

**INTEGRATED SAFEGUARDS DATA SHEET
CONCEPT STAGE**

Report No.:119834

Date ISDS Prepared/Updated: September 13, 2017

I. BASIC INFORMATION

A. Basic Project Data

Country: Republic of Uganda		Project ID: P124296	
		Additional Project ID (if any):	
Project Name: UG - FCPF REDD Readiness (Additional REDD+ Readiness Preparation Support)			
Task Team Leader: Nigel Ross Hughes			
Estimated Appraisal Date: N/A		Estimated Board Date: N/A	
Managing Unit: GEN01		Lending Instrument: Recipient Executed Activities	
Sector: Forestry (100%)			
Theme: Climate change (100%)			
FCPF Amount (US\$m.): 3.75 Other financing amounts by source: n/a			
Environmental Category: B			
Simplified Processing		Simple [X]	Repeater []
Is this a transferred project		Yes []	No [X]

B. Project Objectives:

1. The Project Development Objective is to design a socially and environmentally viable national strategy for reducing emissions from deforestation and forest degradation as compared to a reference level.

C. Project Description:

2. The grant will provide Additional Funding (AF) to the original REDD+ Readiness Preparation Support in the amount of US\$3.75 million from the Forest Carbon Partnership Facility (FCPF) to the Republic of Uganda.

3. Uganda's Request for AF was approved in 2016 by the FCPF Participants' Committee (PC), the Governing Body of the FCPF. In accordance with the PC Resolution, the World Bank, as the Delivery Partner for Uganda, conducted its due diligence in order to provide the AF.

4. Drawing on an independent mid-term evaluation of the REDD+ process in January-February 2016, Uganda self-assessed its REDD+ Readiness progress and identified the remaining technical gaps *vis-à-vis* Uganda's roadmap for REDD+ Readiness (Readiness

Preparation Proposal (R-PP)) and associated financial needs. The proposed additional activities seek to complete the REDD+ Readiness process within a two-and-a-half year period, with the Closing Date of December 31, 2019.

5. It should be noted that the activities to be financed by the FCPF in support of the REDD+ Readiness Program in Uganda do not include the implementation of REDD+ programs on the ground. The FCPF support will support analytical studies, capacity building, and consultation processes at the national and sub-national levels. It should be noted that these additional funds will not finance the on-the-ground implementation. Through the Readiness Program, the Government of Uganda (GoU) is expected to identify priority investment needs to achieve the goals of REDD+. These investment needs will be financed by public and private donors and investors and the Government itself, and not by the FCPF Readiness Grant.

Component 1: Coordination and Monitoring of REDD+ Readiness Process (\$0.525 million, all from FCPF)

1. The objective of this component is to continue supporting national level coordination and monitoring of the REDD+ process. This support builds on structures and processes of the current REDD processes involving the REDD Secretariat and national REDD+ coordination, supervision and stakeholder participation. Uganda also intends to prepare its Readiness Package (R-Package)¹ for submission to the FCPF PC in early 2018.

2. The FCPF grant will support goods, workshops, training, services, and operational costs for the following:

- *Provision of Technical Support to the REDD+ Secretariat.* This will include support from a part-time Lead Technical Advisor, a full time Communications/Projects Officer (who will also be responsible for coordinating stakeholder engagement), and inputs from an International Consultant to provide targeted advise on design options for Emissions Reductions (ER) Program, including specific support on safeguards. This support will provide inputs and guidance to all aspects of the national REDD+ program.
- REDD+ Secretariat office and operational costs (including vehicle running costs).
- REDD+ representation in regional/international meetings and a South-South exchange event for learning and sharing experiences and lessons on REDD+ (potentially with Ghana as a country with the much-advanced REDD+ agenda).
- National level supervisions / coordination and harmonization processes (meetings of NCCAC, REDD+ Technical Committee, task forces, etc.);
- Preparation of the R-Package; and
- Revisions and update of the M&E Framework for REDD+ to include gender-related indicators (it is expected that this work will be led by the REDD+ Secretariat and the

¹ The Readiness Package (R-Package) is completed at the end of the readiness preparation phase, at a stage when activities proposed in the R-PP are well-advanced or completed. The R-Package consists of a national multi-stakeholder self-assessment by the country, using the Readiness Package Assessment Framework as guidelines. The Readiness Package Assessment Framework was formally endorsed (resolution PC/14/2013/1) by the FCPF PC at the 14th PC Meeting, March 19-21, 2013, Washington, DC.

validation workshop for these updates will be combined with a self-assessment workshop for the R-Package).

Component 2: Stakeholder Engagement and Feedback in Readiness Process (\$0.1 million, all from FCPF)

3. The objective of this component is to support broad stakeholder engagement – with a particular focus on implementation of the Uganda REDD+ gender strategy. The support aims to implement key actions as identified in the Uganda REDD+ Gender Strategy (to be further reviewed prior to implementation) and foster gender integration in national REDD+ processes. The strategy recognizes that any future REDD+ investments will need to explicitly acknowledge existence of gender-specific issues in any proposed future REDD+ investments and take appropriate steps to ensure that gender issues are addressed and integrated in a comprehensive manner.

4. It should be noted that stakeholder engagement is an integral element of the REDD+ process in Uganda and, as such, each activity supported by the FCPF grant will also integrate involvement of relevant stakeholders.

5. The FCPF grant will support goods, workshops, training, services, and operational costs to:

- Support implementation of key priority activities as identified in the Uganda REDD+ Gender Strategy; and
- Support capacity building and engagement of indigenous peoples in the Albertine region (which is considered as a possible jurisdiction for REDD+ implementation). This will enable their meaningful engagement in REDD+ and their informed participation. The support will be specifically targeted in one of the areas where the Government of Uganda is considering targeting its future ER Programs. Training will build on extensive previous programs that have sensitized communities for possible future REDD+ programs and will be designed to deepen capacity for engagement in future ER program design and to further develop and pilot training inputs for future use by the Government of Uganda. The specific groups to be targeted will be selected once the AF is approved.

Component 3: REDD+ Strategy and SESA (\$0.3 million, all from FCPF)

6. The objective of this component is to continue supporting the National REDD+ Strategy process and environmental and social elements of it. The initial design of Uganda's National REDD+ Strategy and Implementation Plan and Strategic Environmental and Social Assessment (SESA) and ESMF was completed June 2017. As noted above, the National REDD+ Strategy is a living document and it is important that the lessons from the ongoing global, national and sub-national REDD+ processes (including experience elsewhere in developing ER Programs) feed into the REDD+ Strategy and the safeguards instruments.

7. Parties to the UNFCCC have agreed that seven safeguards should be promoted and supported when undertaking REDD+ activities. These safeguards were agreed at the UNFCCC Conference of Parties (COP) in Cancun in December 2010 and are known as the 'Cancun safeguards.' To help Uganda comply with this agreement, this component will also support

development of the Safeguards Information System for Uganda REDD+ as an integral component of the REDD+ strategy.

8. The FCPF grant will support goods, workshops, training, services, and operational costs for:

- Revising and updating key Readiness documents (Uganda's REDD+ Strategy and Implementation Plan (as informed by the SESA report and review by the World Bank); finalizing safeguards instruments), and
- The design and establishment of the Safeguards Information System (based on the roadmap earlier developed with support from the Austrian Development Cooperation)

Component 4: REDD+ Implementation Framework (ER Programs) (\$0.95 million, all from FCPF)

9. By end of June 2017, Uganda 's REDD+ Strategy and Implementation Plan will define various strategies and country-appropriate options for reducing emissions from deforestation and forest degradation, sustainable forest management, and enhancement of carbon stock. The National REDD+ Strategy proposes that sub-national ER Programs be pursued as different approaches would be required for tackling deforestation and degradation in different parts of the country.

10. The objective of this component is to support the development of design options for ER Programs nested in the National REDD+ Strategy. In this regard, the FCPF grant will support design of two or three landscape level ER-Program options for selected landscapes. These are likely to focus on the Albertine Rift and Mt. Elgon ecosystems. These landscapes are also target areas for the proposed landscape operations under the FIP and PPCR. The fully developed ER Program packages will include complete documentation covering implementation, financing, and safeguards aspects.

11. The FCPF grant will support goods, workshops, travel, training, services, and operational costs to identify options and put in place outline designs for two such ER Programs.

12. Uganda does not have a committed buyer for the ERs under these potential ER Programs – thus, development of short idea notes to define design options will be a first step, followed by the development of outline designs. The Government of Uganda will then be able to use these to gauge interest from potential investors and buyers (including under the emerging REDD+ financing window of the Green Climate Fund).

Component 5: National Reference Scenario and Inventory of Forest Resources (\$1.4 million, all from FCPF)

13. The ongoing REDD+ preparation grant supported the development of the first reference scenario (Forest Reference Emissions Level (FREL)). Uganda made its first submission of its national FREL to UNFCCC in January 2017 and will submit revisions based on updates and improvements going forwards. The FREL provides an important part of the National Forest

Monitoring System² (NFMS), initial design of which is currently under development with support from the UN REDD Programme (under activities undertaken by the FAO).

14. The objective of this component is to refine the National Reference Scenario / FREL – most notably by undertaking analysis to better determine forest degradation levels as well as establish and institutionalize the NFMS as approved by the national REDD+ structures. It is expected that the FAO will be engaged to support the GoU in the implementation of activities under this component, under a Technical Assistance framework agreement (this mechanism has operated effectively under the original grant).

15. A first round of grant support from ADC and technical inputs from FAO succeeded in putting in place a robust platform for the NFMS and its Monitoring, Reporting and Verification (MRV) functions. Further support is now required to expand geographical coverage and to generate the additional data to enable Uganda's MRV system to deliver to UNFCCC Tier 2 reporting level.

16. The FCPF grant will support goods, workshops, training, services, and operational costs to:

- Improve estimations of emissions from forest degradation. These are currently poorly understood and yet could comprise one of the largest sources of national GHG emissions. Uganda is currently considering the use of RADAR technology, although other options will be explored (including a system piloted by Ghana which is reportedly less costly to operate).
- Implement the 2018 National Forest Inventory to update forest inventory and quantify biomass and stock estimates for trees outside “forests”. This work will include updating the database of inventory data and training the National Forestry Authority (NFA) and the Uganda Wildlife Authority staff (and others) in forest inventory and data analysis. Inventory work will be at the national level but with a particular focus on the landscapes / areas proposed for the ER-Programs. It is expected that the National Forest Inventory work will be undertaken by the NFA through a Memorandum of Understanding with the FSSD.
- Institutionalize the MRV system and its deployment at regional/zonal level – as per the approved design.
- A specific activity will pilot community-led monitoring and integrating community-based data into national MRV systems. This will include ground truthing of forest inventory

² Uganda's NFMS is intended to meet all the Measurement, Reporting and Verification (MRV) functions. The three technical pillars or building blocks of the NFMS that are essential to support its MRV function are as follows:

- Pillar 1: A Satellite Land Monitoring System to collect and assess, over time, the Activity Data related to forest land. The ultimate goal is to institutionalize this function which will have to be budgeted and supported by GoU core budget. This will still require time in order for the system to be fully functional and effective.
- Pillar 2: National Forest Inventory (NFI) to collect information on forest carbon stocks and changes, relevant for estimating emissions and removals and to provide emissions factors (EF – Emission Factors) – normally NFI is a continuous exercise which should be repeated regularly (with a minimum standard frequency of every 5 yrs). GoU has already institutionalized this function, but resources remain the biggest constraint.
- Pillar 3: A national GHG Inventory as a tool for reporting on anthropogenic forest-related GHG emissions by sources and removals by sinks to the UNFCCC Secretariat (Emissions in figure 3) – the National GHG inventory is maintained by the CCD at the MoWE; however, forestry related data is collected and reported by the NFA.

land cover changes. It will explore existing community monitoring practices in Uganda, and how these could be beneficial in support of forest co-management, monitoring, benefit sharing and the design of landscape programs.

D. Project location and salient physical characteristics relevant to the safeguard analysis (if known):

6. The grant financed activities are limited to analytical studies and consultation processes at the national and sub-national levels and do not include investment activities. The AF grant will provide particular focus of support to advancing the Uganda REDD+ gender strategy and building capacity of indigenous groups and forest dependent communities to engage in the design of future REDD+ intervention plans.

7. It is envisaged that the ER Programs, to be outlined with the AF support, will focus on the Albertine and Mt. Elgon landscapes. The Batwa, and Benet indigenous forest dependent communities occupy some of the targeted forest ecosystems of in the Albertine region and Mount Elgon.

8. The Albertine region has wide habitat diversity within its dense network of national parks, wildlife reserves, and forest reserves (natural forests). It is one of the most biodiverse regions on the continent. It is home to more than half of Africa's bird species, 40 percent of Africa's mammal species, and about 20 percent of its amphibian and plant species. It also conserves more threatened and endemic species than any other region of Africa, and as a result is recognized globally as a Biodiversity Hotspot, a Global 200 Ecoregion and an Endemic Bird Area.

The Batwa are indigenous to south-western Uganda.

9. Mt. Elgon Ecosystem is an invaluable water catchment for Uganda (and also Kenya and the countries along the Nile basin). However, the region is reportedly experiencing effects of a changing climate in the form of reduced stream-flow (e.g. the Manafwa river base flow) and reduced recharge of groundwater partly as a result of degradation of forests within the region. Satellite images from the 1970s to present indicate that the Mt. Elgon region has experienced significant reduction in forest cover due to clearance for agriculture. The Benet community which is a sub-group of Sabiny is an indigenous group that has traditionally lived in the high-altitude areas of Mt. Elgon.

E. Borrower's Institutional Capacity for Safeguard Policies:

1. Adequate capacity exists for safeguard issues - the project is implemented by an experienced team in the Ministry of Water and Environment that deals with the national environmental issues in their daily work. The safeguards arrangements are well imbedded in the existing structures of the GoU and the current REDD+ process. The MWE, which is the Implementing Agency for the FCPF support, is experienced in implementation of the national and World Bank safeguards requirements. For the REDD+ process specifically, a Communications and Consultations and SESA Task Force was established (see Annex 3 for its composition) – it is steering the SESA process and attends to careful consideration of the safeguards aspects of the proposed REDD+ options and actions.

F. Environmental and Social Safeguards Specialists on the Team:

Christine Kasedde
 Nicholas Meitaki Soikan

Environmental Specialist, GEN01
 Social Development Specialist, GSU07

II. SAFEGUARD POLICIES THAT MIGHT APPLY

2. It is envisioned that the safeguards policies mentioned below may be triggered in the REDD+ Readiness process. AF activities trigger two new safeguards policies – OP4.10, Indigenous Peoples and OP4.12, Involuntary Resettlement. These safeguards policies are triggered based on preliminary findings from the SESA report and preliminary Bank review. Final determination on the applicable policies is expected to be made when the Strategic Environmental and Social Assessment (SESA) report and resulting frameworks have been finalized and reviewed by the Bank (expected in early 2018, during the AF implementation).

3. The grant will not finance at this stage any concrete investment activities on the ground and is thus not expected to have any direct environmental and social impact on the ground. However, grant financed activities might have indirect impacts since the findings from analytical work carried out under the grant may influence the design of the national REDD+ Strategy

4. Safeguards considerations of the overall REDD+ Readiness as financed by the main FCPF grant continue to be covered as part of the Strategic Environmental and Social Assessment (SESA). The FCPF is using a SESA to integrate key environmental and social considerations into REDD+ Readiness by combining analytical and participatory approaches. The SESA ensures (i) integration of social and environmental considerations into the REDD+ Readiness process, in particular into the REDD+ strategy; (ii) stakeholder participation in identifying and prioritizing key issues; (iii) assessment of policy, institutional and capacity gaps to manage these priorities and recommendations; and (iv) disclosure of findings in the REDD Country’s progress reports on Readiness preparation.

5. The initial SESA process was financed with the original grant. The SESA process resulted in a SESA report, and scoping for the Environmental and Social Management Framework (ESMF), the Process Framework, and an Indigenous Peoples Planning Framework. The SESA report and the ESMF are currently being internalized by the Government of Uganda - further finetuning of the SESA report and finalization of the frameworks (as required and based on feedback from the World Bank, including the Regional Safeguards Advisor) is expected with the Additional Funding support.

6. The design and elaboration of the National REDD+ Strategy includes a wide stakeholder consultation process (including local communities and private actors and taking into account gender considerations) which addresses the need of the key safeguards triggered.

Safeguard Policies Triggered (<i>please explain why</i>)	Yes	No	TBD
Environmental Assessment (OP/BP 4.01)	X		
The Strategic Environmental and Social Assessment (SESA), to be fine-tuned and finalized with the AF support, helps ensure compliance with the Bank’s safeguards policies. It serves to identify, avoid, and mitigate the potential negative environmental and social impacts associated with the final REDD+ Strategy. It also serves to identify and promote potentially positive impacts and benefit sharing opportunities in connection with the Strategy. The SESA will influence the final national REDD+ Strategy, by ensuring that the consideration of social and environmental risks and potential impacts is a factor in its preparation. It will also provide guidance and key elements for the preparation of the ESMF.			

Safeguard Policies Triggered (please explain why)	Yes	No	TBD
The future investments and carbon finance transactions will require specific environmental and social assessments (ESAs) but these will benefit from the strategy context created by the SESA and ESMF. The ESMF will include standing methods and procedures, along with appropriate institutional arrangements for screening, reviewing, implementing, and monitoring specific ESAs to prevent adverse impacts, as well as cumulative impacts.			
Natural Habitats (OP/BP 4.04)	X		
The application of this policy seeks to ensure that all options proposed in the national REDD+ Strategy take into account the conservation of biodiversity, as well as the numerous environmental services and products that natural habitats provide to human society. Overall, REDD+ activities are expected to have significant positive impacts on natural habitats, as the country puts in place an effective strategy to reduce loss of natural forests. The SESA addresses issues related to natural habitats and potential impacts of the national REDD+ Strategy, which will be included in the ESMF.			
Forests (OP/BP 4.36)	X		
Overall, REDD+ activities are expected to have significant positive impacts on forests, in that the main goal of the program is to reduce deforestation and forest degradation, while contributing to the well-being of forest-dependent communities. Potential impact of the National REDD+ Strategy on natural forests are assessed through the SESA and included in the ESMF. The SESA and associated ESMF will reflect the requirements of the Bank's Operational Policy regarding forest management.			
Pest Management (OP 4.09)			X
This policy could be triggered depending on the final scope of the National REDD+ Strategy. Agricultural intensification and reforestation activities, for instance, could trigger this policy, depending on the methods employed by concrete activities on the ground to manage pests. The SESA will address critical issues related to pest management, as necessary.			
Physical Cultural Resources (OP/BP 4.11)			X
Some of the future project activities may affect physical cultural resources. Further investigation is needed to determine if this policy would be triggered or not. The SESA process will determine the existence of culturally and socially sensitive sites that have significance to local forest dependent communities. This policy, therefore, could be triggered, based on the SESA outcomes.			
Indigenous Peoples (OP/BP 4.10)	X		
An Indigenous Peoples Planning Framework (IPPF) will be prepared to comply OP 4.10 for addressing issues arising from specific investments during the implementation of the national REDD+ strategy. Under this policy, Indigenous Peoples communities affected by the National REDD+ Strategy must be consulted in a culturally appropriate manner.			
Involuntary Resettlement (OP/BP 4.12)	X		
REDD+ activities might trigger Involuntary Resettlement in situations involving involuntary restrictions of access to legally designated parks, land acquisition, protected areas, or forest management / reforestation areas. Through the SESA process, any issues related to land acquisition or involuntary resettlement will be identified. To comply with the Involuntary Resettlement policy (OP 4.12), a Process Framework will be prepared for managing the potential restriction of access of local communities to natural resources. A Resettlement Policy Framework (RPF) will also be prepared. The policy aims to avoid involuntary resettlement to			

Safeguard Policies Triggered (<i>please explain why</i>)	Yes	No	TBD
the extent feasible or to minimize and mitigate its adverse social and economic impacts in cases where resettlement or other involuntary restrictions cannot be avoided.			
Safety of Dams (OP/BP 4.37)		X	
The REDD+ activities do not involve the construction of new or use of existing dams.			
Projects on International Waterways (OP/BP 7.50)		X	
The REDD+ activities do not involve international waterways.			
Projects in Disputed Areas (OP/BP 7.60)		X	
Not triggered			

III. SAFEGUARD PREPARATION PLAN

Appraisal stage ISDS required?: No

IV. APPROVALS

<i>Signed and submitted by:</i>		
Task Team Leader:	Ross Hughes	08/31/2017
<i>Approved by:</i>		
Regional Safeguards Coordinator:	Nathalie Munzberg	09/13/2017
Comments:		
Environment Safeguards Specialist:	Herbert Oule	08/31/2017
Comments:		
Social Safeguards Specialist:	Nicholas Meitiaki Soikan	08/30/2017
Comments:		
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Comments:		