for agriculture. Poverty seems to be the major cause of deforestation by the local communities and is aggravated by increasing population pressure. Crop-raiding was also found to be a major source of conflict with local people and it is a threat to forest conservation.

Approaches to reducing community pressure on forests should aim at improving food security and increasing household incomes. Identifying approaches and methods that minimise damage to crops and minimise the conflict with local communities is essential if deforestation is to be reduced and the corridor approach is to succeed. Developing shared guarding strategies with the communities can help greatly and also incorporates the culture that it is their problem and they can solve it rather than relying on outside help.

Another set of problems facing forest resources in the northern corridor is the lack of incentive to private forest owners to conserve forest on their land. As recognized in the Forest Policy (2001), some forms of incentives are required especially for reservation of natural forests on private land. This could be through direct payments, carbon credits or developing a policy of incentives at the level of government such as tax breaks for conserving forests. Identifying and developing mechanisms for income generation at the district level to support the wise use but not destruction of the forests on private land would be another area to target for interventions. Local communities can be given priority when issuing licenses for forest product harvesting.



### **81. End of Project Situation;**

- The project will lead to a system wide Albertine Rift Forests Conservation Strategy that will be used by governmental and non-governmental actors as the framework for concerted and synergetic interventions in support to conservation and management of forest resources in the area. This will in turn result in more efficient use of financial resources and the channelling of these resources towards the most strategic areas (both geographical and thematic).
- A total of over 250,000 hectares of forests in Forest Reserves and on private land will be better managed and/or restored. Activities based both in the Forest Reserves and on private land will complement each other thereby contributing to the long-term sustainability of the protected area system. Securing conservation on private lands will facilitate animal and gene dispersal through wildlife corridors critical for the long-term viability of many species in the Albertine Rift.
- Improved **equitable sharing of costs and benefits** of biodiversity conservation between stakeholders (government, communities, individuals and the global community).
- A functional M and E system in place for Uganda's Forest PA system
- District committees and other local structure will have a much better understanding of the values of forest resources, the threats to them and causes of degradation. This increased capacity to manage resources will lead to **mainstreaming of biodiversity into district and local level planning and decision-making**.
- A mechanism will be in place leading to collaborative management of forest resources and for **inter-district management cooperation**.
- Results of biological and forest resource surveys will provide UWA and Districts with better tools for planning and a monitoring and evaluation system will be established that will help stakeholders to improve their support in the area.

### **82 Global Environmental Benefits of the Albertine Rift Forests:**

The global environmental benefits expected to accrue from the GEF intervention include:

- Ensuring that unique species and habitats of the Albertine Rift forests are preserved, within 250,000 ha of managed forest.
- Conserving an exceptionally biodiversity rich region of Africa, with one of the highest animal and plant diversity of the continent.
- Conserve highly endangered species relying on Albertine Rift forests for their survival.
- Preserving forest connectivity within the northern corridor that is essential for keystone species dispersing to and from other key protected areas that receive GEF and other donors support (Semuliki NP, Ruwenzori NP).
- Contribute to mitigating effects of climate change, through enhanced carbon sequestration.

### **83. Project Preparation: Past GEF Support and Outcomes:**

Outcomes of PDF Block A: PDF A funding was disbursed in 1998, which provided for national and district level consultation processes. The outputs of the PDF A funding were:

- A preliminary description of the extent, status, values of and threats facing the AR forests, with an overview of on-going and planned conservation initiatives;
- Broad stakeholder agreements as to the scope of the problem facing the conservation of the forests and the need and scope for further intervention;
- Closer collaboration between donors and national institutions with interest in the AR;
- Project development, leading to the PDF Block B Application.

Outcomes of PDF Block B: A summary of the PDF Block B process is given in Annex 10. In addition to the preparation of this Project Brief, the PDF B process resulted in:

- The promotion of the Regional Conservation Framework for the conservation and management the forests of the Albertine Rift in Uganda.
- Elaboration and description of the extent and status of the forests in the Albertine Rift including the selection of the sites for GEF intervention (Plumptre 2002);
- Description of the tenure of ungazetted forests (EAGO 2002b) that could act as “forest corridors” linking the larger but fragmented forest patches in Hoima, Masindi, Kibaale and Kyenjojo districts of western Uganda;
- Analysis of localized stakeholder interests including donors and collaborating institutions and agencies; ( EMA 2002 and NRM 2002; see Annex 12 for Details).
- Quantification and elaboration of the on-going and planned initiatives in the project area including the sustainable baseline and co-financing of the GEF Alternative.

84. Linkages with other GEF initiatives: Uganda has a number of GEF projects that address forest biodiversity issues. Examples of these projects include the following:

- *Support to PAMSU in UWA.* To date, this project has focused on capacity building addressing the savanna national parks. The Albertine Rift project will incorporate capacity lessons learned from PAMSU in its objective on improving management of forest resources in the northern corridor through capacity building.
- *Reducing Biodiversity Loss at Cross Border sites of Uganda, Kenya and Tanzania.* In Uganda, this project addresses the root causes of biodiversity loss through community, district and national level natural resource management agencies with a multiplicity of stakeholders. The Cross Border Biodiversity project supported both biodiversity conservation and community development activities. The issues have been incorporated in the project design of the Albertine Rift project.
- *Kibaale Forest Wild Coffee* project has activities that are related to those of the Albertine Rift project through conservation of important genetic resources which are under threat.
- *Institutional Support for the Protection of East African Biodiversity.* This GEF project that was completed in 1996, built capacity in the forest sector and supported forest biodiversity inventories in Uganda that will significantly benefit the Albertine Rift project.
- *Africa NGO – Government Partnership (UNDP-GEF).* This project, closed in 2003, was implemented by Birdlife International, and in Uganda by Nature Uganda. The project demonstrated community level conservation processes in sites outside PAs.
- *Lake Victoria Environment Management project (LVEMP)* has many elements of project design similar to that of the Albertine Rift project including rehabilitation of degraded areas and community participatory management of natural resources.
- *The Mgahinga Bwindi Impenetrable Forest Conservation Trust (MBIFCT)* under World Bank GEF support was established to manage and administer a consortium of funds from the multilateral donors for the long-term conservation of Biodiversity. The Trust is over five years and has been providing start up and operational costs and grants for conservation activities, research and community projects. This was the first conservation trust fund in the country and was created to act as a model to provide insight in the management of such funds. With trends indicating reduced financing from traditional donors, environmentalists have to use innovative approaches to raise funds for their activities hence the objective A of the Albertine Rift Project

**85. Lessons Learned:** A detailed table of lessons learned from these and other projects, and how these are incorporated into project design is given in Annex 12.

**86. Linkages with UNDP:** This proposal will be implemented via UNDP because of its comparative strengths in technical assistance in Uganda as well as its familiarity with the sector, its background and institutional linkages. The **mandate of the UNDP in Uganda** is to support initiatives of the Government of Uganda to achieve Sustainable Human Development by eradicating poverty. The UNDP Country Co-operation Framework (CCF) for Uganda in the period (2001-2004) is consistent with pillars of the Poverty Eradication Action Plan (PEAP). **The current CCF seeks to realize this objective through interventions in two programme areas: Good Governance and Income Generation / Sustainable Livelihoods.** This will include a particular emphasis on tackling poverty directly through the promotion of micro and small scale enterprises and raising incomes, food security and welfare of households and communities through sustainable utilisation and conservation of the environment and natural resources. These objectives are consistent with those of the Albertine Rift project. UNDP implements a number of national, regional and global environmental conservation and management projects. UNDP implements a Small Grant Programme, which offers several linkages with the proposed project.

### Implementation Arrangements: Technical Partnerships

87: Among the various stakeholders, PDF A and PDF B activities have identified lead partners in Uganda for some of the specific components of the project. The institutions listed are perceived as the best suited to coordinate the implementation of activities under each output. The following list does not exclude any other entities to be involved in each component.

Outcomes / Outputs	Lead Institutions
A1 Stakeholders supported to develop an overall regional strategy for the Albertine Rift forested protected area system through sharing lessons, data and information	WWF / MUIENR NFA and partners
A2. Nature Reserves Implemented in Major Forest Blocks	WWF, WCS, NFA MUIENR
A.3. Local sustainable financing mechanisms identified and promoted	ALD, NFA, WCS
A3 Monitoring and evaluation frameworks for the Albertine Rift protected area system developed	WCS/NFA
B.1 Biodiversity and forest resources in the FRs inventoried	WCS, Makerere
B.2 Central Forest Reserve boundaries secured and demarcated	NFA
B.3 Incidence of illegal activities in central forest reserves reduced and brought under control.	NFA
B.4 Forest Management Plans for FRs developed	NFA, Districts
C1 Northern biodiversity corridor assessed and monitored	WCS, NFA
C.2 Local land use plans developed and implementation initiated	Districts, WWF
C3 Local authorities, communities and private land owners supported to develop Private Forest Management Plans	NFA, Districts
C4 Undertake Forest landscape restoration in the northern corridor	WWF, Districts
D1 Community Based Natural Resources Management (CBNRM) approaches promoted for the maintenance of forest resources on private lands	WWF, CARE, Districts
D2 Collaborative Forest management (CFM) approaches promoted in FRs	NFA, CARE, WWF,NFA
D3 Incentives for sustainable use of forest resources explored and promoted.	NFA, WWF, NFA

**88. Project implementation at district and local levels:** At the district level the project will work in accordance to forest management structure of the NFA as the Forest Management Areas (FMAs). The project sites are located in two FMAs with Masindi and Hoima districts in FMA number 6 while Kibaale and Kyenjojo in FMA number 2. In each FMA there will be a Field Advisor recruited by the project and who is counter part to the Forest Area Manager employed by NFA as coordinators in the FMAs. The project will reach relevant communities in sub counties through close cooperation and working with the Forest Reserve Managers who are also employed by the NFA and responsible for overseeing management of selected large CFRs. The project will reach the private forest owners by working with the DFOs who are employees of the District Service Commission and responsible for operations and management of forests on private lands and local forest reserves.

89. Site Steering Committee: There will be one site steering committee consisting of representatives from the districts of Masindi, Hoima, Kyenjojo and Kibaale. The representatives from each district will include the LC5 Chairman, RDC or CAO, District Technical Officers, co-financiers and relevant NGOs and community groups working in the area.

**90. Stakeholder participation:** Stakeholder participation has been a key and successful ingredient of the work undertaken during PDF-B activities. This is described in greater detail in Annex 11. The main objective of wide scale consultations was to establish stakeholder expectations and understand their interests, concerns and roles regarding the Albertine Rift Project. Key stakeholders from the national level included Government Ministries: Ministry of Water, Lands and Environment (including Forest Department, Forest Secretariat, and National Environment Management Authority), Ministry of Energy and Minerals, Ministry of Tourism, Trade and Industry (including Uganda Wildlife Authority) and Ministry of Local Government. Participants from Makerere University, especially from the Faculty of Forestry and Nature Conservation, MUIENR, also made significant contributions.

91. The donor community and international NGOs were active in the PDF process including UNDP, EU, UNHCR, World Vision, Ecotrust, WWF, WCS and IUCN. These were regarded as important participants to prepare grounds for co-funding and provide lessons from past and ongoing projects so that these can be taken into account in the design of the GEF project.

92. At the district and lower levels, stakeholders were drawn from among political leaders in the District and Local Councils, District technical officers of relevant government agencies, district and local environment committees, community-based organisations (CBOs) and representatives from local communities.

93. GEF support will continue to expand upon this involvement with stakeholders at all levels of project activities (Annex 11). Broad stakeholder participation will ultimately be key to successfully achieving the goals and outputs proposed for GEF support. For example, representatives from UFA, district and local forest authorities as well as academia will participate in the development of biodiversity inventories and mapping in the northern corridor as well as undertaking management oriented studies for the integrated management of forest resources in the Albertine Rift. Similarly, community-based conservation activities in the AR will closely involve local and district stakeholders through a variety of approaches including Integrated Conservation and Development (ICD) and Community Based Natural Resource Management (CBNRM) as well as efforts to support alternative income generation activities and enterprise development e.g. ecotourism, bee keeping and fresh water bottling.

**Cross-cutting issues:**

94. Community empowerment and poverty alleviation are central to the overall objective of the project. Recent studies have shown that the environment plays a central role in the lives of the poor in Uganda. The environment supports livelihoods of the poor by helping them to manage vulnerability from shocks and disasters and also providing resources for income generation. Yet the participatory poverty assessment case study on the environment indicated that the quality of the environment and natural resources upon which the poor depend is declining. Studies done by the PDF B also indicate these decline is more in areas outside projected areas where the majority of the poor live.

95. Government of Uganda, on realizing the short fall in the PEAP in addressing the ENR issues, took the initiative to review seriously how these issues can be given greater focus within the Poverty Eradication Action Plan (PEAP) in 2003. In consonance with the key topical research areas identified for the PEAP revision this GEF project under various Outputs will addresses the following linkages between poverty and the Environment:

- a) Valuation of Environment and Natural Resources in monetary terms: How much revenue comes from ENR? What do land degradation and deforestation cost the economy?
- b) Monitoring of environmental trends (e.g. rate of deforestation, air pollution) including the better analysis of these trends to understand causes and how they link to poverty.
- c) Analysis on how environmental improvements can contribute to poverty reduction.
- d) How can ENR positively contribute to economic growth in the Albertine Rift including increased exports?

**LEGAL CONTEXT and AUDIT**

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96. The project shall be the instrument referred to as such in article 1 of the Standard Basic Assistance Agreement between the Government of South Africa and the United Nations Development Programme, signed by the parties on 24 October 1994. The host country's implementation agency shall, for the purpose of the Standard Basic Assistance Agreement, refer to the Government co-operating agency described in that agreement. Any other procedural requirements concerning international agreements will be complied with.

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97. The following types of revisions may be made to this Project Document with the signature of UNDP alone, provided that UNDP is assured that the other signatories of the project Document have no objection to the proposed changes, and with the concurrence of UNDP-GEF:

- (a) Revisions in, or additions to any of the annexes of the Project Document;
- (b) Revisions which do not involve significant changes in the immediate objectives, outputs or activities of a project, but are caused by the rearrangement of the inputs already agreed to or by cost increases due to inflation; and
- (c) Mandatory quarterly revisions that rephrase the delivery of agreed project inputs, or reflect increased expert or other costs due to inflation, or take into account agency expenditure flexibility. More frequent revisions will occur as needed.

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98. The Government of Uganda will provide the Resident Representative with certified periodic financial statements, and with an annual audit of the financial statements relating to the status of

UNDP GEF funds according to the established procedures set out in the Programming and Finance manuals. The Audit will be conducted by the legally recognized auditor of the Government, or by a commercial auditor engaged by the Government.

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## **Annex 7 Outstanding or Distinctive Biodiversity Features**

The Albertine Rift Montane Forests Ecoregion is one of Africa's most species rich and endemic rich Ecoregions.

Plants : the total number of strictly endemic plants is estimated around 500 species (Eilu et al. 2001) which is of similar magnitude to the number of endemics known from the Eastern Arc Mountains and the Cameroon Mountains.

Mammals: There are 25 strictly endemic species and a further 11 species regarded as near-endemic species. The endemic mammal fauna is dominated by small-mammals, with 10 of the species being shrews and 12 species being rodents. One of only two species of the family Tenrecidae on mainland Africa is strictly endemic to these mountains, the Ruwenzori otter shrew (*Micropotamogale ruwenzorii*, EN).

The mammal fauna includes the owl-faced monkey (*Cercopithecus hamlyni*) which has an endangered subspecies (*C. h. kahuziensis*) in the ecoregion, the restricted range golden monkey (*C. mitis kandti*) and L'Hoest's monkey (*Cercopithecus lhoesti*). Some of the easternmost populations

of chimpanzee (*Pan troglodytes*, EN) also occur in this ecoregion. The Albertine Rift endemic duiker *Cephalophus rubidus* ventures into the upper parts of this ecoregion from the higher altitude heath-land areas that are its more typical home.

Birds: The AR forests possess exceptional levels of bird species endemism with 37 strict endemics and another 16 near endemics, although no one genus dominates. Among these, some species are known to science by two or three specimen or records only.

Reptiles: In comparison to the other vertebrate groups the number of endemic reptiles is relatively low, with 11 strict endemics. These include four species of chameleons (*Chamaeleo* spp.) and four species of skinks in the genus *Leptosiaphos*. However, given the very high rates of endemism in other vertebrate groups the number of endemics may more reflect the relatively low rates of biological collecting, rather than the true numbers of reptile endemics.

Amphibians: with 32 strict endemics spread across 12 genera, and a further seven near endemics, amphibians have the highest number of range-restricted species. The bulk of these endemics consist of the highly variable Reed Frogs (*Hyperolius*, 9 strict endemics), the Screeching frogs (*Phrynobatrachus*, 7 strict endemics) and the River Frogs (*Anthroleptis*, 5 strict endemics) and Clawed Toads (*Xenopus*, 3 strict endemics)

Fish and other fauna: despite its high biological importance, much of the forest of this area remains poorly studied. Specific references on the biodiversity of the Albertine Rift are rare. For all taxonomic groups additional field studies as well as synthesis of existing collections and inventories need to be undertaken. It is expected that additional vertebrate, and especially invertebrate endemics are present in these mountain forests. Salt (1987) found many new invertebrate species in the Rwenzori Mountains.

The following table gives some indication of the number of endemic and globally threatened species in each of the major sites/forests in the project area.



**Some outstanding features of the northern AR for biodiversity conservation**

	Category	Budongo	Bugoma	Kagombe complex	Semuliki WR	Example species
<b>Mammal</b>	Critical	1	0	1	0	<i>Crocidura gracilipes</i>
	Endangered	1	3	3	3	Chimp, elephant, <i>Crocidura selina</i>
	Vulnerable	3	1	0	1	<i>Crocidura ludia</i> , <i>Dendrohyrax arboreus?</i> , <i>Ruwenzorisorex suncoides</i> , <i>Funisciurus carruthersi</i>
	Near Threatened	3	0	0	0	
	AR Endemic	1	1	1	1	<i>Sylvisorex johnstonii</i>
<b>Birds</b>	Endangered	1	1	0	0	Nahan's francolin, Golden-naped weaver
	Vulnerable	0	0	0	0	<i>Cryptospiza Shellyi</i> , <i>Indicator pumilio</i>
	Near Threatened	0	0	1	3	Grauer's cuckoo shrike, Papyrus gonolek, Dwarf honeyguide, Black-faced Rufous warbler, Shoebill etc
	AR Endemic	0	0	0	0	
<b>Reptiles</b>	AR Endemic	1	0	0	0	<i>Adolfus vauereselli</i> , <i>Chameleo johnstonii</i> , <i>C. xenorhinus</i> , <i>C.rudis</i> , <i>Atheris nitschei</i>
<b>Amphibians</b>	AR Endemic	0	0	0	0	<i>Phrynobatrachus petropedetoides</i> , <i>P. versicolor</i>
<b>Plants</b>	Globally threatened	4	3	3		
	AR Endemic	3	0	0		



### Annex 8 Threats, Problems, Barriers and Root Causes: Threat and Root Cause Analysis.

<i>Pressure</i>	<i>Biological Impact</i>	<i>Root causes</i>	<i>Alternative strategy</i>
<p>Forest conversion for agricultural purposes such as sugar cane and tobacco.</p> <p>Shifting cultivation</p>	<p>Destruction of forest habitat with no regeneration of the natural forest.</p> <p>Land infertility</p> <p>Loss of wildlife migratory routes and increased human-wildlife conflicts</p> <p>Forest fragmentation causing a loss of minimum viable conservation areas, increased edge effects, loss of connectivity between forest patches.</p>	<p><u>Insecure land tenure</u>: short term land use gains predominate over management for long term sustainability. Given land shortages, forest patches are allocated to people for cultivation.</p> <p><u>Resource access and control</u>: communities are not empowered to control access and use of natural forests by other forest users.</p> <p><u>Undefined opportunity costs</u>: experience with participatory forest management is in its infancy and a lack of cost/benefit analyses of its comparative advantages compared to agricultural conversion</p> <p><u>Undervaluation of forest resources</u>: a lack of a system of forest accounting has led to an under-valuation of forest products, particularly non-commercial timber, other products providing benefits to communities and environmental services.</p> <p><u>Disincentives for conserving the forests</u>: agricultural policies provide price support &amp; subsidies encourage forest conversion.</p> <p><u>Planning processes for biodiversity conservation have not succeeded in that</u>: biodiversity management has not been incorporated into district development plans. Land use planning programmes have not had implementation capacity, thus allowing people to settle and cultivate anywhere land is available. The political will to implement such plans and guidelines is not fully developed</p>	<p>In the alternative strategy mechanisms are sought to transfer ownership rights of natural resources to local communities to encourage sustainable management.</p> <p>Output C4: Local authorities, communities and private land owners supported to develop Private Forest Management Plans</p> <p>Output D1: CBNRM approaches promoted for the maintenance of forest resources on private lands.</p> <p>Output D2: Collaborative forest management approaches promoted in CFRs</p> <p>Participatory forest management options pursued;</p> <p>Output C4: Local authorities, communities and private land owners supported to develop Private Forest Management Plans</p> <p>Detailed data collection undertaken for both CFRs and northern corridor;</p> <p>Output C1 Northern biodiversity corridor assessed; C1.2 document ecological, social, economic and cultural values and services of the northern corridor.</p> <p>Output A4; M and E framework for the Albertine Rift protected area system</p> <p>Output B1; Biodiversity and non timber forest resources in the CFR's inventoried</p> <p>Mechanisms sought to provide incentives for conserving the forests;</p> <p>Output D3 Incentives for sustainable use of forest resources explored and promoted, specifically development of a problem animal control strategy (D3.3)</p> <p>Output C3 Conservation and management of forest resources in the northern corridor enhanced through awareness, conservation education and information dissemination – this will include promoting awareness of values and incentives.</p> <p>Promotion of land use planning at the Albertine Rift Scale and at the local level</p> <p>Output A1 Stakeholders supported to develop a regional strategy for the Albertine Rift forest PA system through sharing lessons, data and information;</p> <p>Output C2 Local land use plans developed and implementation initiated</p> <p>Mechanisms promoted for stakeholders to work together.</p> <p>Output A2 Stakeholders supported to develop an overall regional strategy for the Albertine Rift forested PA system through sharing lessons, data and information.</p>
Encroachment	Destruction of critical forest	<u>Central management</u> of forest reserves limits district official's jurisdiction to intervene in	Central Forest Reserve management strengthened; Objective B: Support Central Forest Reserves for conservation.

<i>Pressure</i>	<i>Biological Impact</i>	<i>Root causes</i>	<i>Alternative strategy</i>
into Central Forest Reserves especially by migrants	habitat and associated loss of species	<p>management issues despite their ‘on the ground’ presence.</p> <p><u>Public participation in forest management is in its infancy</u> and not yet sufficiently recognized by the central forest department. Given limited resources of the district forest department, alienation of local communities from forest management results in a failure to capitalize on critical human resources.</p> <p><u>Inadequate enforcement of legislation:</u> District resources to enforce legislation to manage forest resources are limited.</p> <p><u>Insufficient funding:</u> funding sources are not adequate to manage the forest reserves and associated forests important for maintaining connectivity.</p>	<p>Mechanisms sought to empower communities to assist in the management of forests thereby improving management efficiency;</p> <p>Output D2: Collaborative forest management approaches promoted in CFR</p> <p>Mechanisms sought to improve management and enforcement of legislation.</p> <p>Output B2: Central Forest Reserve boundaries secured and demarcated – clear demarcation will eliminate ambiguity with regards to the area in which legislation can be enforced;</p> <p>Output B3: Incidence of illegal activities in central forest reserves reduced and brought under control – translation and simplification of ordinances and regulations, development of bye-laws and enforcement guidelines, protection patrols and increasing public awareness are activities contributing to the reduction in illegal incidences.</p> <p>Identify financial mechanisms to support forest management in long term</p> <p>Output A3: Local sustainable financing mechanisms identified/ promoted.</p>
<p>Unsustainable harvesting of forest resources; illegal pit-sawing, charcoal burning, firewood collection, mining and hunting.</p> <p>Brick making industry increases demands for fuel wood.</p>	<p>Severely degraded forest ecosystems, removal of particularly desired species e.g. mahogany disrupting the ecosystem.</p> <p>Draining of wetlands</p>	<p><u>De facto open access</u> to natural resources precludes management.</p> <p><u>Local resource users are alienated</u> from forest management.</p> <p><u>Disincentives for local management:</u> Permits and concession licenses are issued by government without prior consultation with local communities.</p> <p><u>Capacity to promote CBNRM:</u> Few institutions have the capacity to effectively support the capacity development of community-based institutional structures for natural resources management.</p> <p><u>Unclear management responsibilities and limited capacities:</u> the forest department has</p>	<p>In the alternative strategy mechanisms are sought to transfer ownership rights of natural resources to local communities to encourage management for long term sustainability and avoid a situation of open access;</p> <p>Output C4: Local authorities, communities and private land owners supported to develop Private Forest Management Plans</p> <p>Output D1: CBNRM approaches promoted for the maintenance of forest resources on private lands.</p> <p>Output D2: CFM approaches promoted in CFRs. Agencies support CBNRM;</p> <p>Output B5: Forest Management Plans for CFRS developed; B5.2 facilitate district forest officers and local environment committees to develop participatory forest management plans</p> <p>Management of the Albertine Rift forest improved by developing private forest reserves in the northern corridor and improving management of existing reserves through adequate planning and research;</p> <p>Output C4: Local authorities, communities and private land owners supported to develop Private Forest Management Plans with the aim of protecting currently ungazetted forests.</p> <p>Forest Management Plans for CFRS developed; This output will improve the</p>

<i>Pressure</i>	<i>Biological Impact</i>	<i>Root causes</i>	<i>Alternative strategy</i>
		<p>no control over ungazetted forests exposing them to misuse and overuse. There is often no coordination between districts in managing forest ecosystems that cross district boundaries; districts are responsible for managing small, local forest reserves but investment in district extension services is minimal.</p> <p><u>Awareness:</u> Very little is known about how to exploit the forest sustainably and what the limits of sustainable off take are.</p> <p><u>Insufficient livelihood alternatives:</u> forest products are critical for sustaining the livelihoods of local communities who have limited access to alternatives.</p> <p><u>Market access/enterprise development:</u> Communities have little knowledge of, or access to, markets for forest-based biodiversity products.</p>	<p>coordination and management of the CFR's by B5.1 Support and strengthen national district and local institutions to effectively develop strategic forest management plans for CFRs - strategic management plans training workshops for forest officers, rangers, environmental officers, planners and community members;</p> <p>Management orientated studies carried out and results integrated in forest management.</p> <p>Research undertaken to establish what resources exist and options for sustainable off-take and appropriate technologies;</p> <p>Output B6; Management orientated studies carried out and results integrated in forest management.</p> <p>Output C3; Conservation and management of forest resources in the northern corridor enhanced through awareness, conservation education and information dissemination.</p> <p>Output D3.1 Promote technologies for efficient harvesting and processing of forest and agro-based products; D3.2 Identify and recommend frameworks for incentives that promote conservation of forests on private land. Output A3; Monitoring and evaluation framework for the Albertine Rift PA system</p> <p>Research and promotion of livelihood alternatives;</p> <p>Output D1; CBNRM approaches promoted for the maintenance of forest resources on private lands – collect and analyse baseline data on potential community based projects, design and pilot CBNRM initiatives using participatory approaches</p>

### Annex 9: Summary of Outcomes of PDF B Activities

PDF 'B' activities	Objectives	Output and achievements
1. Inception workshop was held in Mbarara 28 <sup>th</sup> -29 <sup>th</sup> January 2002	<ul style="list-style-type: none"> <li>To brief and introduce to stakeholders the objectives of the AR Conservation Project;</li> <li>To learn and understand the expectations and concerns of stakeholders .</li> <li>SWOT analysis among various institutions and stakeholders and charter the way forward for implementation.</li> </ul>	<p>The workshop made the following recommendations:</p> <ul style="list-style-type: none"> <li>Source materials on GEF funding, background reports, policy documents, management plans etc. from stakeholder institutions</li> <li>Nominate the Technical Advisory Group.</li> <li>Draft ToRs for consultancies and surveys. Search for Consultancies and surveys.</li> <li>Supervise field surveys, execution of consultancies and report writing.</li> <li>Organise Vision and Strategy workshop</li> </ul>
2. Technical Advisory Group (TAG) Activities	The first TAG meeting in Jinja held in April 2002 to identify the consultancy topics and develop the terms of reference for each study.	Institutions Policies and legislations that affect natural resources management; Social economic studies and analysis of impacts on biodiversity in the Albertine Rift Project area; Extent and status of the forests in the Albertine Rift and Natural resources initiatives in the Albertine Rift area and lessons learnt from the previous initiatives and interventions..
3. Consultancy studies undertaken	<ul style="list-style-type: none"> <li>Undertake Institutions and Stakeholder identification and analysis</li> <li>Existing and emerging local, national, policies and legislations analysis</li> <li>Undertake Land Use/ Resource use analysis</li> <li><i>Analyze populations and settlements patterns around key Forest Reserves.</i></li> <li>Point out impacts of bio-diversity conservation practices on people</li> <li>Define Extent and status of the Forests in AR</li> <li>List and rank the threats to the ecosystem and propose solutions to avert these threats for inclusion in the project document</li> <li>Identify past, ongoing and planned Natural Resources initiatives in the AR and describe their priority area of operations including funding sources and projections over 2-5 yrs</li> <li>Lessons learnt: (<i>What works and does not work plus what the project can build on</i>)</li> </ul> <p>Pay particular attention to emerging issues, gaps and required actions</p>	<p><b>Key recommendations from Institutions and policy study:</b> Uganda has sufficient policies and legislations to safeguard environmental management in the country. Guidelines for the implementation of the policies and the laws are lacking. Incentives for the conservation of forests on private land are lacking or inadequate. The Land Act (1998) does not sufficiently protect ecologically sensitive areas outside protected areas. Weak coordination and networking exist among the institutions in planning and management of natural resources. Operational linkages between local governments, central government and other stakeholders are not so strong. Government institutions in the Albertine Rift Valley lack capacity to implement conservation policies and laws. Political interferences over ride most decision-making and donor funded projects are limited and for short periods.</p> <p>Key recommendations from the Socio Economic Study: Improve agricultural practices and marketing strategies by implementing plan for modernization of agricultural (PMA). Strengthen the forest department policy of leasing grassland areas of forest reserves for woodlot and plantation development. Expand area of coverage under collaborative forest management. Strengthen community development projects. Initiate and promote forest based community enterprises such as bee keeping, wildlife farming (butterflies, mushroom, guinea fowls etc) build capacity for the centre, Districts and sub-county local governments to effectively undertake implementation of the government policy on PMA, NAADS etc. Take up many initiatives to improve forest management for sustainable development</p> <p>Key recommendations from the extent and status of the forests study: identified key threats to forests and elaborated on potential strategies for addressing. The direct threats include hunting for bush meat, illegal harvesting of timber, charcoal burning, encroachment for farmland and mining. The indirect threats were political pressure to degazette forestland, Human animal conflicts, reduction in forestry staff and fires. The study also brought forth criteria for site selection for the project area and recommended the corridor and</p>

		conservation of larger landscape as the best two.
4.Third TAG meeting held in May 2002	To discuss consultancies reports and plan for the Vision and Strategy workshop	<ul style="list-style-type: none"> <li>• Three studies were presented and comments from TAG incorporated in the reports.</li> <li>• The objectives, outputs, dates and venue for the Vision workshop were agreed upon.</li> </ul>
5. Vision and Strategy workshop held in Jinja 20 <sup>th</sup> – 21 <sup>st</sup> June 2002	<ul style="list-style-type: none"> <li>◆ Develop Vision, Goal, Purpose, Objectives</li> <li>◆ Develop Strategies to achieve objectives</li> <li>◆ Develop Actions and action plans to be implemented under each strategy</li> <li>◆ Develop M&amp;E framework, and the next steps.</li> </ul>	<ul style="list-style-type: none"> <li>• Project Vision, Goal and Purpose defined, and Agreed project sites</li> <li>• Strategies and broad Action Plans developed and agreed next steps</li> <li>• Recommendation for more district and sub county consultation</li> <li>• Recommendation for more consultation with key stakeholders</li> <li>• Recommendation for study on forest on private lands in Kyenjojo and Kibaale districts</li> </ul>
6. District and sub county level consultation on the Albertine Rift project Strategy	<ul style="list-style-type: none"> <li>• To make a wider stakeholder consultation on the Albertine Rift project strategy developed</li> <li>• To ensure grass root participation in the project development</li> <li>• To consult donors and other stakeholders on baseline and co-funding for AR</li> </ul>	<ul style="list-style-type: none"> <li>• Total of 40 sub county meetings and 8 district level consultation meetings were conducted and four district consultation reports produced and presented in the Third national consensus workshop in Hoima.</li> <li>• The baseline and co-funding matrices were developed for the Local governments of the four districts and the EU forestry project respectively.</li> </ul>
7.Contract to faculty of Forestry and Nature Conservation to undertake strategic forest planning for FD staff	<ul style="list-style-type: none"> <li>• To articulate the strategic Forest Management Plan (SFMP) process to the forest department staff and local government staff to prepare the implementation of the AR Rift project.</li> <li>• To impart skills to enable trainees to adapt SFMP process/tools to varying situations</li> <li>• To build capacity for the process of SFMP</li> </ul>	<ul style="list-style-type: none"> <li>• Total of 21 Officers drawn from the forest department headquarters and districts benefited from the four weeks training. The training was jointly financed by the PDF B Albertine rift project and the EU forest project and conducted by Makerere University Faculty of Nature Conservation and Forestry. This was in itself a clear demonstration of coordination and complementarity between the two projects.</li> </ul>
8.Consultancy on forest on private lands	<ul style="list-style-type: none"> <li>• <i>Elaborate on the effect land tenure systems on forest on private lands and</i></li> <li>• <i>Describe key issues of concern in relation to forests on private land with reference to land use rights and resource utilisation.</i></li> <li>• Undertake an analysis of legislation and policies with specific reference to forest on private land</li> </ul>	<p><b>Recommendations from the socio economic analysis of private forest.</b></p> <p>There are four categories of land tenure systems and each has negative effects on the conservation of forest on private land.</p> <ul style="list-style-type: none"> <li>• Land access/holding patterns was by inheritance, care-taking, freehold titles, purchase.</li> <li>• The communities value forests for socio economic benefits, and environmental services</li> <li>• Agriculture has negative impact on forest conservation and was identified as a major threat to conservation of forests on private land</li> <li>• The causes of natural forest fragmentation (loss of connectivity) include land subdivision and distribution through inheritance, migration and natural population increase.</li> </ul>
9. Third national workshop Hoima Oct2002	Develop log-frame to define Objectives, Results and Activities, and M & E, & implementation	<ul style="list-style-type: none"> <li>• A workshop report was produced with all the objectives of the workshop achieved. This paved way to the beginning of the project brief writing.</li> </ul>
10. Project Brief writing	Produce a proposal for the GEF project	Project brief produced and submitted to GOU

## **Annex 10 Stakeholder Involvement in Project Development**

The project development phase started with a stakeholder inception workshop held in Mbarara Town from 28<sup>th</sup> to 29<sup>th</sup> January 2002 followed by the Vision and strategy and finally the Hoima workshops as major stakeholder consultations held in Jinja and Hoima respectively as summarized in Annex 5 . The overall goal of the inception workshop was to initiate the formulation process of UNDP/GEF five-year full project proposal for the Albertine Rift and establish links with other projects in the area.

Specific objectives were:

- To introduce and brief the stakeholders on the GEF PDF B Albertine Rift Forest Conservation project its objectives, outputs and tasks.
- To learn stakeholders expectations and understand their interests and concerns regarding conservation work in the Albertine Rift region;
- To identify strengths, weaknesses, opportunities and threats among the stakeholders.

The PDF B should gather and compile available information on:

- On-going initiatives
- Biodiversity surveys
- Resource utilization
- Threat analysis
- Socio-economic information (gender)
- Existing policy analysis
- Review of lessons learnt and experiences around the world
- Organize the Vision and Strategy workshop(s) and
- Develop the project brief

A series of informal and formal short meetings between the project and various stakeholders followed the inception workshop. Most of the meetings were between the forest Department and the Forest secretariat offices. Notably two TAG meetings were held in April and May 2002. These meetings gave directions for the planning of the four consultancies studies including drafting their terms of references. The studies were also conducted through participatory methodologies by consultations with stakeholders at national, districts and sub county levels.

On completion of fieldwork and draft reports by the consultants the Vision and Strategy Workshop was organized. The workshop was held in Jinja from 20<sup>th</sup> to 21<sup>st</sup> June 2002. The objectives were :

- Develop the Vision, Goal and Purpose of the Project.
- Select project field sites
- Develop strategies for achieving the validated objectives.
- Develop broad actions and action plans.
- Develop Monitoring and Evaluation framework.
- Define the next steps

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The composition of the workshop participants remained as for the Mbarara Inception workshop. The workshop objectives were ambitious and could not all be met in the two and half days however the first three objectives were fully covered. The workshop output were the followings:

1. Project Vision, Goal and Purpose
2. Agreed project sites
3. Identified major conservation issues, elaboration on root causes and strategies.
4. Consultation be sought with donors operating in the AR area to prepare co funding.
5. That the project development workshop be held at district level to discuss all the findings and develop a log-frame for the project.



6. That the studies conducted will be synthesized into one document, and used to sharpen the underlying causes and strategies for inclusion in the Project Document
1. The time framework for the activities ahead aimed at submitting the Project Document to Ministry of Finance and Economic Development (MoFEP) by September 2002. But if there is an extension for a maximum of two months, this may be sufficient to compensate for the time lost due to the delays in start up of the planning process. For that matter, the latest time for submission of the Project Document would be November 2002.
    - The final National Consensus Workshop popularity known as the Hoima workshop was held on the 30<sup>th</sup> October to 1<sup>st</sup> of November in Hoima town. Key participants were from the districts and sub-counties of the project sites, and the national level stakeholders remained as for the Jinja workshop. The objectives of the workshop was to:
      - Confirm the project Goal and purpose defined in the Jinja workshop
      - Carry out a situation analysis of the conservation issues of the forests in the Albertine rift (Kyenjojo, Kibale, Hoima and Masindi Districts)
      - Develop log-frame for the ARFCS that defines Objectives, Outputs/ Activities, indicators, and means of verification, risks and assumptions.
      - Develop a broad Monitoring and Evaluation framework
      - Develop framework for implementation modalities.

The workshop objectives were satisfactorily achieved with the exception of the formulation of the monitoring and evaluation framework. The following additional commitment for consultations was arrived at the closing of the workshop.

- WWF shall support the process of project proposal development until completion
- Workshop views and expectations will be considered in project brief documentation
- Stakeholders will be continuously updated on the Project development progress
- The Project leader will volunteer if invited to pay visit to Kibale district and work with the DFO and DEO to explain the issues of forests on private land.

**Public Participation mechanisms and Participation principles:** The process of stakeholder participation in the GEF Albertine Rift Project is guided by a clear set of principles: are:

<b>Principle</b>	<b>Stakeholder participation will:</b>
Value Adding	be an essential means of adding value to the Albertine Rift Project
Inclusivity	include all relevant stakeholders
Accessibility/Access	be accessible and promote access to the process
Transparency	be based on transparency and fair access to information
Fairness	ensure that all stakeholders are treated in a fair and unbiased way
Accountability	be based on a commitment to accountability by all stakeholders
Constructive	seek to manage conflict and promote the public interest
Redressing	seek to redress inequity and injustice
Capacitating	seek to develop the capacity of all stakeholders
Needs Based	be based on the needs of all stakeholders
Flexible	be flexibly designed and implemented
Rational & Coordinated	be rationally planned and co-ordinated, and not be <i>ad hoc</i>
Excellence	be subject to ongoing reflection and improvement

**Summary of stakeholder analysis, interests, potential impacts and influence on the project**

<b>Stakeholders</b>	<b>Interests in Project</b>	<b>Influence on Project</b>	<b>Impact of Project</b>	<b>Mitigation of Impact</b>
<u>Statutory Conservation Agencies</u> UWA, UFA, NEMA	Project directly promotes corporate mission	Direct responsibility for key project components Participation in Oversight Committee	Project will intensify activity  Project will draw on technical and human resources	Provide support in the form of financial resources, additional human resource capacity and training
International Agency, eg UNDP & Donors.	Provision of project funds Project directly promotes mission	Direct responsibility for key project components Participation in Oversight Committee	Project will impose administrative responsibility	Accommodate within existing administrative resources
<u>Government Bodies:</u> National Govt. Ministry Water Land & Environment  Local Government	Project directly aligns with, and promotes policy at all levels; Project creates opportunities for integrated action on key government policy initiatives, such as the CBNRM.	Decision making powers vest in Government on a range of matters;  Existing law and policy will act as a legal framework for project activities	Project will impose administrative responsibility  Government bodies will need to ensure alignment with policy. Project will impact on human and financial resources	Focus involvement on key activities. Dedicate personnel to monitoring and liaising with Initiative Identify and source necessary funds for involvement
<u>Conservation NGOs:</u> WWF WCS IUCN ARCOS	Project contributes to biodiversity promotion objectives Project provides funds for ongoing activities Project allows for organizations to play core role in major initiative	WWF with direct involvement in key project outputs A2, B4, C3, C5, D1, D2. WCS has responsibility for project Outputs A3, B1, C1 and participation in Oversight Committee. ARCOS will collaborate with government bodies to implement A1.	Project will impose on capacity of organizations to deliver efficient and effective service. Project will impose administrative responsibility Project will impact on human and financial resources	Identify capacity building needs. Identify and implement action to build capacity Identify and source financial and other resources required for participation
<u>Private Land Owners</u> Land owners' associations. Bunyoro Kitara Cultural Association	Project focus on core conservation management concerns. Project will provide support to conservation activities	Participation in key project components 1 & 2 Participation in Oversight Committee	Project will impose on organizational capacity Project will impose administrative responsibility Project will impact on human and financial resources	Identify capacity building needs. Identify and implement action to build capacity. Identify and source financial and other resources required for participation
Kinyara Sugar Corporation)	Project will promote Natural forest conservation activities	Group may lobby to protect its interests if threatened by the	Project will detract from basis of group's economic	Activities are designed to establish and maintain good

<b>Stakeholders</b>	<b>Interests in Project</b>	<b>Influence on Project</b>	<b>Impact of Project</b>	<b>Mitigation of Impact</b>
	that will stop sugar plantation raids by vermin and make available redundant land for sugar estate expansion	project. Group should be directly involved in process of developing strategies and implementation	activity which is sugar cane. Cultivation	lines of communication with this group. Involve group in all relevant strategy development activities.
Tobacco Farmers British American Tobacco company	A small emerging group of farmers are converting existing natural forestland to agricultural land uses.  Project aims to promote natural land uses	Group may lobby to protect its interests if threatened by the project. Group should be directly involved in process of developing strategies and implementation	Project will detract from basis of group's economic activity	Activities are designed to establish and maintain good lines of communication with this group. Involve group in all relevant strategy development activities. Attempt to involve group in integrated land management activities
Rwenzori Highland tea company	Project to provide incentives for commercial tree plantation for the provision of industrial fuel wood	Group may lobby to protect its interests if threatened by the project. Group should be directly involved in process of developing strategies and implementation	Project will detract from basis of group's economic activity	Activities are designed to establish and maintain good communication. Involve group in all relevant development activities. Attempt to involve group in integrated land management activities
Hoima Pitsawers Association	Project to streamline access rights to the indigenous and local community groups in timber harvesting	Group may lobby to protect its interests if threatened by the project. Group to be involved in process of developing strategies and implementation	Project will detract from basis of group's economic activity	Activities are designed to establish and maintain good lines of communication with this group. Involve group in all relevant strategy activities.
<b>CBO / NGO:</b> Budongo forest Community Development Organisation	Project to support them to continue with sustainable natural resource management activities. Education and awareness can be raised	BUCODO to be directly supported to undertake community mobilization and conservation education campaigns	Project will impose on capacity of organizations to deliver efficient and effective service	Identify capacity building needs. Identify and implement action to build capacity. Identify needs required for participation. Establish level of involvement.
Local community forest user groups	The activities of illegal gatherers of NTFP will be threatened by the project. These group to be supported by the project for recognition, rights and training.	This group is informal, unorganized and largely based in marginalized and poor communities. The project will give formality.	The group's activities shall be supported by the project and incorporated in the collaborative agreement arrangements	The group should be reached out to through making direct contact. Members of the group will be targeted for involvement in conservation, harvesting and CFM process.

**The challenges** in stakeholder participation are:

- The PDF B process through consultancy studies and national consensus workshops consistently identified lack of technical capacity among stakeholders to manage the Albertine rift protected area system as one of the major threats to sustainable utilization of the Albertine Rift forest resources.
- Inadequate human capacity both in skills and numbers were identified as one of the constraints in the management of the Albertine rift resources
- Local governments and communities do not have capacity to make decisions over natural resources management issues including distribution of forest benefits and revenues. Their rights have overtime been over shadowed by the centralized authority
- There is need to improve the capacities of the local governments and central to integrate and mainstream conservation and environmental protection initiatives in their local development plans and prioritise their funding.
- The PBF B process pointed out the fact that Government institutions in the Albertine Rift Valley lack capacity to interpret implement conservation policies and laws.
- Lack of capacity by the hosts institutions in natural resources management to network and complement each other was identified during the PDF B as the major cause of weak institutional structural linkages and this at times have resulted in conflicts among stakeholders over implementation of conservation programmes.

**Participation mechanisms:** The project will provide the following opportunities for participation

Capacity building through training and staff development for both government (central and local) staff and in communities in order to effectively implement and oversee the numerous and complex tasks of biodiversity conservation. Focal capacity building will be in: training in forest resource management planning, development of environmental management plans, conflict resolution skills, participatory resources management techniques and Collaborative management

Raising awareness of stakeholders of conservation needs and of opportunities to participate in and/or support project activities. Proactive engagement of the local governments, CBOs and NGOs to advocate and execute their rights, roles and responsibilities over the natural resources under their jurisdictions.

Decision-making, through establishment of national and site specific Project steering Committees, Conservation Management Forum and any other environmental management Committees at the project sites.

Decision-making: Where new structures and policies come by during the project implementation, great care will be taken to ensure that all participants agree to the ground rules for them. Consideration will be given to three sets of ground rules: (i) substantive ground rules that will establish the issues to be considered by the relevant forum or structure; (ii) procedural ground rules that will guide the operation of the forum or structure, such as meeting procedure, frequency of meetings, quorums, chairing, record keeping, decision-making and the like; and (iii) behavioural ground rules that will guide the behavior of participants within each of the fora or structures.

Where new structures or forums will be established, the necessary support for their successful operation will be given by the project. This will include support in the facilitation of the forums proceedings. In some cases the structures will be of a temporary nature. In these cases the terms of reference for the forum will be clearly established and once fulfilled the forum will be disbanded. In cases, structures will assume a permanent nature. Examples of these include the Environmental planning committee. In these cases the process will be designed to consider the sustainability and ongoing effectiveness of these bodies. All relevant existing structures and fora in the area will be evaluated for possible involvement. Capacity Building – A comprehensive capacity building program has been designed and will be implemented during the lifetime of the project with an emphasis on technical and institutional development of the civil societies and the local governments. Skill development - will be directly addressed as an aspect of the economic development and conservation intervention components of the project.

**ANNEX 11 Lessons learned from similar projects.**

The AR Project has incorporated the emerging lessons learned from a number of relevant GEF and non-GEF projects; the regional project “Reducing Biodiversity Loss at Cross-Border Sites in East Africa”; World Bank PAMSU and GTZ Projects in UWA, as well as other donor projects. Examples of lessons learned from these projects are:

<b>Lessons from Biodiversity Projects in East Africa</b>	<b>Design Feature</b>
Biodiversity operations should be integrated in national development strategies to ensure sustainability	The project directly contributes to objectives within the National Forest Policy, National Reports to the CBD, NEAP, Forestry Nature Conservation Master Plan and NBSAP. The project will broaden this focus to address agricultural and land-use policy.
Biodiversity operations should be integrated in district / LC3 development strategies to ensure sustainability	The project will work directly with
Several Partnership NGOs – CBOs focus on people resource base (fuel, water, soil etc). Biodiversity is rarely addressed specifically, although forest protection is a common theme. Many international NGOs have activities in the country, several with rural development programmes.	The project strategic design is to involve all stakeholders with comparative advantages in the implementation of components of the project. This will be through contractual agreements supervised by Government and WWF.
High levels of stakeholder participation are necessary at all project stages	Stakeholder consultations featured strongly in project preparation in order to understand multiple interests, concerns and roles, and continues.
Alternative livelihood strategies have been an important entry point for ensuring the collaboration of local communities but are not an in themselves. Other incentives need to be explored to ensure full community ‘buy in’.	Objective D focuses on strengthening the linkages between forest conservation and sustainable livelihoods.
Strengthening local level institutions is key to sustainability of interventions. Local institutions such as Local Environment Committees need capacity building to be able to effectively implement conservation activities.	Objective C focuses on building the capacity of local institutions to manage forests in the northern corridor.
A good monitoring and evaluation system is a prerequisite for a well-designed project. The monitoring tool must be simple, easy to use and repeatable throughout the projects lifetime.	Output A3 will focus specifically on developing an Monitoring and Evaluation framework which will take account of previous experiences.
Project site offices should be located in the field	This is built into implementation design.
Project activities should be guided by the strategic plan of the lead institution and must follow policies, guidelines and regulations of the lead institution if those activities are to be sustained. Project implementation units should be small and focused on technical and administrative functions.	Project design has taken these issues into account. It will operate under the Ministry while addressing the issues in the National Forest Plan and Nature Conservation Master Plan. It will work within the line management structure of the National Forestry Authority and the decentralized local government forestry service. The project implementation unit will be small, contracted to a credible institution and supervised by the Forest Inspectorate of the MWLE.
Project supported activities can become sustainable if they are owned by the host institutions.	Stakeholders have been involved in the design and development process of this project.

## Annex 12 Monitoring and evaluation Framework

A Project specific monitoring and evaluation program will be developed and implemented in the first six months of the project launch. Activities will include developing a structured work plan and reporting formats, defining and refining performance indicators, adopting a standard methodology for data collection and analysis, and supporting capacity building in monitoring and evaluation. An independent mid-term and final evaluation will be conducted, with broad dissemination of findings and lessons learned. Detailed performance benchmarks are already defined and included in the monitoring matrix below

Project Theme	Impact on Biodiversity	Impact on Pressures	Impact on Response Measures
<b>Overall Purpose</b>	Populations of Chimpanzees in the northern corridor of the Albertine Rift remain stable or are increasing by Year 5, compared to 2003 baseline census	Total human impact (number of human signs per kilometer of survey) decrease by 50% in the northern rift by year 5 (baseline WCS surveys of 2003) [hunting; timber; charcoal, mining]	Annual application of WB/WWF "tracking tool" shows increased scores throughout life of the project
	No Endangered species (IUCN criteria) disappear from the northern corridor during the lifetime of the project Baseline: species lists of Biodiversity Project of WCS.	Encroachment for farmland in the Central Forest Reserves of northern Rift reduced by 25% by year 5	
	No species endemic to Albertine Rift disappear from the northern corridor during the lifetime of the project (baseline above)	Bi-annual assessment using Threat Reduction Analysis shows positive trend throughout the lifetime of the project	
	Satellite imagery indicates no significant decrease (less than 0.5% per year, from baseline of 2003) in Montane Forest blocks in the Albertine Rift of Uganda by year 5 (baseline: PDF-B study)		
	Satellite imagery indicates maintenance of integrity of the forest corridor in the northern part of the Albertine Rift by year 5		
	Satellite imagery and ground truthing indicate maintenance of integrity of Central Forest Reserves in the northern part of the Albertine Rift by year 5		
	Incidence of wildlife by surveys remains the same or increases in the Central Forest Reserves. (baseline: 2003 WCS studies)		
	125,000ha of forest protected area under improved management by year 3, and 250,000 ha by end of project (EOP).		

<b>1. Improved resource management outcomes</b>			
<b>Improvement of protected area management system, and the establishment of sustainable management systems</b>		Area of new encroachment within the Central Forest Reserves of northern rift declines to zero by year 3. The number / incidence of illegal activities within Central Forest Reserves of the northern Rift decrease by 20% by year 5. The Number / incidence of illegal activities within Central Forest Reserves of the northern Rift decrease by 20% by year 5 At least 10 incidences of inter-district cooperation	At least 40% of boundaries of CFRs in northern Rift clearly demarcated. Area of Northern Albertine Rift under conservation management is increased by 20%. At least 50% of Central Forest Reserves of Northern Rift have an operational Management Plan by year 4. At least 3 local Land use plans under implementation by year 4
<b>Establishment of community management</b>		Timber harvesting and charcoal making by surrounding communities decrease by at least 20% by end of project in northern rift	At least 3 participatory forest management plans developed and under implementation by year 5 At least 6 community groups involved in land use plans At least 2 forest management agreements between CFRs and communities are being implemented by year 5
<b>Effective enforcement</b>	Incidences of wildlife using the corridor remains stable or increase by year 5	Number of infractions reported by FA in CFRs decrease by at least 20% by EOP	Forest guards perform at least 80 patrols per year by end of project in each CFRs of Northern Rift
<b>2. Economic and financial outcomes</b>			
<b>Alternative livelihood</b>		Surveys indicate decrease by at least 20% of dependence by local communities of forest resources of CFRs in northern rift	At least 5 alternative livelihood initiatives in place by the end of the project. And at least 5 community groups participating in CFM by year 5
<b>Sustainable financing and financial instruments</b>			At least 3 new funding opportunities for local sustainable management of northern rift forests initiatives identified by year 4, and external funding secured for 5 micro-projects secured by year 5
<b>Engagement of private sector in conservation goals</b>		Decrease by at least 20% of logging activities for commercial purpose in CFRs	At least 3 best practice technologies piloted by year 5 Framework for incentives that promote conservation of forests on private lands developed and implemented by year 5, problem animal control strategy developed and under implementation by year 4

<b>3. Capacity development outcomes</b>			
<b>Mobilization of communities for conservation.</b>			At least 30 members of surrounding communities trained to participate in biodiversity inventories
<b>Training and interpretation</b>			At least 30 forest officers, rangers, planners trained by yr 5
<b>Mainstreaming biodiversity in production sectors</b>			At least 3 management plans for private forest reserves in the northern rift developed by year 3 and under implementation by year 5
<b>4. Management of information and knowledge outcomes</b>			
<b>Environmental education/ awareness building</b>		At least 50% of communities surrounding CFRs of the corridor aware of conservation value of key species and CFRs by EOP.	Integrated Conservation strategy for Albertine Rift forests of Uganda in place and 75% of surrounding districts aware of supportive
		More than 30% of the communities are aware of the value of the northern corridor for conservation purpose by EOP	
		3 community groups using sustainable approaches to manage resources by year 4	
		Annual increase in dissemination of information about conserving the corridor is demonstrated from baseline information	
<b>5. Scientific and technical outcomes</b>			
<b>Biological and socio-economic surveys</b>			M&E guidelines in place and in use by year 3 Database for biological and socio-economic indicators completed by year 3 Mapping of northern corridor completed by year 2 National biodiversity data bank incorporates inventory data for national and local use by year 3 At least 3 research projects undertaken by year 3 focusing on issues related to management of the northern corridor At least 2 pilot projects under implementation based on research projects by year 5.



**Annex 13: Outline Work Plan by Output and Key Administrative Targets**

X= Output under preparation. U= Output is in use. AD = Administrative issues

Output		Year 1				Year 2				Year 3				Year 4				Year 5				
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	
	<b>Conservation Strategy Developed</b>																					
<b>A1</b>	<b>Conservation Strategy</b>			x	x	x	x	x	x	x	x	u	u	u	u	u	u	u	u	u	u	u
<b>A2</b>	<b>Forest Nature Reserves</b>					x	x	x	x	x	x	x	x	x	x	x	x	x	u	u	u	u
<b>A3</b>	<b>Sustainable Financing</b>				x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	u	u
<b>A4</b>	<b>Monitoring and Evaluation</b>			x	x	x	x	x	x	x	x	x	x	x	x	x	u	u	u	u	u	u
<b>B</b>	<b>Central Forest Reserves</b>																					
<b>B1</b>	<b>Biodiversity &amp; Non Timber Resources</b>					x	x	x	x	x	x	x	x	x	x	x	u	u	u	u	u	u
<b>B2</b>	<b>Central Forest Reserves secured</b>				x	x	x	x	x	x	x	x	x	x	x	x	x	u	u	u	u	U
<b>B3</b>	<b>Illegal Activities in CFR</b>			x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
<b>B4</b>	<b>Forest Management Plans</b>						x	x	x	x	x	x	x	x	x	x	x	u	u	u	u	u
<b>C</b>	<b>Forest Connectivity</b>																					
<b>C1</b>	<b>Northern Corridor</b>					x	x	x	x	x	x	x	x	x	x	x	x	x	x	u	u	u
<b>C2</b>	<b>Promoting forest cover</b>					x	x	x	x	x	x	x	x	x	x	x	x	x	x	u	u	u
<b>C3</b>	<b>Local communities &amp; private owners</b>					x	x	x	x	x	x	x	x	x	x	x	x	x	x	u	u	u
<b>C4</b>	<b>Forest Landscape Restoration</b>							x	x	x	x	x	x	x	x	x	x	x	x	u	u	u
<b>D</b>	<b>Forest Conservation Initiatives</b>																					
<b>D1</b>	<b>Community Based Natural Resources</b>				x	x	x	x	x	x	x	x	x	x	x	x	x	u	u	u	u	u
<b>D2</b>	<b>Collaborative Forest Management</b>				x	x	x	x	x	x	x	x	x	x	x	x	x	u	u	u	u	u
<b>D3</b>	<b>Incentives for forestry promoted</b>				x	x	x	x	x	x	x	x	x	x	x	x	u	u	u	u	u	U
<b>AD</b>	<b>Staff in Place</b>	x	x																			
<b>AD</b>	<b>Infrastructure in Place</b>	x	x																			
<b>AD</b>	<b>Inception Report</b>		x																			
<b>AD</b>	<b>Mid Term/Final Evaluation</b>									x												x
<b>AD</b>	<b>Forest Tracker Tool Used</b>				x								x					x				x



**SIGNATURE PAGE**

Country: Uganda

**UNDAF Entry Point:** Catalyzing Sustainability of Protected Areas

**UNDAF Output:** Increase in area of globally important forest under effective conservation management.

**UNDAF Indicator:** End of Project Target is 250,000 ha of reserved and private forest of northern Albertine Rift Valley Forest with effective conservation management.

**Executing Agency:** Ministry of Finance Planning and Economic Development (Aid Liaison Department)

**Implementing Agencies:** Ministry of Water and Environment & WWF.

**Collaborating Partners:** Makerere University Faculty of Forestry and Nature Conservation National Forestry Authority (NFA), Wildlife Conservation Society (WCS), CSO, NGOs, CBAs and District Forest Services.

Programme Period: 2006 - 2010
Programme Component: OP 3 Forest Ecosystems
Project Title: Conservation of Biodiversity in the Albertine Rift Forests of Uganda
Project ID: PIMS 449 Atlas 00043885
Project Duration: 5 Years
Management Arrangement: NEX with UNDP support

<b>TOTAL Budget</b>	<b>\$ 11,348,189</b>
<b>Allocated GEF Resources</b>	<b>\$ 3,395,000</b>
<b>Co-Finance Resources:</b>	
Government	\$ 415,000
IFAD	\$ 2,747,000
EL	\$ 2,500,000
MacArthur	\$ 730,000
IGCP	\$ 500,000
WCS	\$ 350,000
FAO-DFID	\$ 300,000
WWF-DANIDA	\$ 408,000
<b>Total Co-Finance</b>	<b>\$ 7,953,189</b>

Agreed by (Executing Agency): D. Nwagwu  
Permanent Secretary

FOR PERMANENT SECRETARY TO THE TREASURY  
MINISTRY OF FINANCE, PLANNING & ECONOMIC DEVELOPMENT

Agreed by (PS/ST - MFPE) on behalf of Government: [Signature]

Agreed by (Implementing Agency; Ministry Water & Environment): [Signature]

Agreed by (UNDP): [Signature]

8<sup>th</sup> MAY 2007  
UNDP