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GLOBAL ENVIRONMENT FACILITY (GEF)

To: Mr. Alfred Duda
Principal Environment Specialist
GEF Secretariat

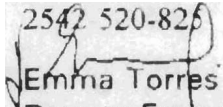
Date: 27 October 1997

Mr. Lars Vidæus, Chief
Global Environment Div.
World Bank

Mr. Ahmed Djoghlaif
GEF Executive Coordinator
UNEP, Nairobi, Kenya

Fax: 202-522-3240
202-522-3256

Pages: (13 including this sheet)

From: 
Emma Torres
Deputy Executive Coordinator

Subject: PDF Block A Funding - Uganda Conserving Biodiversity in
the Western Rift Valley Forests

Please find attached for your review a PDF Block "A" request for funding entitled "Uganda Conserving Biodiversity in the Western Rift Valley Forests".

We would appreciate receiving your comments no later than c.o.b. on Monday 3 November 1997.

Thank you.

PM

**UNITED NATIONS DEVELOPMENT PROGRAMME
Global Environment Facility**

PROPOSAL FOR PDF FUNDING (Block A)

COUNTRY: Uganda

TITLE: Conserving Biodiversity in the Western Rift Valley Forests

CONVENTION RATIFICATION: Convention on Biodiversity, Ratified 8 September 1993

DURATION: 3 months

**ACC/UNDP SECTOR
& SUBSECTOR:** 200/201

GEF THEME: Biodiversity / Land Degradation

EXECUTING AGENCY Government of Uganda

IMPLEMENTING AGENCY: National Environmental Management Authority

ESTIMATED START DATE: 30 August 1997

GOVERNMENT ENDORSEMENT: Ministry of Finance on 25 February 1997

UNDP/GEF INPUT PDF FUNDS: \$24,720

Brief Description Although the Western Rift Valley forests have been designated as the highest priority for conservation in Uganda, some of the forest areas require greater management support and protection. The proposed project would specifically address the conservation needs of the Western Rift Valley forests under the jurisdiction of the Uganda Forest Department, which lack adequate support. The PDF-A funds will begin the process of addressing this problem by better defining, and building consensus on, the values of and threats to the forests. PDF A activities will include local consultations and consensus building and will use a participatory process to start to develop a project strategy. The results of the PDF-A activities will be primarily a PDF-B proposal, which will be used in turn to develop a full project proposal.

On behalf of: _____
Signature Date

UNDP: _____
Signature Date

PART I - ELIGIBILITY

- 1. Project Name:** Conserving Biodiversity in the Western Rift Valley Forests
- 2. GEF Implementing Agency:** UNDP
- 3. Country:** Uganda
- 4. Country Eligibility:** Convention on Biodiversity, Ratified 8 September 1993
- 5. GEF focal area / Cross-cutting issue:** Biodiversity / Land Degradation
- 6. Operational Programme:** Biodiversity Programmes #4 and #3 - Mountain and Forest Ecosystems
- 7. Project linkage to national priorities, action plans, and programs:**
 National Biodiversity Strategy Action Plan (NBSAP) -
 Although the NSAP is still being formulated, an earlier Biodiversity Country Study identified the forests of the Western Rift as the highest conservation priority for Uganda.
- Link to Sustainable Development Planning
 Uganda has endorsed principles of sustainable development and is developing a framework for addressing Agenda 21.
- Global Agreements/Conventions -
 Convention on Biological Diversity, Convention on Climate Change, Convention on Desertification, and CITES.
- Regional Agreements/Conventions -
 Complements the East and Central Mountains Initiative¹ and takes advantage of cooperative understanding of the management of forests in East Africa.
- Existing Conservation Programs in the Western Rift Valley Forests -
 Completes protection of the western rift valley forests by addressing those forests not included in existing projects and programmes (see map and footnote 3 below)

¹ The East and Central Mountains Initiative is an effort to strengthen networking for natural resource management in the region, particularly with respect to mountain ecosystems. Rwanda, Burundi and the Democratic Republic of Congo are also members to the Initiative

8. GEF national operational focal point and date of country endorsement:

Ministry of Finance, 25 February 1997

9. Project rationale and objectives:

Spreading across parts of southwest Uganda, western Rwanda, the eastern part of Democratic Republic of Congo, and Burundi, the forests of the Western or Albertine Rift Valley system are an acknowledged global priority area for biodiversity and are recognized as a hotspot of species diversity and endemism. Moreover, the forests are the most important area for bird endemism in Africa (see Annex 1).

Although this diverse forest system is partly protected, forests under the jurisdiction of the Uganda Forest Department remain without an adequate management programme, i.e., the Echuya, Kalinzu /Maramagambo, Kasyoha-Kitomi, Itwara, Bugoma and Budongo forests. A recent inventory of forests in Uganda revealed that these forests are surprisingly rich in biodiversity; Kasyoha-Kitomi was found to be the richest of the surveyed forests, not Bwindi as had been speculated.² Although various forest conservation programmes have been initiated in Uganda to protect forests like Bwindi,³ the biologically rich forests under the Uganda Forest Department do not have focused conservation support programmes and still lack sufficient protection.

In order to address this need, Uganda is interested in pursuing a GEF supported project to enhance the protection and management of these forests, which will ensure greater levels of biodiversity conservation in Uganda, consequently ensuring levels in eastern Africa and the world. GEF intervention would complement conservation support for the entire rift valley system of forests.

10. Expected outcomes:

It is expected that the conservation needs of the Western Rift Valley forests will be successfully addressed, resulting in greater levels of biodiversity conservation. In addition, it is expected that the proposed project will complement existing forest biodiversity conservation programmes already in Uganda and eastern Africa. It is also hoped that all stakeholders approve and accept a programme to do so.

² The inventory project was part of the GEF supported project -- "East African Biodiversity Project" -- and was undertaken by the Uganda Forest Department

³ (1) the Ministry of Tourism, Wildlife and Antiquities is working with the World Bank Protected Areas Management and Sustainable Utilization (PAMSU)³ GEF project to increase support for some of the Western Rift Valley forests but excludes National Forest Reserves that fall under the jurisdiction of the Uganda Forest Department; (2) the Institute of Tropical Forest Conservation (ITFC) of the University of Mbarara is carrying out monitoring and inventory work in Bwindi and Mgahinga Forests on behalf of the Uganda Wildlife Authority (UWA); (3) CARE -DTC (Development through Conservation) is carrying out an integrated conservation and development project for communities surrounding Bwindi and Mgahinga; (4) the International Gorilla Conservation project works on Mountain Gorilla habitat in Mgahinga and Bwindi forests; and (5) the Mgahinga Bwindi Impenetrable Forest Conservation Trust (MBIFCT) and endowment fund supports research, conservation and development projects in parishes surrounding Bwindi and Mgahinga protected areas.

11. Planned activities to achieve outcomes:

Planned activities include but are not limited to: creating joint forest management initiatives between local communities and the Uganda Forest Department, documenting and promoting indigenous conservation and knowledge systems for sustainable conservation of forest biodiversity, further developing evaluation, monitoring, and environmental audit procedures based on local community input, reserving pristine species rich areas still outside formally gazetted forest reserves, formulating strategy to improve management of Ugandan forest reserves, and promoting non-consumptive uses of forest resources that enhance biodiversity conservation, such as eco-tourism.

12. Stakeholders involved in project:

Stakeholders include the Ugandan people, the Uganda Forest Department, other Ugandan agencies involved in forest conservation, potential donors, conservation agencies, and communities near the forest resources.

PART II - INFORMATION ON BLOCK A PDF ACTIVITIES**13. Activities to be financed by the PDF:**

- Clarify national and local values of Western Rift Valley Forests (global values already known).
- Review threats facing these forest values.
- Review ongoing and planned conservation programmes.
- National consensus meeting to begin to develop a project strategy and earmark areas for priority conservation support.
- Field visit to priority areas in western Uganda, during which local communities and decentralized regulatory agencies will be consulted.
- Preparation and agreement on a detailed PDF-B proposal for final proposal preparation.

14. Expected outputs and completion dates:

A detailed proposal for PDF-B funding submitted by 31 March 1998 to help formulate a GEF project proposal, which will address both Technical Assistance and Investment needs and be based on a broad participatory approach.

In addition to a PDF-B proposal, the PDF-A will produce documents on the extent and status of the Western Rift Valley forests, on forest conservation initiatives in the area, and a project strategy for the proposed project.

15. Other possible contributors / donors and amounts:

Opportunities for developing parallel financing will be discussed with the World Bank, EU, NORAD, and with international and national NGOs (such as, Birdlife International, CARE, IUCN, ODA, EAWLS, etc.)

It is expected that other donor organizations with an interest in the Coastal Forests would contribute costs of their personnel participating in the Block A activities, such as attending workshops.

16. Total budget and information on how costs will be met (including the Block A grant):

Development of the GEF component is calculated at US \$24,720 to be supplied by the PDF-A.

Activity	Detail	Total Costs	
1. Review Values. examining forest international, national and local forest values	a) National Consultant - 1 consultant for .8 month	\$2,400	
	b) Purchase materials	\$200	
	c) Map Preparation Contract	\$600	\$3,200
2. Review Threats	a) National Consultant - 1 consultant for .8 month	\$2,400	
	b) Field travel & local seminars	\$1,000	\$3,400
3. Review Ongoing Initiatives	a) National Consultant - 1 consultant for .8 month	\$2,400	
	b) Field Travel & local seminars	\$1,000	\$3,400
4. Project Strategy	a) Consensus Workshop Venue/lunches/materials Travel & participation	\$500 \$1,300	\$1,800
	5. Planning Project Interventions	a) National Consultant - 2 consultants for .8 month each	\$4,800
b) Field Travel & local seminars		\$1,600	
c) Consensus Workshop		\$1,600	\$8,000
6. Proposal Finalisation	a) National Consultant - 1 consultant for .5 month	\$1,500	
	b) International Consultant .75 month	\$2,500	\$4,000
7. Others	a) Correspondence, faxes, stationary	\$200	
	a) Support Services (3% of \$24,000)	\$720	\$920
		Total	\$24,720

- Field Travel Local Seminars @ 100\$ per day, including DSA, vehicle and seminar costs.

- Workshop based on 30 person participation.

- National Consultant @ 3,000\$ per month: A forest conservation/biodiversity expert with knowledge of GEF procedures will conduct 1a, 2a, 3a, 5a (half) and 6a consecutively for a total of 3.7 months; A community development expert will conduct half of part 5a.

- International Consultant @ 2,500\$ input (fee/DSA): This is for at least 3 weeks of GEF and forest expertise support basically to help tidy up document(s) and network. The International Consultant will also provide Incremental Costs input.

PART III - INFORMATION ON THE APPLICANT INSTITUTION

17. Name: National Environment Management Authority
 Professor J.Y. Okedi
 Executive Director
 P.O. Box 22255 Kampala
 Telephone: 257491/251064/5/8
 Fax: 232347

18. GEF Implementing Agency: UNDP

19. Mandate / Terms of Reference:
 To coordinate, monitor and supervise all environmental management activities in Uganda as an Umbrella environment body.

20. Country Eligibility / Sources of Income:
 Convention on Biological Diversity, Ratified 8 September 1993
 Source of Income - Government

21. Recent activities / programs, in particular those relevant to the GEF:
 NEMA is involved in two current GEF proposed projects with UNDP: "Reducing Biodiversity Loss at Cross Border Sites in East Africa" and "African NGO-Government Partnerships for Sustainable Biodiversity Action." NEMA was also involved with the completed GEF project "Institutional Support to Protect East African Biodiversity." In addition, it is coordinating the World Bank/GEF Lake Victoria Environment Management Programme and UNEP's Semi Arid Rangelands Project (proposed for GEF funding).

NEMA has also been responsible for supervising environmental impact assessments and conducting environmental management capacity building including District level (in pilot Districts).

There is also presently a Ministry of Tourism, Wildlife and Antiquities (MTWA) World Bank Protected Areas Management and Sustainable Utilization (PAMSU) project⁴ with funds from the GEF for protected areas that include Mgahinga, Bwindi, Rwenzori, Semuliki and Kibale forests in the Western part of Uganda. As noted above, this programme excludes forest reserves that fall under the Uganda Forest Department.

⁴The PAMSU project is a component of the Conservation and Sustainable Tourism (CAST) programme, an ambitious multi donor undertaking

PART IV – INFORMATION TO BE COMPLETED BY IMPLEMENTING AGENCY**22. Project identification number:**

PIMS 449

23. Implementing Agency contact person:

Mr. John Hough, GEF/RBA, UNDP NY

Ms. Alexandra Karekaho, UNDP Kampala

24. Project linkage to Implementing Agency program(s):

The proposed project complements UNDP's Environment and Poverty Alleviation programme and UNDP's Country Programme for Uganda. In addition, the proposed project supports UNDP's overall effort at sustainable resource utilization in Africa by complementing the already existing UNDP/GEF conservation efforts in Uganda.

LOGICAL FRAMEWC....

OBJECTIVES, OUTPUTS, ACTIVITIES	INDICATORS	VERIFICATION	ACTIVITIES	ASSUMPTIONS
<p>Overall Objective</p> <p>To develop a GEF PDF-B proposal, in a broad-based participatory manner, that addresses the biodiversity conservation needs of the Western Rift Valley Forests that are under the Uganda Forest Department.</p>				
<p>Output 1: Clearly describe the biodiversity status of the Western Rift Valley forests, identify on-going conservation baseline initiatives, and agree on priority sites for conservation.</p>	<p>Report and map of forest area and status, with values identified.</p> <p>Report on baseline activity.</p> <p>Priority forest reserves agreed upon.</p>	<p>Documents.</p> <p>Workshop records.</p> <p>Community records.</p>	<p>Review Values / Threats</p> <p>Review Baseline</p> <p>Produce Map / Reports</p> <p>Identify Key Sites</p>	
<p>Output 2: Project strategy documented based on discussions with local communities, government agencies and conservation agencies.</p>	<p>Reports that demonstrate full participation of local communities and agencies.</p>	<p>Records in communities.</p> <p>Communities' approval.</p>	<p>Site discussions on conservation needs.</p> <p>Reporting needs in detail.</p>	
<p>Output 3: A PDF-B proposal formulated with involvement of local people, other donor agencies and conservation agencies</p>	<p>Broad stakeholder involvement.</p> <p>A proposal is approved by government and sent to GEF.</p>	<p>Meeting Records.</p> <p>Document.</p>	<p>Seek consensus on needs, and other donor inputs.</p> <p>Develop document.</p>	

ANNEX I
BIODIVERSITY AND ENDEMISM VALUES OF THE WESTERN RIFT VALLEY FORESTS

The forests of the Western Rift Valley, located in western Uganda, are one of four key forest areas in Eastern Africa, which is recognized internationally as a 'Mega-Biodiversity' region because of its exceptional ecosystem, community and species level diversity, extremely high levels of localized endemism (species restricted to localized areas, found nowhere else on earth), and extraordinarily high concentrations of some species.⁵

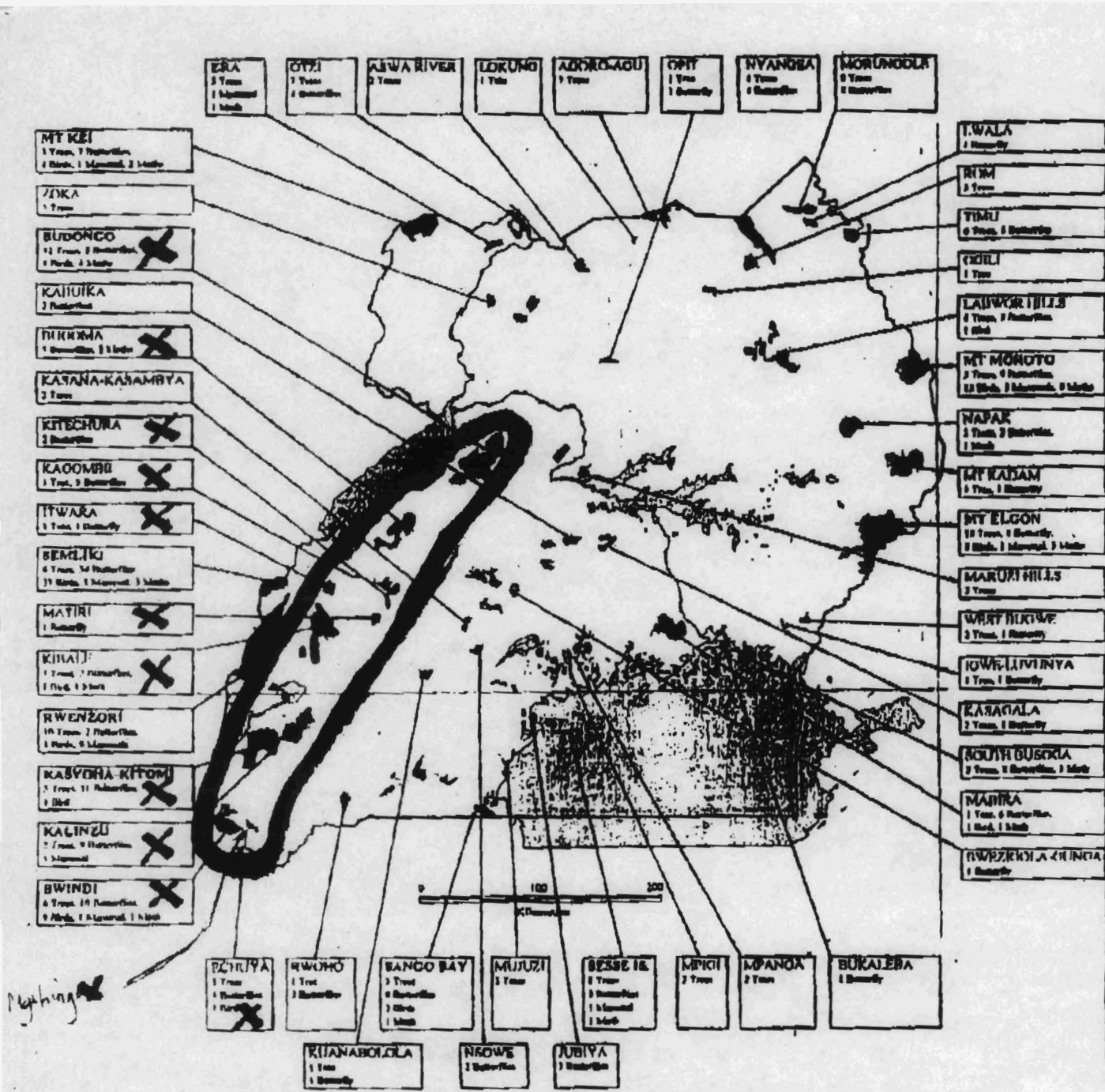
The Albertine Rift Highland forests are the most important area for bird endemism in Africa: some 40 are endemic to the area with 33 found in Itombwe forest in Zaire, 23 in Bwindi Impenetrable National Park, and 18 in the Rwenzori Mountains National Park.⁶ Bird endemism is also strong in the Eastern Arc mountains and the Cameroon Highlands, each with about 26 species. Albertine Rift Highlands are also important for other groups of organisms as well, including mammals, butterflies and plants.

This 'area of endemism,' which is sometimes also called the Central African Refugium, is centered on the part of the Albertine or Western Rift Valley between Lakes Albert and Tanganyika. Principally, it is the Lake Edward to Lake Kivu stretch. During the Pleistocene ice ages (some 100,000 to 18,000 years ago), when conditions over most of the world were cooler, eastern Africa was considerably drier with rainfall perhaps half of today. This dryness seems to have led to the great reduction in forest area at that time. Some forest, however, was able to survive in a few places of higher rainfall, such as the hills and mountains bordering the Albertine rift. These surviving patches acted as a 'refugium' during the dry period for forest plants and animals as well as for many forest species. Survival in isolated patches also led to speciation.

As the climate became warmer and wetter, forest spread again to the extensive area that it had occupied until about 2000 years ago. Since then, humans have been busily reducing the forest using new capabilities, such as fire. Consequently, the forests of much of eastern Africa are relatively young; for example, Mt. Elgon is about 12,000 years old, which has not been long enough for species to spread throughout all of the areas that are potentially suitable. In particular, a rather select group, the Albertine rift endemics, has still not spread beyond the main refugium area.

⁵ The key forests areas are: (1) Coastal Forests, (2) Forests of the old Eastern Arc Mountains, (3) Swamp Forests, and (4) forests of the "Albertine or Western Rift" in western Uganda.

⁶ The exact number is subject to some discussion; 'endemic' here is used in the sense of restricted range as defined by Bird-Life International, i.e. 50,000 km².



Numbers in each box refer to the number of species unique to that forest. Forests where at least 1% of species in any taxon are unique are shown in bold.

OCT. -28 97(TUE) 13:16 GEF/UNDP

SENT BY UNDP

TO: [REDACTED]

UNDP KAMPALA

DATE: [REDACTED]

Telephone: 234700/9 (10 Lines) Kampala

Fax: 230183
Telegrams: "FINSEC"



Ministry of Finance
P.O. Box 8147,
Kampala,
Uganda.

In any correspondence on **ED/C/GEF/1/00**
this subject please quote No. _____ THE REPUBLIC OF UGANDA

February 25, 1997

The Resident Representative
United Nations Development Programme
KAMPALA

**SUPPORT FOR PROPOSED UNDP/GEF PROJECT: CONSERVATION OF WESTERN
RIFT VALLEY FOREST BIODIVERSITY RESOURCES**

The Government of the Republic of Uganda has developed the attached concept paper, and wishes to apply for PDF Block A, which shall, among others, be used to develop a PDF Block B request.

This is therefore to submit the attached concept paper and thus application for PDF Block A for a project to support the above effort

Happy James Tumwebaze-Kwarija
GEF NATIONAL OPERATIONAL FOCAL POINT

for: PERMANENT SECRETARY/SECRETARY TO THE TREASURY

c.c. Dr John Hough,
UNDP Regional Bureau for Africa
N.Y

C.C: Prof. J.Y.Okedi
Executive Director
National Environment Management Authority
KAMPALA

DATE 7 FEB 1997			
FILE DED/801/GEF			
OFFICER	INFO	ACTION	DATE
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Handwritten notes:
MWC 2/2
AK 2/2