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**United Nations Development Programme**  
**Country: Uganda**  
**PROJECT DOCUMENT**

**Project Title:** Integrated Landscape Management for Improved Livelihoods and Ecosystem Resilience in Mount Elgon

**UNDAF Outcome(s):**

Outcome 2: Vulnerable segments of population increasingly benefit from sustainable livelihoods and, in particular, improved agricultural systems and employment opportunities to cope with the population dynamics, increasing economic disparities, economic impact of HIV&AIDS, environment shocks and recovery challenges by 2014.

**UNDP Strategic Plan Environment and Sustainable Development Primary Outcome:**

*“Outcome 2. Output 2.5: Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation” with “Indicator 2.5.1: Number of countries with legal, policy and institutional frameworks in place for conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems”.*

**UNDP Strategic Plan Secondary Outcome:**

**Expected CP Outcome(s):** Related to natural resource management and climate change resilience priority portfolio.

**Executing Entity/Implementing Partners:** Ministry of Finance, Planning and Economic Development (MFPED)

**Implementing Entity/Responsible Partners:** Mbale District Local Government (in partnership with Bulambuli and Manafwa District Local Governments)

### Brief Description

The project will facilitate a transformative shift from unsustainable to integrated sustainable land management in Mount Elgon landscape, an area identified by the Government of Uganda as a high priority for interventions to prevent land degradation and reduce risks of natural disasters. The project will address the underlying issues behind the drivers of degradation of ecosystems in Mt Elgon such as land use planning or lack thereof, and the insecure land tenure. Proper mapping of community resources and developing land use plans based on those resources will ensure use takes into account the ecosystem values and ecosystem carrying capacity. Addressing land tenure insecurity will incentivise communities to invest in SLM activities that ensure the long term resilience of the resource base on which they rely. Soil erosion and forest cover will also be addressed in the process. These project interventions, coupled with the many other interventions underway by Government's other projects, will go a long way in addressing the above barriers. Local governments and communities will be supported to introduce a range of innovative and economically viable land use options that reverse the rate of land degradation on the mountain slopes in a critical disaster-prone landscape.

The first component of the project will support the development of land planning tools such as resource maps and land use plans to facilitate effective enforcement of land-related legislation taking into consideration land users' rights. The second component will demonstrate and support the uptake of SLM, SFM and CCM technologies and approaches, through farmers' empowerment within Farmer Field Schools (FFS). It will secure long-term farmers' access to inputs, markets and technical support and advice. The project will also contribute to the development of a monitoring framework for carbon emission/sequestration and soil erosion, and will collect and disseminate lessons learned. This project is line with the GEF Land Degradation Focal Area, Strategic Objective 3; as well as GEF Climate Change Mitigation Focal Area, Strategic Objective 5.

Programme Period:	2015-2018
ATLAS BU	UGA10
Atlas Award ID:	00088957
Project ID:	00095404
GEFID#	5718
PIMS #	4634

Start date:	upon signature
End Date:	+3 years

Management Arrangements: NIM

LPAC Date:

#### Total resources required (USD)

Total allocated resources:	<b>10,451,659</b>
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- Regular :
  - GEF **1,620,320**
- Other (Co-finance) **8,831,384**
  - UNDP 2,670,750
  - MAAIF 1,526,250
  - MoWE 2,000,000
  - NAADS 2,501,384
  - Local Government 133,000

**Agreed by (Government):**

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**Date/Month/Year**

**Agreed by (Executing Entity/Implementing Partner):**

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**Date/Month/Year**

**Agreed by (UNDP):**

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**Date/Month/Year**

## Table of Contents

PART I - PROJECT .....	1
A Project Summary .....	1
A.1 Project Rationale, Objectives, Outcomes/Outputs, and Activities.....	1
A.2 Key Indicators, Assumptions, and Risks .....	2
B Country ownership .....	3
B.1 Country Eligibility .....	3
B.2 Country Dryness .....	4
B.2.a National Capacity Self-Assessment .....	5
B.2.b Sustainable Development Context .....	5
B.2.c Global Environmental Benefits.....	14
B.2.d Policy and Legislative Context .....	16
B.2.e Institutional Context.....	20
B.2.f Barriers to Achieving Global Environmental Objectives .....	24
C. PROGRAMME AND POLICY CONFORMITY .....	31
C.1 GEF Programme Designation and Conformity.....	31
C.1.a Guidance from the Rio Conventions.....	32
C.2 Project Design: GEF Alternative .....	32
C.2.a Project Rationale .....	32
C.2.b Project Goal and Objective .....	35
C.2.c Expected Outcomes.....	35
C.2.d Project Components, Outputs, and Activities .....	35
C.3 Sustainability and Replicability .....	39
C.3.a Sustainability .....	39
C.3.b Replicability and Lessons Learned.....	40
C.3.c Risks and Assumptions.....	40
C.4 Stakeholder Involvement .....	42
C.5 Monitoring and Evaluation .....	46
D. Financing.....	52
D.1 Financing Plan .....	52
D.2 Cost-Effectiveness .....	52
D.3 Co-financing .....	53
E. Institutional Coordination and Support .....	54
E.1 Core Commitments and Linkages.....	54
E.1.a Linkages to other activities and programmes.....	54
E.2 Implementation and Execution Arrangements.....	58
PART II: ANNEXES.....	63
Annex 1: Strategic Results Framework .....	63
Annex 2: Outcome Budget (GEF Contribution).....	66
Annex 3: Budget Notes.....	68
Annex 4: Provisional Work Plan .....	70
Annex 5: Terms of Reference of Key PMU Staff .....	72
Annex 6: Environmental and Social Review Criteria.....	75
Annex 7. Sustainable Land Management Clauses.....	76
Annex 8. Land Tenure Security Levels and Implications for Sustainable Land Management .....	89
Annex 9. References.....	93
PART IV: Letters Co-Financing.....	96

## Acronyms and Abbreviations

AASP	Agriculture Advisory Service Providers
AfDB	African Development Bank
APFS	AgroPastoral Field School
APR	Annual Project Reports
ATAAS	Agricultural Technology and Agribusiness Advisory Services
AWP	Annual Work Plan
BCU	Bugisu Cooperative Union
BMU	German Federal Ministry of Environment, Nature Conservation and Nuclear Safety
CAADP	Comprehensive Africa Agriculture Development Programme
CAP	Coalition Against Poverty
CBO	Community Based Organization
CCA	Climate Change Adaptation
CCD	Climate Compatible Development
CCM	Climate Change Mitigation
CFM	Collaborative Forest Management
CFR	Central Forest Reserve
CMO	Catchment Management Office
CMP	Catchment Management Plan
CPD	Country Programme Document
CSA	Climate Smart Agriculture
DANIDA	Danish International Development Agency
DDP	District Development Plan
DFID	United Kingdom's Department for International Development
DLG	District Local Government
DSIP	Development Strategy and Investment Plan
EBA	Ecosystem Based Adaptation
ECOTRUST	Environmental Conservation Trust of Uganda
EIA	Environmental Impact Assessment
EWS	Early Warning System
FAO	United Nations Food and Agriculture Organization
FFS	Farmer Field Schools
FIEFOC	Farm Income Enhancement and Forest Conservation
GEF	Global Environmental Facility
GHG	Green House Gas
GoU	Government of Uganda
IFPRI	International Food Policy Research Institute
ITCP	Integrated Territorial Climate Plan
IUCN	International Union for the Conservation of Nature
JICA	Japan International Cooperation Agency
KIFANGO	Kitsi Farmers Non-Governmental Organisation
LECB	Low Emission Capacity Building
LFR	Local Forest Reserves
LULUCF	Land Use and Land Use Change and Forestry
LVBC	Lake Victoria Basin Commission
MAAIF	Ministry of Agriculture, Animal Industry and Fisheries
m.a.s.l	Metres above sea level
MDG	Millennium Development Goals
MEA	Multi-lateral Environmental Agreement
MENP	Mount Elgon National Park
MERECF	Mount Elgon Regional Ecosystem Conservation Project
MFME	Multi-stakeholder Forum for Mt Elgon

MoLG	Ministry of Local Government
MRV	Measurement, Report and Verification
MWE	Ministry of Water and Environment
M&E	Monitoring and Evaluation
NAADS	National Agricultural Advisory Services
NAMA	Nationally Appropriate Mitigation Actions
NAPA	National Adaptation Programme of Action
NARO	National Agricultural Research Organization
NARS	National Agricultural Research System
NCCP	National Climate Change Policy
NCSA	National Capacity Self-Assessment
NDP	National Development Plan
NEMA	National Environment Management Authority
NFA	National Forestry Authority
NIM	National Implementation Modality
NP	National Park
NGO	Non-Governmental Organization
PA	Protected Area
PIF	Project Identification Form
PIR	Project Implementation Reviews
PM	Project Manager
PMU	Project Management Unit
PPG	Project Preparation Grant
PTSC	Multi-Stakeholder Project Technical Steering Committee
RCCF	Regional Climate Change Forum
RCU	Regional Coordination Unit
REDD	Reducing Emissions from Deforestation and forest Degradation
RFCC	Resilience Framework to support Climate Change
SLM	Sustainable Land Management
SMART	Specific, Measurable, Attainable, Relevant and Time-bound
SWC	Soil and Water Conservation
TACC	Territorial Approach to Climate Change
TBNRM	Transboundary Natural Resources Management
ToR	Terms of Reference
UBOS	Uganda Bureau of Statistics
UCDA	Uganda Coffee Development Authority
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention to Combat Desertification
UNCCD-NAP	National Action Plan to Combat Desertification
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Program
UNDP - CO	Uganda UNDP Country Office
UNEP	United Nations Environment Program
UNFCCC	United Nations Framework Convention on Climate Change
UNFPA	United Nations Population Fund
UNMA	Uganda National Meteorological Authority
USAID	United States Agency for International Development
U-SIF-SLM	Uganda Strategic Investment Framework for Sustainable Land Management
UWA	Uganda Wildlife Authority
VIA	Vulnerability Impact Assessment
WMZ	Water Management Zone
WWF	World Wildlife Fund

## PART I - PROJECT

### A Project Summary

#### A.1 Project Rationale, Objectives, Outcomes/Outputs, and Activities

1. Mt Elgon landscape offers a variety of ecosystems providing services upon which local population heavily depends. River catchments are used by local communities for their socio-economic activities, including agriculture, small scale industries, tourism and wildlife conservation. The wetlands provide many ecosystem services such as herbal medicine, food, freshwater for livestock and domestic use, fiber and firewood.
2. A large portion of the landscape (about 60%) is now deforested land, occupied by agriculture and human settlements. Insecure land tenure is a major driver of land degradation. Those who do own land have very small land patches for subsistence, fuel wood, grazing etc. There is increasing pressure on the land to accommodate a population that is still rising at the rate of 3.4% per year. Around 70% of the population is under the age of 18: most will not have employment options other than subsistence farming and thus will be requiring their own land. There is an inherent danger that this increasing pressure for land will a) impact negatively on land use, such as causing trees to be cut for fuel wood before maturing and b) increase encroachment into the upper protected watersheds. 20% of farmers who have no legal title to their land are farming in the upper slopes. Land tenure also drives land degradation by creating uncertainty regarding the possibility of reaping the long term benefits of investing in sustainable land management practices and structures, particularly terracing on the slopes and tree planting.
3. Soil erosion is a big threat in the landscape. Almost all farmers in sloping areas report soil erosion problems, with 84% reporting recent drops in crop quality and yield due to soil erosion.
4. Land use planning in general is very weak. There are no district and local land use plans which makes it difficult for the districts and lower authorities to coordinate land management approaches, and provide coherent support and advice to communities. Even though some local environmental ordinances and byelaws have clauses relating to the use of land on steep slopes, they are not properly enforced. There are also varied and unclear processes for land tenure. Land titles which are the most legally binding are not easy for most small holders to obtain. Secondly, natural resources have not been systematically mapped to show where problems are and where opportunities for SLM exist. Areas are not classified according to the degree of degradation, and as such land use does not take into account the ecosystem values and ecosystem carrying capacity or consider the long-term resilience of the resource base on which communities rely. Third, the Strategic Investment Framework for SLM that was developed to guide implementation of SLM activities has not been mainstreamed into the district development plans. Therefore, there is no funding and implementation mechanism for SLM at the district level. Fourth, institutional frameworks and knowledge networks that offer a starting point for addressing the climate change challenges and to realize mitigation potentials are not adequate.
5. There is limited knowledge on how to implement Sustainable Land Management and climate change mitigation. There is limited access to extension services, limited or no innovation in land use management, and no incentives to improve land use practices. Non-application of sustainable land use practices is driven by limited 'knowhow' and technical capabilities to do so. There is a need to demonstrate how this can be done in practice, covering a diversity of farms (large and small, uphill and downhill, small cattle / large cattle / mixture, etc.). Such demonstration has not been yet available in the Mount Elgon landscape.

6. In this context, the goal of the project is to improve livelihoods and the resilience of the ecosystem resulting from the use of integrated landscape management approaches. To achieve this goal, individual farmers need to collaborate and engage in a collective manner in order to effect change. The objective of the project is to empower communities in Mt Elgon to manage their production landscapes in an integrated manner for improved livelihoods and ecosystem resilience.
7. In order to achieve this objective, the project includes two Components with one Outcome each. The first component/outcome of the project aims at developing Mt Elgon Landscape planning and management in an integrated way to reduce land degradation and increase carbon sequestration. The second component/outcome of the project aims at demonstrating options to reverse land degradation, reduce GHG emission and empower communities toward the management of land in the Mt Elgon area.
8. Under its first Component, the project will raise awareness amongst district authorities and local communities on SLM, SFM, and CCM technologies and approaches. The project will strengthen the general knowledge of the Mt Elgon natural resources location, land degradation and GHG emission status through the development of community resources maps considering the different ecosystems, and taking into account existing literature, such as the results of the EBA project. Based on the resource maps, it will also support the development of Land Use Plans working at both the landscape and household level (farm planning). The project will address the current inadequate enforcement of land legislation and the limited rights of land occupiers in the Mt Elgon region by addressing the gaps for the implementation of existing legislation and the development of a monitoring and enforcement framework. The project will also support the mainstreaming of SLM, SFM and CCM into District Development Plans (DDP). While the resource maps and the land use plans will be developed at the parish level in six highly degraded sub-counties of the three districts of intervention (two per district), the implementation and enforcement of legislation and the revision of DDP will take place at the district level.
9. Under its second Component, and related to the parish land use plans, the national legislation and district plans, the project will adopt and use the FAO FFS approach in the districts of intervention, providing training in SLM, SFM, and CCM technologies and approaches for local farmers. The project will also implement pilots to show case and support the uptake of SLM, SFM and CCM technologies and approaches such as conservation agriculture practices, afforestation and tree planting. The project will support the strengthening of relevant collaboration between the public and private sectors in order to secure farmers' access to inputs, markets and technical support and advice. Frameworks to monitor carbon emissions and sequestration and soil erosion will also be developed and implemented by the project. Finally, the project will collect, compile and disseminate best practices and lessons learned that will be useful for related on-going and future initiatives in the region.

## A.2 Key Indicators, Assumptions, and Risks

10. The project's Outputs and Outcomes will be measured through a set of indicators presented in the logical framework of this project document presented in Annex 1. Using a design criteria that favours specific, measurable, attainable, relevant and time-bound indicators (SMART design criteria)<sup>1</sup>, these indicators have been developed to coincide with each major project activity. A baseline and a target have been set for each indicator. A Monitoring and Evaluation

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<sup>1</sup> Further details of the project's indicators are provided in the project document narrative and the strategic results framework. For further information please see [http://www.thegef.org/gef/Policies\\_and\\_Guidelines](http://www.thegef.org/gef/Policies_and_Guidelines)

(M&E) framework is presented in Section C.5. It includes regular reporting, audits, a mid-term and a final evaluation. A more detailed M&E plan will be developed during project inception.

11. The assumptions associated to the development of the project are presented in the logical framework in Annex 1 and are as follows:
  1. Communities provide valuable inputs for the development of resource maps;
  2. Land use plans, existing legislation and district development plans are taken seriously and effectively enforced by the different stakeholders;
  3. The occurrence of extreme climate events does not compromise the implementation of project activities;
  4. Extension staff and farmers participate actively in the FFS trainings;
  5. The public and private sectors recognize an opportunity in participating;
  6. Land conflicts remain localized and do not compromise the implementation of project activities;
  7. Farmers are willing to adopt new technologies and approaches in their farming practices; and
  8. Best practices and lessons learned can be extracted from the implementation of the project.
12. A risk matrix is presented in Section C.3.c of this project document. It includes the risks presented in the Project Identification Form (PIF), as well as additional risks that were identified during the Project Preparation Grant (PPG). Additional barriers to the implementation of the project are presented in Section B.2.f. Most of the risks are political, organizational, and strategic and their review indicates that they are manageable through the project approach. Risks mitigation measures are also identified in that matrix. The risks identified are as follows:
  1. Local communities show limited interest and willingness to engage in project initiatives that require substantial labour investment;
  2. Impacts of climate change disrupt some interventions through weather extremes and natural-related disasters;
  3. Change in district boundaries might affect project sites and implementation;
  4. Low capacity to implement SLM, SFM and CCM practices at district level in local communities and institutions
  5. Local populations do not see the benefit of SLM, SFM and CCM practices and show some reluctance/slowness to adopt SLM, SFM and CCM practices.
  6. Land use plans, land - related legislation and district development plans are not enforced
  7. Political will at district level does not remain constant during project duration
  8. Land conflicts jeopardize project implementation

## **B Country ownership**

### **B.1 Country Eligibility**

13. Uganda is party to the United Nations Framework Convention on Climate Change (UNFCCC), the United Nations Convention on Biological Diversity (UNCBD) and the United Nations Convention to Combat Desertification (UNCCD) and is therefore eligible to GEF funding. The project is in line with the National Action Plan to Combat Desertification (UNCCD-NAP) and directly supports implementation of the (hugely under-funded) National Adaptation Programme of Action 2007 (NAPA), which both emphasize the importance of protecting highland ecosystems which are particularly vulnerable to climate change impacts (citing the increasing



occurrence of landslides in highland ecosystems and increasingly frequent flooding in downstream lowland ecosystems). The project is also in line with the National Climate Change Policy and the Second National Communication to the UNFCCC, which highlight the importance of sustainable land management for both adaptation and mitigation. The project focuses on sustainable land management in a critical landscape, the Mount Elgon ecosystem, and will implement activities that synergistically contribute to reverse land degradation and promote climate change mitigation.

## B.2 Country Drivenness

14. The project is consistent with the overall approach of the **National Development Plan 2010/11 – 2014/15** which recognizes that sustainable economic and social development of Uganda largely depends on exploitation of its environmental and natural resources, with due recognition to the influence of changing climate. The National Development Plan also notes that climate change has serious negative impacts on the country's social and economic development and is threatening attainment of development targets including the Millennium Development Goals (MDGs). The NDP also recognizes that environmental management, including climate change, cuts across all sectors and requires the participation of various actors - particularly District Local Governments (DLGs) and CBOs. Interventions under this project are also in line with the **National Environment Management Policy 1994**, which provides for the integration of environmental concerns in all development policies and planning activities, the **Water Policy, 1999** which aims at effective management and securing of water resources to support economic development, and the **Climate Change Policy 2012** (draft) which aims at mainstreaming climate change adaptation and mitigation measures in all areas of economic development, including the promotion of resilient, productive and sustainable agricultural systems. The Climate Change Policy has prioritized LULUCF as one of the mitigation options with the objective to control and monitor land developments and land use changes in a sustainable manner so as to better manage GHG sources and sinks.
15. The project interventions support implementation of the Strategic Investment Framework for Sustainable Land Management 2010 - 2020 which aims at addressing land degradation in a coordinated manner, and includes promotion of the concept of integrated land and water resource management; whose formulation was guided by the regional Comprehensive African Agriculture Programme (CAADP). The project also links with the Agriculture NAMA, which seeks to promote and encourage conservation agriculture and ecologically compatible cropping systems and agriculture practices to increase GHG sinks.
16. The United Nations Development Assistance Framework (UNDAF) 2010-2014. Recognizes the importance of the environment, considering it one of the six areas that deserve especial focus in the country. Accordingly, the second of the three outcomes of the UNDAF refers to sustainable livelihoods. In particular, the second outcome seeks that “vulnerable segments of population increasingly benefit from sustainable livelihoods and, in particular, improved agricultural systems and employment opportunities to cope with the population dynamics, increasing economic disparities, economic impact of HIV&AIDS, environment shocks and recovery challenges by 2014” (UNDAF, 2010: 7). This outcome has three sub-outcomes, the first (2.1) focusing on the formulation and implementation of policies, programmes and legal frameworks; the second (2.2) on the management and use of the environment; and the third (2.3) on socio-economic infrastructure and systems. Given its integrated approach, this project contributes to the achievement of outcomes 2.1, 2.2 and 2.3 of the UNDAF.

17. The project is also in line with the UNDP Country Programme Document (CPD) 2016-2020, UNDP Gender Equality Strategy (2014-2017), and the emerging Sustainable Development Goals. In line with these strategic documents, UNDP's CPD 2016-2020 prioritizes two portfolios: i) inclusive governance; and ii) natural resource management and climate change resilience. The Mount Elgon region is one of the prioritized regions. This project contributes to all the priorities within the natural resource management and climate change resilience portfolio.

#### B.2.a National Capacity Self-Assessment

18. As a GEF eligible country, Uganda conducted its National Capacity Self-Assessment (NCSA) to identify capacity needs for the implementation of the Multilateral Environment Agreements (MEAs). The major constraints identified by Uganda's NCSA included: weak inter-institutional coordination; weak policy and legal framework for addressing MEAs; low awareness of MEAs issues; lack of data and information; unsustainable land management practices; inadequate technical capacity to implement the MEAs; poor infrastructure; inadequate funding; inadequate M&E mechanisms; and limited research. The resulting action plan includes a monitoring and evaluation framework that involves a wide range of stakeholders at all levels. The project is aligned to Uganda's NCSA. It seeks to make the most of existing opportunities (such as existing legal and policy frameworks, supportive institutions, including research institutions and networks and potential to provide technical and managerial skills) for addressing existing constraints (such as unsustainable land management practices, lack of data and information and inadequate M&E mechanisms) in the specific area of the Mount Elgon region.

#### B.2.b Sustainable Development Context

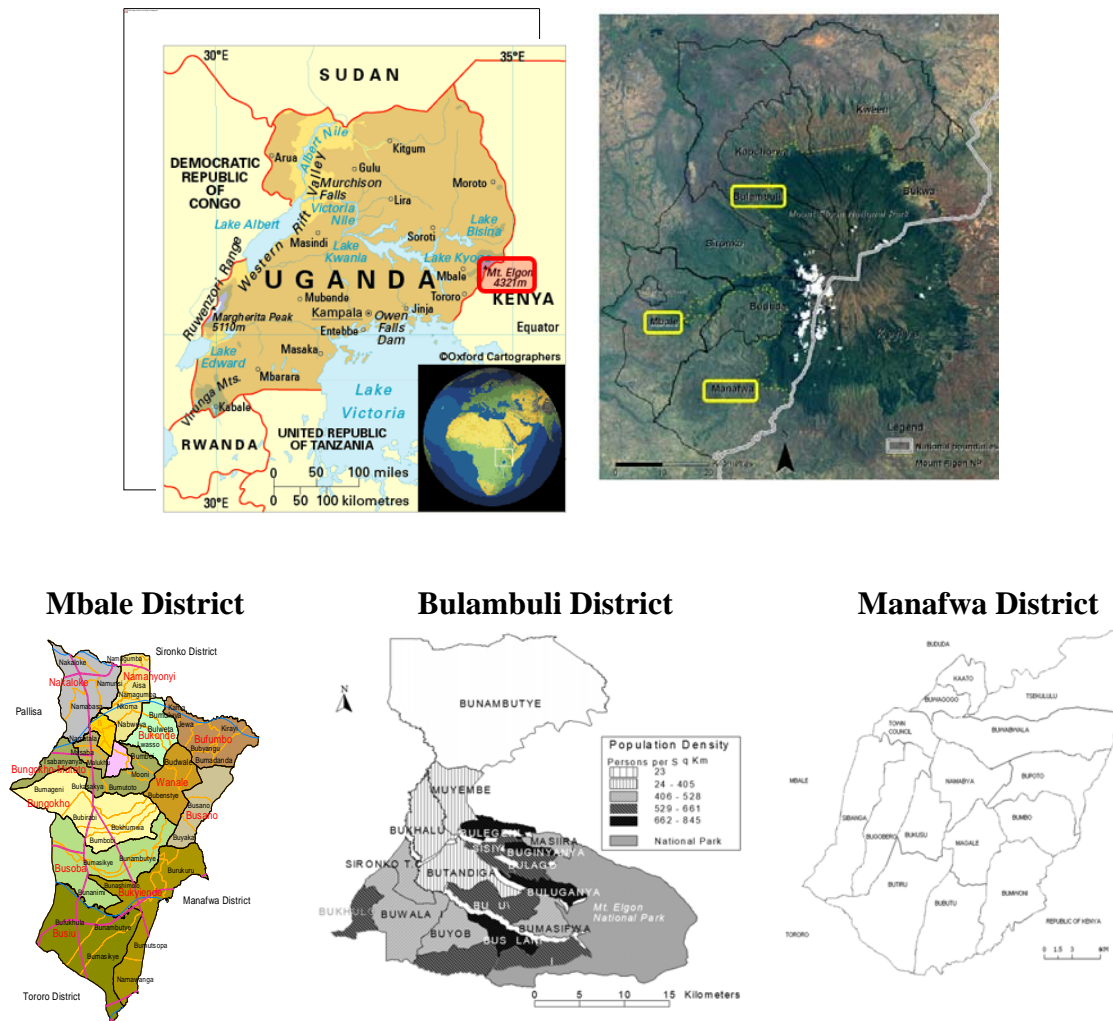
##### Geography

19. At 4,000km<sup>2</sup>, Mt. Elgon has the largest volcanic base in the world. Located on the Uganda-Kenya border it is also the oldest and largest solitary, volcanic mountain in East Africa. Its vast form, 80km in diameter, rises more than 3,000m above the surrounding plains. Mt Elgon territory is shared between eight districts in Uganda, namely Manafwa, Bududa, Mbale, Sironko, Bulambuli, Kapchorwa, Kween and Bukwo, from Southwest to Northeast. The project "Integrated Landscape Management for Improved Livelihoods and Ecosystem Resilience in Mt Elgon" will focus on the three districts of Mbale, Manafwa and Bulambuli and more specifically on the 6 following sub-counties: Wanale and Nyondo in Mbale District, Khabutoola and Nalondo in Manafwa District, and Sisiyi and Namisuni in Bulambuli District<sup>2</sup>. According to its District Development Plan 201/11-2014/15 (DDP), Mbale District has a land area of 534.4 sq. km, and a population density of 620 persons per sq. km. According to its DDP, Manafwa district has a surface area of 533 sq. km and a population density of 586 persons per sq. km. According to its DDP, Bulambuli District has a total land area of 809.65 sq. km and a population density of 238 persons per sq. km. The maps of the figure below show the location of the districts and represent their respective administrative units.

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<sup>2</sup> The selection of sub-counties was done by local stakeholders with guidance from consultants taking into account the degree of ecosystem degradation, levels of poverty and potential to make a change.

Figure 1: Location and Administrative Units of Mbale, Manafwa and Bulambuli districts



## Demography

20. According to the provisional results of the 2014 population census (UBOS, 2014), the three districts of intervention sum up a total population of over 1 million people (about 3% of the total population of Uganda). Of the three districts, Mbale is the largest (492,804 people), with almost half (48%) of the total population of the area of intervention. Manafwa is the second largest (352,864 people), with about one third (34%) of it. Bulambuli is the smallest (177,322 people), with 17% of the total population of the area of intervention. The total population of the area of intervention increased by 32% between 2002 and 2014. Of the three districts, Bulambuli grew the most (rate of 5), followed by Mbale (rate of 3.2) and Manafwa (rate of 2.4). The predominance of Mbale district is in part due to the fact that it includes Mbale Municipality. With 96,189 people, the municipality represents the 19.5% of the total population of Mbale District and the 9.5% of the total population of the area of intervention. Although the urbanization rate of the three districts (15.9%) is lower to the national one (18.4%), to a great

extent the development of the Mount Elgon area will depend on how the urbanization process takes place. Regarding sex distribution, there are 495,192 men and 527,798 women in the area of intervention, with a ratio of men per women of 93.7. The table below presents relevant demographic data for the Mount Elgon region based on the provisional results of the 2014 census.

Table 1: Demographic data for the area of intervention

	Total Population				Urbanization (2014)			Sex (2014)		
	Census 2002	Census 2014	Growth rate		Urban Population	Rural Population	Urban percentage	Male	Female	Ratio
			1991-2002	2002-2014						
Mbale District	332571	492804	2.76	3.28	123721	369083	25,1	236710	255194	93.1
Manafwa District	262566	352864	3.31	2.46	22761	330103	6,5	171745	181119	94.8
Bulambuli District	97273	177322	3.51	5.00	16167	161155	9,1	85837	91485	93.8
Total 3 districts	692410	1022990			162649	860341	0,16	494292	527798	93,7
Mbale City	71130	96189		2.5						

Source: Adapted from UBOS (2014)

21. Two main ethnic groups live on the slopes of Mt Elgon. On the Southern and Western sides, the *Bagisu* are the predominant group. They are of Bantu language and have a history of crop farming with some livestock keeping. On the Northern slopes, the *Sabiny* are the dominant people, pastoralist by tradition (Mugagga, 2011).

### Economy

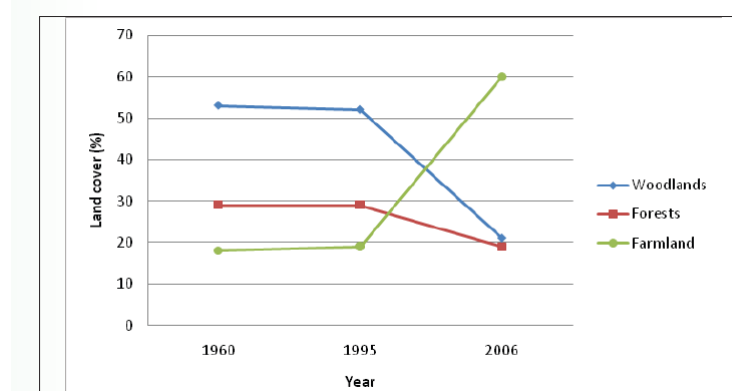
22. The main economic activity in the Mt Elgon region is agriculture. According to their DDP, 81.4% and 71.7% of the total population of Bulambuli and Mbale districts is engaged in agriculture, respectively. The economic activities depend on the altitudinal conditions of the area of intervention, which is divided into three distinct topographical regions: the lowland, the upland and the mountainous landscape of Mt Elgon. Agriculture mainly takes places in the two first topographical regions, and differs between them. The low land has sand to clay loam soils, favourable to cereal crops, while the high land has volcanic soils, more suitable to perennials crops such as coffee, bananas and horticulture (such as tomatoes, onions, cabbages and carrots). In many farms, intercropping is practiced. Coffee is generally intercropped with both perennial (especially bananas) and annual crops (e.g. bean, maize, cassava, etc.). Some households raise on a small scale cattle, goats, pigs and poultry, mainly for subsistence.
23. Ugandan legislation has promoted Collaborative Forest Management agreements to regulate the exploitation of the Mount Elgon National Park (MENP). Under these arrangements, park adjacent communities commit to respect the quotas regarding resources extraction, control the forest and reinforce penalties, while they benefit as well from the existence of the Park. By 2007, 26 of the 60 parishes bordering the MENP had a valid agreement with the Uganda Wildlife Authority (UWA) in charge of promoting these agreements on the government side (Soini, 2007). However, these agreements have not been properly implemented and “illegal access to restricted zones and lack of adherence to resource harvesting quotas are still major management problems posed by the communities” (Mugagga and Buyinza, 2013:257).
24. Poverty in the three districts is widespread. In 2002 between 30% and 44% of the people of Mbale, Manafwa and Bulambuli was not able to purchase a food basket that allows minimum nutritional requirements to be met in addition to the costs of meeting basic non-food needs (Soini,

2007; Manafwa and Bulambuli DDP, 2010). Poverty was higher in the low-lands than in the highlands, where agriculture is more productive.

### Land Use Change

25. The Mount Elgon area in general and the three districts of intervention in particular are characterized by significantly unsustainable processes of land use management. One of the key issues is deforestation. Mugagga (2011) found that only 40% of the land of the Mount Elgon region was covered with trees in 2006. The decrease had been very significant from 1995. The land covered with trees represented over 80% in 1960 and only a bit less in 1995. Mugagga distinguished between woodlands and forests. The former represented over 50% of the land cover in 1960 and only a bit less in 1995; the latter represented 30% of the land cover in 1960 and 1995. By 2006, woodland and forest represented each 20%. The Environmental Conservation Trust of Uganda -Ecotrust (2012) provides similar conclusions. They studied the land use change in Mbale, Manafwa and Bududa Districts in the period 1996-2005 for various selected vegetation types, namely woodland, broad leaved tree plantation, grassland and farmland. They found a significant reduction of natural vegetation cover in the period. In particular, grassland, woodland and broad leaved tree plantation cover decreased substantially (72%, 63% and 41%, respectively) from 1996 to 2005.
26. Deforestation is the result of the development of human settlements, the energy consumption pattern and the expansion of agriculture. The continued increase in human population has resulted in a burgeoning demand of land and forest products for human settlements, including housing and other infrastructures, such as other buildings (administration, cultural sites) and pathways and roads. Although the development of urban agglomerations has not been significant, and urbanization is not particularly strong, increased population has resulted in an increase of human settlements along the landscape, reclaiming land for housing and infrastructure. Energy consumption has also contributed to deforestation, given that the majority of the population uses firewood and charcoal as energy source. Nevertheless, agriculture has been the biggest contributor to deforestation. Mugagga (2011) found that the share of farmland on land cover increased from a bit less than 20% in 1960 to 20% in 1995 and 60% in 2006. The figure below shows the evolution of woodland, forest and farmland cover.

Figure 2: Land use trends in Mt Elgon region between 1960 and 2006



Source: Mugagga, 2011. Land Use Change, Landslide Occurrence and Livelihood Strategies on Mt Elgon Slopes, Eastern Uganda.

27. Ecotrust (2012) showed also that there is a high correlation between deforestation and the increase of farmland area between 1995 and 2006. Specifically, their study found that while the

other land covers decreased by 11,808 ha, small-scale farmland cover increased by 9,906 ha (10% in relative terms). The numbers are presented in the table below.

Table 2: Land use change in Mbale, Manafwa and Bududa Districts. 1996-2005

Vegetation type-Land Cover Classification	Area (ha) 1996	Area (ha) 2005	Change (ha)	Percentage change	%change per year
Woodland	12,402	4,591	-7,811	-63	-6.3
Grassland	5,413	1,519	-3,894	-72	-7.2
Broad leaved tree plantation	253	150	-103	-41	-4.1
Small-scale farmland (non-uniform)	103,534	113,441	9,906	10	1.0

Source: Adapted from ECOTRUST Biomass Assessment report, 2012. Note that there are no disaggregated and updated figures for deforestation for Mbale and Manafwa, nor any figures for Bulambuli.

28. More recent information shows that the situation is even worse today. According to Bulambuli's and Mbale's DDPs, agricultural production accounts for more than 70% of the land use, accounting for 81.4% in Bulambuli and for 71.7 % in Mbale. In that sense, although forest and wetlands are also important, agro ecosystems are the main ecosystem in the region.
29. It is important to note also that unfortunately reforestation privileges to a great extent exotic species such as eucalyptus and pines that require a significant amount of water (Soini, 2007). According to Byabashija et al. (2004) not much is known on how to propagate indigenous tree species and it is still difficult to help rural communities to produce them in large quantities. According to Ecotrust (2012), the most abundant on-farm trees in the Mount Elgon region included but were not limited to *Albizia coriaria*, *Markhamia lutea*, *Cordia millenii*, *Persia Americana*, *Premna spp.*, *Eucalyptus grandis* and *Pinus caribaea*.

### Agricultural Practices

30. *Agricultural* practices are key for ecosystem conservation. Crop rotation and perennial crops reduce land degradation, can help restore soil fertility and reduce pest and diseases issues. Soil and water conservation techniques (such as contours, terraces, trenches, agroforestry and planting grasses along contours) contribute as well to sustainable land management. Some of these techniques are being used in the area of intervention. Barungi et al. (2013) found that over 90% of the farmers of the neighbouring districts of Bukwo and Kween used at least one of these technologies, covering about 69% of the cultivated land. Contour ploughing and terracing are widespread techniques, even amongst the populations living close to the NP boundaries, as Mugagga and Buyinza (2013) showed in their study of Manafwa.
31. Overall, however, agricultural practices are contributing to land degradation in the area of intervention. First, over-cultivation and over grazing are widespread, leading to the exhaustion of soil nutrients. Second, slash and burn techniques are common in the area. According to Mugagga (2011), these are widespread practices to prepare land for cultivation, especially amongst the farmers owning a small piece of land, which are a significant majority. Slash and burn practices tend to accentuate soil erosion through the formation of rills, gullies and sheets, and due to the fact that burning contributes to denaturing the physicochemical properties of the soil. Third, although some soil erosion technologies are being used, increasing with a distance from the National Park (NP), the extension and intensity of their use is not sufficient for high effective control of soil erosion, according to Barungi et al. (2013). The table below shows the use of conservation practices in the district of Manafwa in three different sites at several distances from the park.

Table 3: COMMON SOIL CONSERVATION TECHNIQUES USED BY FARMERS IN THREE SITES OF THE MANAFWA DISTRICT

Conservation measures	Bunamulunyi (adjacent to Park boundary)	Bunambale (4 kms away)	Bumumali (> 15 kms away)
	Rating	Rating	Rating
<b>Structural</b>			
Terraced farming	Low	High	High
Water ways	Low	High	High
Check dams	medium	medium	medium
Gulley controls	Medium	High	High
<b>Biological</b>			
Alley cropping	Low	Medium	Medium
Vegetative measures	Low	Medium	Medium
Mulching	Low	Medium	High
<b>Application of fertilizers</b>			
Composit	Low	Medium	High
Green manure	Low	Medium	High
Legume cultivation	High	High	High
Chemical fertilizers	Low	Low	Low

Source: Mugagga and Buyinza (2013).

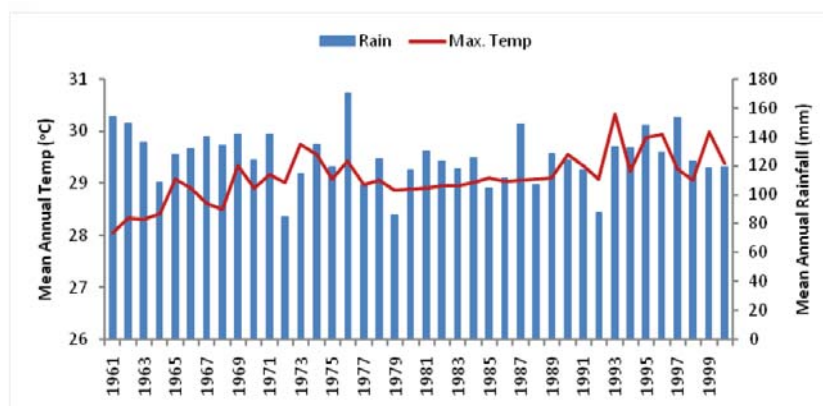
32. According to Mugagga and Buyinza (2013), structural measures, especially check dams - that is, small, often temporary, dams constructed across a swale, drainage ditch, or waterway to counteract erosion by reducing water flow velocity- and gulley controls, are relatively common. However, biological interventions, such as planting wind brakes, and application of chemical fertilizers are not widespread, given the time, labour and financial costs they imply. It is worth noting that the most common way of restoring fertility is by planting legumes, such as beans, which do not only serve this purpose but are major cash crops coming from the area.

### Climate Change

33. These direct pressures on the environment are compounded with the impact of climate change. According to climate data, temperatures increased between 1961 and 2000 in the Mount Elgon region. Average annual rainfall also increased in the period, although the rain pattern is not as clear. The figure below shows the average annual temperature and rainfall for Mt Elgon region between 1961 and 2000.



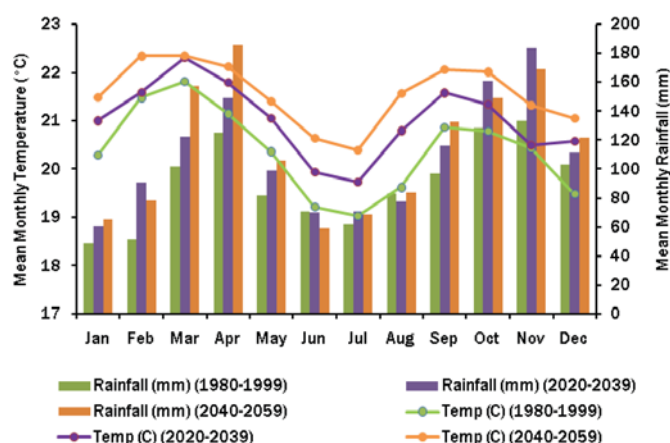
Figure 3: Mean annual temperature and rainfall in Mt Elgon region between 1960 and 2000



Source: Data collected in Tororo weather station and presented in The Republic of Uganda. 2013. *Ecosystem Based Adaptation – Vulnerability Impact Assessment for the Mt Elgon Ecosystem*

34. The Coupled Global Climate Model (CGCM3) of the Canadian Centre for Climate Modelling and Analysis predicted future climate scenarios for the Mt Elgon. According to this model, temperatures in the region are likely to increase by 0.5-0.6°C for the next 20 to 50 years. Although total rainfall is likely to increase by 18.7 mm over the next 20 years, it is foreseen that the current dry period between June and August will receive less rainfall. The figure below presents the climate change predictions for the region according to the CGCM3 model.

Figure 4: Climate Change Predictions for the Mt Elgon Region (2020-2039 and 2040-2059) based on the CGCM3 model



Source: *Ecosystem Based Adaptation – Vulnerability Impact Assessment for the Mt Elgon Ecosystem*<sup>3</sup>

35. The communities of the area of intervention are particularly sensitive to climate change. Rain fed agriculture, the main source of livelihood for Mt Elgon local communities, is highly dependent on precipitations. Precipitation also affects the availability of livestock forage and water supply for domestic use. In this sense, prolonged dry spells result in water scarcity leading to unavailability of water for domestic use, shortage of livestock forage and low yields, and can

<sup>3</sup> Climate change data for the Mt. Elgon region based on the CGCM3.1 model was downloaded from the World Bank Climate Change Knowledge Portal for Development Practitioners and Policy Makers (<http://sdwebx.worldbank.org/climateportal/index.cfm>)



result even in famines. According to the EBA report (2013), the upper area of Bulambuli district is under a severe risk of drought, while the lower areas of Manafwa and Mbale districts are under high risk. The interviews conducted in the Mt Elgon region during the PPG phase showed that local communities have already noted increased climate variability and experienced the impacts of climate change and climate variability. The table below summarizes the evidence of climate variability and probably climate change and its impacts by local communities during the PPG in the three districts of intervention.

Table 4: CLIMATE CHANGE and variability EVIDENCE AND IMPACTS IN MBALE, MANAFWA AND BULAMBULI DISTRICTS

Evidence in change on climate variables	Impacts
<ol style="list-style-type: none"> <li>1. Increased climate variability, especially in rainfall</li> <li>2. Increased temperatures, leading to strong heat in previously cold places, such as hills</li> <li>3. Increased frequency and intensity of heavy rains, storms and rolling stones</li> <li>4. Increased frequency and intensity of prolonged dry spells (droughts)</li> <li>5. Emerging rain shadows</li> <li>6. Emerging pests and diseases (tsetse flies, coffee wilt disease, BBW, coffee berry disease)</li> </ol>	<ol style="list-style-type: none"> <li>7. Reduced food production, leading to food insecurity and reduced income</li> <li>8. Increase in diseases and pests for both humans (malaria endemic in hills), crops (coffee wilt disease, coffee berry disease) and animals (tsetse flies)</li> <li>9. Deteriorating water quantity and quality</li> <li>10. Increased frequency and intensity of landslides, mudslides and floods, affecting life and property</li> <li>11. Local extinction of plant and animal species (bamboo, <i>Prunus Africana</i>)</li> </ol>

Source: Interviews and workshop with local communities undertaken during the PPG phase of the project “Integrated Landscape Management for Improved Livelihoods and Ecosystem Resilience in Mt Elgon”.

### Land Degradation

36. The land use changes, the agricultural practices and the change in the climate variables discussed above have led to a severe degradation of the ecosystems of the three districts of intervention. Soil has been particularly affected. The National Environment Management Authority (NEMA) (2010) found that depending on location and vegetation cover, 60 to 90% of the land of the Mount Elgon region was affected by soil erosion. Semalulu et al. (2014) installed Gerlach troughs on runoff plots on farmers’ fields from April 2011 to June 2012 (14 months) to measure runoff, soil erosion and nutrient (nitrogen, phosphorus and potassium) loss in the Mount Elgon region under different conditions. In particular, they considered the existence of conservation practices (such as terraces, contours, trenches, and planting of trees and Napier grass), the type of cropping practices and the slopes categories. Semalulu et al. (2014) provided two critical insights. The first showed that soil erosion is a major problem in the Mount Elgon region. Although the exact quantity of soil erosion depends on the variables noted above, soil erosion is significant even under the best conditions. Semalulu et al. (2014) found that soil and nutrient loss reach 12.3 t ha<sup>-1</sup> and 48.4 kg ha<sup>-1</sup> yr<sup>-1</sup>, respectively, even with conservation practices; 1.5 t ha<sup>-1</sup> yr<sup>-1</sup> and 6.4 kg ha<sup>-1</sup> yr<sup>-1</sup>, respectively, even under perennial cropping; and 26 kg of nitrogen per ha<sup>-1</sup> even for 11-15% slope class.
37. The second insight of the study showed that the exact quantity depends on the variables noted above. In particular, Semalulu et al. (2014) found that soil erosion and nutrient loss are less significant with conservation practices, perennial cropping practices and mild slopes. While

runoff, soil erosion and nutrient loss reached 852 m<sup>3</sup>ha<sup>-1</sup>, 12.3 t ha<sup>-1</sup> and 48.4 kg ha<sup>-1</sup> yr<sup>-1</sup> with conservation practices, they increased to 1,502 m<sup>3</sup>ha<sup>-1</sup>, 25.1 t ha<sup>-1</sup> and 92.4 kg ha<sup>-1</sup> yr<sup>-1</sup>, respectively, without conservation practices. This is crucial given the land use change processes and the agricultural practices that have been discussed above. For instance, deforestation reduces the capacity of the ecosystem to retain water, resulting in the nutrients of the soil getting washed off. Mugagga and Ecotrust's (2012) registers and Barungi et al.'s (2013) study imply that conditions for significant soil erosion are widespread in the area of intervention. Semalulu et al.'s (2014) study shows, in any case, that the type of cropping also matters. While soil and nutrient losses reached 1.5 t ha<sup>-1</sup> yr<sup>-1</sup> and 6.4 kg ha<sup>-1</sup> yr<sup>-1</sup>, under perennial cropping (banana and Arabica coffee), they increased to 36 t ha<sup>-1</sup> yr<sup>-1</sup> and 135 kg ha<sup>-1</sup> yr<sup>-1</sup>, respectively, with annual cropping (maize, tomatoes, beans, Irish potatoes, and wheat). Finally, runoff and soil and nutrient losses increased with steeper slopes. For instance, while nitrogen loss reached 26 kg ha<sup>-1</sup> for 11-15% slope class, it increased to 138 kg ha<sup>-1</sup> for the 21-25% slopes. Semalulu et al.'s (2014) study found that runoff is sensitive to conservation practices and slope categories (runoff is higher without conservation practices and in steeper slopes), but, in contrast with soil and nutrient erosion, it is not sensitive to the cropping practice.

38. The erosion of the soil has considerable implications. Semalulu et al.'s (2014) study showed that soil erosion and nutrient loss reduced soil productivity and led to financial losses. Financial losses were significant under the best conditions, such as conservation practices and perennial cropping. Financial losses reached USD 91 ha<sup>-1</sup> yr<sup>-1</sup> on fields with conservation practices and USD 12 for perennial cropping. However, these were even greater under inappropriate practices. The financial losses increased to USD 172 ha<sup>-1</sup> yr<sup>-1</sup> without conservation practices and to USD 250 for annual cropping. Kefi and Yoshino (2010) found in this line that reduced soil productivity has critical economic, political, social and environmental implications due to both on-site and off-site effects. Since the majority of the population of the area of intervention depends on agriculture for their livelihoods, soil erosion is an aggravating factor for poverty and food insecurity. Unless sustainable land management is significantly increased, the combination of deforestation, inappropriate agricultural practices and climate change is likely to worsen soil erosion in the area of intervention, posing a severe limitation for development. Soil erosion leads sometimes to landslides, affecting lives and properties, as reported by Formo and Padeginas (2012). Significant landslides affected Bulambuli district (Sisiyi sub-county) in 2011 and Bududa district in 2012.

### Flooding

39. Existing land use management has also contributed to flooding, destroying homes while also causing serious damages for the agricultural and health sectors. Flood risk in low lying areas is intensified by land use changes in the mid and upper slopes of the mountain. The blockage of drainage canals upstream, the conversion of forested area to human settlements or agricultural land and the establishment of croplands/grazing lands on river banks have contributed to reducing the natural capacity of the ecosystems to retain water, increasing the risk of flooding. The development of these processes in the low lying areas, together with the reclamation of swamps, have also increased the risk of flooding. The combination of anthropogenic pressures together with the predicted climate scenario show that floods are likely to increase in the future in the Mt Elgon region if proper climate compatible development measures are not undertaken. It is important to note that water from rivers is often polluted, and that floods lead to health problems. In this sense, it has been observed that soil erosion and mis-use of agricultural chemicals have polluted river Manafwa.

## Greenhouse gas emissions

40. The TACC project conducted an assessment of the amount and sources of GHG emissions in the districts of Mbale, Manafwa and Bududa. According to this source, 1,293,760.7 tCO<sub>2</sub>e/year are emitted in the three mentioned districts. The distribution shows that cropland was the major source of emissions and that the capacity of forest areas for carbon storage is significant. The table below presents the overall distribution of emissions by source. Until the recent past, emission were concentrated at the base of the mountains, mainly driven by the growing population and the fact that it is at the foot of the mountain where technologies mainly for agriculture were more applicable, and the soils more fertile. With the growth in population, resources at the mountain foot were exhausted and degraded and competition for them increased significantly, forcing people to move into the higher mountains and encroach on even the national forest reserves, increasing emissions from highlands.

Table 5: Annual GHG emissions per source in the Mbale region

Source	Emission (tCO <sub>2</sub> e/year)	Comment
<b>Cropland</b>	994,207.4	Emission
<b>Livestock</b>	254,299	Emission
<b>Energy Sector</b>	331,889	Emission
<b>Forestry and Land Use</b>	- 286,634.7	Sequestration
<b>Net emission</b>	<b>1,293,761</b>	

Source: UNDP. July 2012. *Analysis of Adaptations and Mitigation Options for the TACC Project for the Mbale Region of Uganda*

### B.2.c Global Environmental Benefits

41. The Mt Elgon region is home to over 300 species of birds, including the endangered Lammergeyer. Small antelopes, forest monkeys, elephants and buffalos also live on the mountainside. The higher slopes, protected by national parks in both Uganda and Kenya, create an extensive transboundary conservation area that has been declared a UNESCO Man and Biosphere Reserve. Mt Elgon lies in the Eastern Afromontane Biodiversity Hotspot. It supports a rich variety of altitudinal vegetation zones ranging from montane forest to high open moorland. Major biomes include the Guinea–Congo Forests biome and Afrotropical highland biome. Vegetation types include upper montane, montane, submontane and lowland forests, with Afromontane grassland. Mt Elgon is also the water tower for both Uganda and Kenya, serving as a catchment area for drainage systems of Lakes Victoria, Turkana and Kyoga with its many tributaries draining into the major rivers that lead to large water bodies before finally joining the River Nile System.
42. In addition, as noted above, the forest areas of the region have a great carbon storage capacity and the region is now responsible for considerable GHG emissions. This project is addressing this issue - a gap that has not been covered by the scope and targets of the baseline projects. Global benefits in the climate change focal area will be achieved by restoring vegetation at 5,000 ha, resulting in enhancement of carbon stocks by at least 24,242 tC/y<sup>4</sup>. A calculation of the carbon benefits is depicted in the table below.

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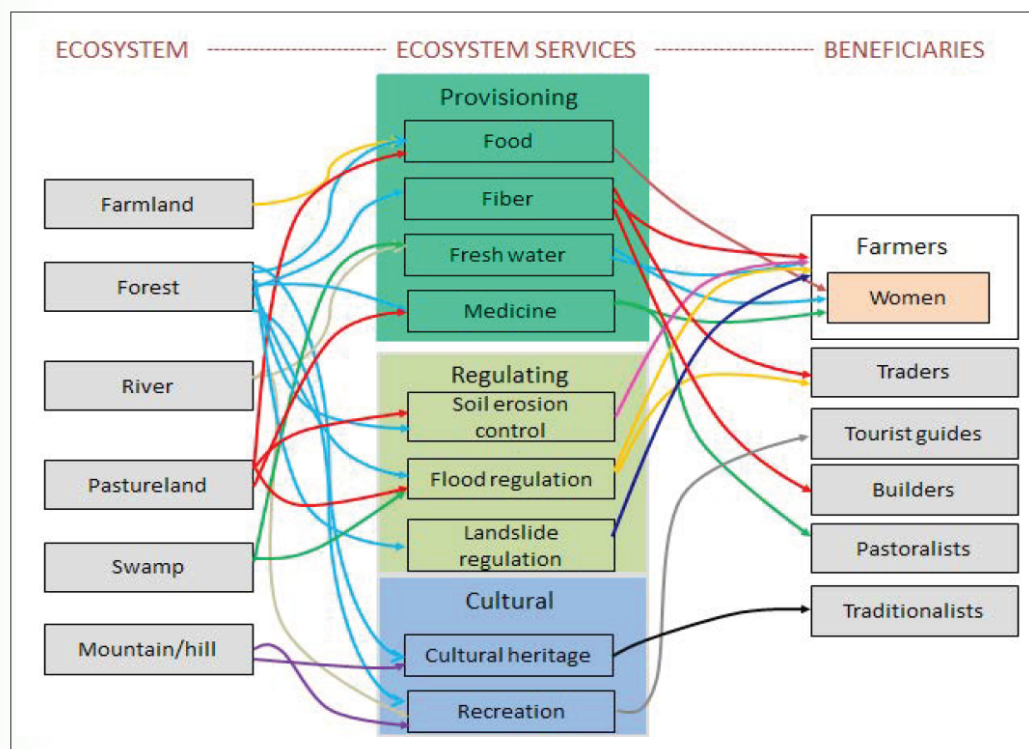
<sup>4</sup> The emissions target remains the same because the target area has not changed. This target was discussed during the consultation process with a wide range of national and local stakeholders in the field.

Table 6: Estimate of Carbon Benefits from restoring 5000 ha with Grevilla and Albizia

	Mean annual increment, cubic meters per ha	Basic wood density, tonnes of oven-dry matter per cubic meter of green biomass,	Dry matter increment, t d m/ha/year	Root to shoot ratio	Above + below ground increment, t.d.m/ha/y	Default IPCC Carbon Fraction	Above + below ground increment, tC/ha/y	Total area over which the species will be planted, ha	Above + below ground increment, tC/area/y
<i>Grevillea robusta</i>	Source: <i>Arboles Útiles de la Región Tropical de América Del Norte</i> By Russell M. Burns, Menandra Mosquera, Jacob L. Whitmore, United States. Forest Service, North American Forestry Commission, Canada. Natural Resources Canada	Source: <a href="http://tropag.in/index.php/ojs/article/viewFile/164/152">http://tropag.in/index.php/ojs/article/viewFile/164/152</a>		IPCC Vol 2 AFOLU , GPG, Table 4.4		IPCC AFOLU VOL 2, Table 4.3			
	14.5	0.478	6.931	0.56	10.81236	0.47	5.081809	2,500	12704.52
<i>Albizia spp</i>	Source: <a href="http://planvivo.org/wp-content/uploads/MOZ-TS-boundaryplanting.pdf">http://planvivo.org/wp-content/uploads/MOZ-TS-boundaryplanting.pdf</a>	IPCC		IPCC Vol 2 AFOLU , GPG, Table 4.4		IPCC AFOLU VOL 2, Table 4.3			
	12	0.52	6.24	0.56	9.7344	0.47	4.575168	2,500	11437.92
<b>Total</b>									<b>24142.44</b>

43. Furthermore, Mt Elgon offers a variety of ecosystems providing services upon which local population heavily depends. The Mt. Elgon watershed contains numerous rivers flowing to the lowlands, fertile volcanic soils especially on the ridges, good climate, and good scenery for tourist attractions. The lowlands host several wetlands that receive the overflows from the ridges. River catchment are used by local communities for their socio-economic activities, including agriculture, small scale industries, tourism and wildlife conservation. The wetlands provide many ecosystem services such as herbal medicine, food, freshwater for livestock and domestic use, fiber and firewood. In Mbale and Manafwa districts, sand and stone quarries have been established, providing additional livelihood for local people. The figure below represents the link between the ecosystems, the ecosystems services provided and their beneficiaries.

Figure 5: Diagrammatic nexus of key ecosystems, ecosystem services and beneficiaries in the Mount Elgon region



Source: The Republic of Uganda. 2013. *Ecosystem Based Adaptation – Vulnerability Impact Assessment for the Mt Elgon Ecosystem*.

#### B.2.d Policy and Legislative Context

44. Uganda presents a rather comprehensive sustainable development policy framework made up of several national policies and strategies. This section presents the most relevant policy documents to the project in the Mt Elgon region.
45. The Constitution of Uganda (1995) has various sets of objectives, regarding in particular policy, human rights, society and economy, culture, accountability, the environment, foreign policy, and the duties of a citizen. Regarding the environment, the constitution promotes a sustainable development and a utilization of natural resources that meets the development and environmental needs of present and future generations. Chapter 15 of the Constitution focuses entirely on land and the environment; article 245 of this chapter addresses in particular environmental protection and preservation.
46. The Uganda Vision for 2040 (2007) is “a transformed Uganda society from a peasant to a modern and prosperous country within 30 years”. The underlying objective consists in transforming Uganda from a predominantly peasant and low income country to a competitive upper middle income one.
47. The Uganda National Development Plan (2010) for 2010/11 -2014/15 lays the country’s medium term strategic development priorities and implementation strategies. It is closely linked to the vision 2040 and its theme is “Growth, Employment and Socio-Economic Transformation for Prosperity”. The project “integrating landscape management for improved livelihoods and ecosystem resilience” in Mt Elgon is in synergy with several objectives and strategies of the NDP. For instance, (i) one of the agricultural sector strategies in the NDP consists in enhancing land productivity through sustainable land use and management of soil and water resources; (ii)

the forestry sector includes a strategy aiming at regulating forestry activity on private land; and (iii) one of the strategies of the NDP for the physical planning sector is to establish a land use database and computerized physical planning operation. The Uganda NDP for the period 2016-2020 is currently under development.

48. Uganda ratified the United Nations Framework Convention on Climate Change (UNFCCC) on September 8th 1993 and produced its First National Communication to the UNFCCC in 2002. This document identifies carbon dioxide (CO<sub>2</sub>) as the key GHG in Uganda. The communication also stresses that agriculture, land use change and forestry activities emit a significant amount of GHG emissions. Uganda's Second National Communication, which was produced in 2014, echoes this conclusion.
49. Uganda finalized its National Adaptation Programme of Action (NAPA) in 2007. The aim of the NAPA consists in identifying priority activities to respond to the urgent needs of the country to adapt to climate change. The project is particularly in line with the top 3 prioritized intervention areas identified in the NAPA that are: land and land use; farm forestry; and water resources.
50. The National Climate Change Policy (NCCP) for Uganda, enacted in December 2013, aims to ensure a harmonized and coordinated approach towards a climate-resilient and low-carbon development path for sustainable development in the country. The overarching objective of the policy is to ensure that all stakeholders address climate change impacts and their causes through appropriate measures, while promoting sustainable development and a green economy. The project will support progress towards this objective by promoting sustainable land management and prevention of land degradation. The NCCP is complemented by a costed implementation strategy that offers a way towards its operationalization.
51. The Uganda Strategic Investment Framework for Sustainable Land Management (U-SIF SLM) (2010) for 2010-2020 in Uganda recognizes land degradation as a major impediment to sustainable growth in agriculture, natural resources productivity, and national economic development. The goal of the U-SIF SLM is to promote key sectors cooperation to improve natural resource based livelihoods and other ecosystem services. The SIF aims at providing an integrated cross-sector approach to address SLM challenges. It also aims at scaling up and mainstreaming SLM into national development agendas. The project will be in line with these objectives.
52. The Agricultural Sector Development Strategy and Investment Plan (DSIP) 2010/11-2014/15 for Uganda is based on a vision for the future which is to have "a competitive, profitable and sustainable agricultural sector". The development objectives of the DSIP consist in increasing rural incomes and livelihoods, and to improve households' food and nutrition security. The first programme of the DSIP addresses in particular production and productivity and aims at enhancing land productivity through the sustainable use and management of soil and water resources, which is in line with the objectives of the project.
53. The Uganda Forestry Policy from 2001 has the following vision: "a sufficiently forested, ecologically stable and economically prosperous Uganda". The policy recognizes the central role played by forests and woodlands in the three pillars of sustainable development. The goal of the policy is "an integrated forest sector that achieves sustainable increases in the economic, social and environmental benefits from forests and trees by all the people of Uganda, especially the poor and vulnerable".
54. The National Forestry and Tree Planting Act (Act n°8 of 2003) aims for the conservation, sustainable management and development of forests for the benefit of the people of Uganda. The Act establishes central forest reserves and other forest reserves. It provides for collaborative

- forest management, establishes a tree fund and provides for licenses and for the Environmental Impact Assessment (EIA) process for development projects intended in forest reserves.
55. The Land Act (Cap 227, 1998) legally actualized most of the reforms provided in the 1995 Constitution. The Act addresses the landlord-tenant relationship and provides in particular: a definition of bona fide occupant, a definition of occupancy in terms of size of land utilized, and the rights conferred on the tenants as well as the rent payable. The Land Act also prohibits the leasing or alienation of natural resources but allows the grant of concessions, licenses or permits. However the act didn't manage to exhaust all critical issues on the content and viability of property rights, and contributed to make the landlord-tenant relationship controversial.
  56. The National Land Policy (2013) consolidates previous scattered policies on land and natural resources, with a specific focus on ownership and land development. The vision of the policy is "a transformed Ugandan society through optimal use and management of land resources for a prosperous and industrialized economy with a developed services sector"; and its goal consists in ensuring "efficient, equitable and optimal utilization and management of Uganda's land resources for poverty reduction, wealth creation and overall socio-economic development". The policy seeks to create synergies between the land sector and other central sectors for the economic development of the country. The policy re-introduces land tribunals with the creation of a special division in the Magistrates Courts and the High Court, to better address escalating land conflicts and evictions. The land policy recognizes the cohabitation of customary and statutory systems in land rights administration, and takes it into account when addressing land management and conflicts. In order to implement this policy, a National Land Policy Implementation Unit has been designated to coordinate planning and implementation.
  57. The Uganda Wildlife Act (1996) is an act to provide for sustainable management of wildlife and consolidate the legislative framework in terms of wildlife management. The Act established UWA as the coordinating, monitoring and supervisory body for sustainable wildlife management. This is critical in the area of intervention as some part of it is under the MENP.
  58. The Water Act (Cap 152, 1997) consists of key provisions to enhance sustainable development. It provides for the use, protection and management of water use and supply. The Act also addresses water rights; planning for water use; control on the use of water resources; water easements; and control over water works and water use.
  59. The National Environment Act (Cap 153, 1998) establishes the National Environment Management Authority (NEMA) as the overall body that is in charge of the management of environmental issues and provides for sustainable management of the environment. The Authority, in consultation with the lead agencies, is empowered to issue guidelines and prescribe measures and standards for the management and conservation of natural resources and the environment.
  60. The National Environment (Mountainous and Hilly Areas Management) Regulations (S.I No 153-6) (2000) facilitate sustainable utilization and conservation of resources in mountainous and hilly area. They promote soil conservation and restrict the use of these areas. They restrict cattle grazing, provide for the declaration of closed and open seasons, afforestation and reforestation, and prevent the introduction of alien or exotic species. The district councils are permitted to make bylaws for the protection of mountainous and hilly areas that are at risk of environmental degradation.
  61. The National Environment (Minimum Standards for Discharge of Effluent into Water or on Land) Regulations (S.I No 153-3) prohibit discharge of effluent or waste on land or into the aquatic environment contrary to established standards and without a waste discharge permit. They provide for the general obligation to mitigate pollution by the installation of antipollution equipment for the treatment of effluent and waste discharge.

62. The National Environment (Wetlands, Riverbanks and Lakeshores Management) Regulations (S.I No 153-5) provide for the protection of wetlands; their conservation and wise use; inventorying of wetlands; and wetland use permits for regulated activities. The Regulations also provide for protection zones for riverbanks and lakeshores.
63. The National Policy for Disaster Preparedness and Management (2010) in Uganda aims at creating an effective framework through which Disaster Preparedness and Management is entrenched in all aspects of the development processes, focusing on saving lives, livelihoods and the country's resources. In relation to the project, it addresses in particular landslides and mudslides by promoting the following actions: (i) gazette landslide and mudslide prone areas and prohibit settlement in such risk areas; (ii) resettle all persons living in land/mudslide prone areas; (iii) promote afforestation; enforce relevant laws and policies; and (iv) apply appropriate farming technologies and land use practices.
64. The Local Development Act (CAP 243, 1997) amends, consolidates and streamlines the existing legal framework in order to give effect to the decentralization process. Part IV mandates local councils to have legislative power to enact district laws (ordinances by District Local Governments -DLG- and City councils) and bylaws by lower councils (Municipal Councils, Town councils and Sub counties). According to this act, ordinances may create offences and penalties. The ordinance and bylaws approved at the district level can have an important influence in sustainable land management. In the area of intervention some institutions, such as the International Union for the Conservation of Nature (IUCN) and National Agricultural Advisory Services (NAADS), have promoted the development of ordinances and bylaws for sustainable land management at the district level.
65. The Integrated Territorial Climate Plan (ITCP) for 2014-2019 in the Mbale Region of Uganda is the first Climate Change Plan to be developed at a sub-national level in Uganda, cutting across district local governments. It is a multi-sector initiative that explores options to guide future funds to climate change activities in the region and to focus donor, civil society and private funding initiatives. The goal of the ITCP is "to enable the Mbale region districts to integrate climate change adaptation and mitigation in their development agenda of sustainable development and livelihood improvement". The objectives of the ITCP are: (i) to promote the integration of climate resilient and low carbon development actions into policy, legal frameworks, local development planning, and budgeting and financing processes; (ii) to create awareness on climate change, the challenges posed by it and opportunities to overcome these challenges with all stakeholders in the region; (iii) to help mobilize the necessary resources required for the implementation of climate smart development activities in the region; and (iv) to promote sustainable and climate smart use and management of natural resources in the region. The project will therefore be particularly well aligned with the ITCP objectives.
66. The District Development Plans are the key planning tool at the District Level. The three districts of intervention have DDPs for the period 2010/2011 – 2014/2015. These plans present the situation in their corresponding area, establish development goals, objectives and strategies, set the expenditure framework, define an implementation plan and design a monitoring and evaluation plan. At the moment, the three districts are developing their DDPs for the period 2015/2016 – 2019/2020.
67. The Local Environmental Committees operate at the district level and are responsible for the preparation of the district environment action plan, which should be revised every three years or such other lesser period.
68. Annex 7 presents a selection of the clauses and articles related to sustainable land management amongst legislation that are relevant to the project.



## B.2.e Institutional Context

69. Various institutions and actors are relevant in the Mt Elgon area in terms of sustainable land management and climate compatible development, including climate smart agriculture. They include national government agencies, local governments, international, national and local non-governmental organizations, and the private sector.

### **Central Government Agencies and Services**

70. The **Ministry of Agriculture, Animal Industries and Fisheries** (MAAIF) has the mandate of promoting and supporting sustainable and market oriented agricultural production, food security and household incomes. MAAIF's vision is a competitive, profitable and sustainable agricultural sector. MAAIF will play the role of implementing partner of the project. It will be member of the Project Board and will be responsible for the coordination of various activities under both components, as described in Table 10 (Section C.4) below.
71. The **Ministry of Water and Environment** (MWE) has the responsibility for setting national policies and standards, managing and regulating water and environmental resources and determining priorities for water and environmental development and management. It also monitors and evaluates sector development programmes to keep track of their performance, efficiency and effectiveness in service delivery. MWE has three directorates: Directorate of Water Resources Management (DWRM), Directorate of Water Development (DWD) and the Directorate of Environmental Affairs (DEA). The Kyoga water management zone area office is located in Mbale and is conducting water catchment management in the Mt. Elgon region. MWE will be responsible for the coordination of various activities under both components, and will participate in those activities it is not responsible for.
72. The National Environment Management Authority (NEMA) is the principal agency responsible for the management of the environment by coordinating, monitoring, regulating and supervising all activities in the field of environment, according to the National Environment Act. NEMA's development objective is "to create, establish and maintain an efficient mechanism for sustainable environment and natural resources management at the national, district and community levels". In the project, NEMA will be involved in the implementation of output 1.4 for the development of the monitoring and enforcement framework for the land use plans and related legislation. NEMA will also be involved in activities under output 1.5 regarding the mainstreaming of SLM, SFM and CCM into DDPs.
73. The National Agriculture Advisory Services (NAADS) is a MAAIF department responsible for the provision of agricultural advisory services to farmers. One of its key objectives consists in promoting food security, nutrition and household incomes through increased productivity and market-oriented farming. Local governments are in charge of implementing NAADS activities in their respective districts. Although not explicitly stated, NAADS offers support for the agricultural sector that can contribute to better climate change adaptation. In partnership with the National Agricultural Research Organization (NARO), NAADS implements analytical tools on land productivity and climate risk and promotes integrated water management, watershed rehabilitation and sustainable land management. NAADS will play a key role in outputs 2.1, 2.2 and 2.3 for capacity building activities, as well as in the implementation of FFS and pilots.
74. NARO is a public institution responsible for guiding and coordinating all agricultural research activities in the agricultural research system in Uganda. It is funded by the GoU and donors funds. NARO's goal is to "enhance the contribution of agricultural research to sustainable agricultural productivity, economic growth, food security and poverty eradication through

generation and dissemination of appropriate technologies, knowledge and information”. NARO provides policy guidance to six public agricultural research institutes that are semi-autonomous agencies providing agricultural research services. NARO includes nine zonal agricultural research and development institutes that carry out agricultural research for specific agro-ecological zones and facilitate the dissemination of findings and technologies in the area. NARO organizes at least one meeting a year for representatives of the agricultural research providers, farmers, private sector, civil society and other stakeholders to discuss issues regarding agricultural research issues and priorities. Currently, NARO is conducting research on crop varieties such as heat resistant maize, millet and rice. NARO is also integrating agricultural information systems into an early warning system for Climate Change Adaptation (CCA) for smallholder farmers in the Lake Victoria Crescent Zones.

75. NARO has a research institute in Bulambuli District, in the Buginyanya sub-county (NARO Bugizardi). The research of this institute focuses on coffee, banana, Irish potato, apples, maize and pastures, with an emphasis on land and soil management. It produces coffee seeds, coffee seedlings and tree seedlings. The institute researches on its lands and then shows the innovations to the farmers, testing if they work on wider areas. In this sense, they work with the private sector to prioritize better seeds. As a major actor in agricultural research in Uganda, NARO will be involved in the implementation of most outputs and activities of the project, as described in table 10 (Section C.4).
76. The National Forestry Authority (NFA) is a semi-autonomous organization that aims to “manage the Central Forest Reserves (CFR) on a sustainable basis and to supply high quality forestry-related products and services to Government, local communities and the private sector”. For instance, in the Mbale region, the NFA manages five CFRs. The NFA reports to the Ministry of Water and Environment (MWE). NFA will be involved in the implementation of afforestation and tree farming pilots under activities 2.3.2 and 2.3.3.
77. The Uganda Wildlife Authority (UWA) is a semi-autonomous body financed by the GoU, development partners and NGOs. UWA is responsible for the sustainable management of wildlife and coordination, monitoring and supervision of activities related to wildlife management. UWA’s mission is to "conserve, economically develop and sustainably manage the wildlife and Protected Areas (PAs) of Uganda in partnership with neighbouring communities and other stakeholders for the benefit of the people of Uganda and the global community". UWA works with communities near PAs and promotes conservation-led business and investment in order to create benefits from wildlife conservation and PA management for local communities and manage human-wildlife conflicts. UWA manages the Mt Elgon National Park.
78. The Uganda National Meteorological Authority (UNMA) is responsible for collecting, analysing and monitoring weather and climate information and exchange data and products. The DoM is also in charge of the establishment and maintenance of the weather and climate observation network. This network includes synoptic stations, climate stations, upper air stations and rainfall.
79. Finally, the Uganda Coffee Development Authority (UCDA) seeks to promote and oversee the coffee industry by supporting research, promoting production, controlling the quality and improving the marketing of coffee in order to optimize foreign exchange earnings for the country and payments to the farmers. UCDA is relevant to Mount Elgon region given the coffee production that takes place there.

## **Local Government**

80. The local government in Uganda is made up of several entities at different levels:

81. The district includes several counties and the municipalities of the area. It is led by an elected local council chairman and his executive; the local council is also made up of sub-counties representatives and district technical staff. The council debates budgets, decisions and bylaws. The District Local Government (DLG) includes various departments, including environment, production and natural resources. The community development officers are also important.
82. The county is made up of a several sub-counties. Each county has an elected representative in the National Parliament in Kampala.
83. The sub-county is made up of a number of parishes. The sub-county is led by the sub-county chief on the technical side and by an elected local council chairman and his executive committee.
84. The parish is made up of a number of villages and is led by a parish chief, a government employee who provides technical input to the local council. Each parish has a local council committee made up of all the chairman from the villages in the parish. These local councils at parish level are involved in settling land distribution.
85. The village is the lowest administrative unit. Each village is run by a local council and governed by a chairman and nine other executive committee members.
86. The area of intervention includes three district local governments: Mbale DLG, Manafwa DLG and Bulambuli DLG. Mbale District is made up of 23 sub-counties; Manafwa District, of 30 sub-counties; and Bulambuli of 17 sub-counties.
87. Local Governments are funded through the central government and local revenue. Each district has a NAADS programme and the district and sub-county council are responsible for aligning local activities to NAADS. The Ministry of Local Governments (MOLG) oversees the integration of NAADS into Local Governments' development projects and capacity building initiatives.
88. The National Environment Act sanctions the creation of district environmental committees that should prepare district environmental plans to be revised every three years. However, as mentioned below, the attempts made in the 2001-2005 period to form them were unsuccessful.

### **Development partners**

89. Several development partners are present in the Mount Elgon region. UNDP is working on the EBA project. FAO is working in setting-up Farmer Field Schools and Agro-Pastoralist Field Schools. IUCN is working on the RFCC and EBA projects. World Wildlife Fund (WWF) is working on nature based income generating activities, energy efficiency technologies and tree planting. GEF, the Japan International Cooperation Agency (JICA), the United Kingdom Department for International Development (DIFD), the German Federal Ministry of Environment, Nature Conservation and Nuclear Safety (UBM), the Danish International Development Agency (DANIDA), United States Agency for International Development (USAID), World Vision, Red Cross and Heifer International also work or fund projects that work in the area of intervention. Relevant baseline initiatives are presented thereafter.

### **Local Non-Governmental Organizations (NGOs) and Community Based Organisations (CBOs)**

90. Several local NGOs and CBOs are involved in the Mt Elgon region regarding agriculture, forestry and smallholder farmer's livelihood. The duration and scope of their involvement varies widely in the region depending on each organization. Most NGOs benefit from internal funding and project funding from donors. The CSO/NGO play an important role in terms of mobilization

and sensitization, implementation of some sub-project components, co-funding to the project and generation of interest and information.

91. Ecotrust and Kitsi Farmers NGO (KIFANGO) are probably the most important ones to the project. Ecotrust contributes to sustainable land management through community mobilization, tree planting and carbon payments. KIFANGO deserves particular attention as one of the best practices in the area of intervention. Its area of operation is relatively large, with 246 individual members. In 1998 they started analysing the problem: too much soil erosion and soil fertility loss was observed, due mainly to deforestation for charcoal production, construction and firewood, as well as agriculture. They started planting trees in the farm boundaries, but it was difficult (some planted and then cut them). In consequence, they changed the method of planting trees, promoting agro-forestry in order to ensure that people could get income out of it. To achieve its objectives, KIFANGO has established and enforces internal bylaws. KIFANGO has received support from the GEF/SGP project focused on agroforestry and zero grazing approach (2001-2003), the Farming in Tsetse Control Area (FITCA) project (2002-2004), the ECOTRUST project focused on water harvesting to reduce run off from household roofs (2005), and the TACC project focused on sustainable agriculture/agroforestry/SWC (2012-2013).
92. In the area of intervention the following NGOs and CBOs are also relevant to the project: SNV, Send a cow, EADEN, Kafami, SCCOA, Mbale CAP, Community Partnership Development, Tabu Integrated Women's group and ECODEF.

### **Private Sector**

93. , Coffee-a-cup and Veco. Cooperative organizations, such as Bukhusu Yetana Area The private sector, mainly through banks, commodity trading firms and cooperatives, is relevant for smallholder farmers in the Mt Elgon area. Banks and micro finance institutions provide financial services to farmers, even though not easily accessible. Coffee as a major export good is a crop in which companies trading commodities invest, supplying technical advice inputs and processing hubs for farmers. Farmers' cooperatives provide similar services as the commodity trading firms but they are based on farmers' membership for joint marketing.
94. In the area, these are the most relevant: Eastern Private Sector, Kawacom, EPSEDEC, Kyagalanyi Cooperative Enterprise, Gumutindo, Bugisu Cooperative Union (BCU), Nile Brewer and Stan Chart are also important.
95. The table below summarizes the different roles of each of the institutions presented above.

Table 7: ROLES OF THE DIFFERENT INSTITUTIONS

Institution		Role							
		Control	Advice		Implementation				
			Research	Technical	Institutional	Land management	Storage and processing	Marketing	Financing
Central government agencies	NAADS	x		x					
	NARO		x	x					
	UWA	x							
	NFA	x		x					
Local government	Production	x		x					
	Natural resources	x		x					
Non-governmental organisations	Implementation			x	x				x
	Research		x	x	x				
Private sector	Commodity traders		x	x			x	x	x
	Cooperatives			x				x	x
	Banks and micro-finance institutions								x
Community based organisations				x			x	x	x
Farmer				x		x	x	x	

Source: The Republic of Uganda. 2013. *Integrated Territorial Climate Plan (ITCP) 2014-2029 for the Mbale Region of Uganda*.

## B.2.f Barriers to Achieving Global Environmental Objectives

Barrier	Elaboration
Weak enabling environment for sustainable land management and Climate Change Mitigation	<p>Land use planning in general is very weak. There are no district and local land use plans which makes it difficult for the districts and lower authorities to coordinate land management approaches, and provide coherent support and advice to communities. Even though some local environmental ordinances and byelaws have clauses relating to the use of land on steep slopes, they are not properly enforced. There are also varied and unclear processes for land tenure. Land titles which are the most legally binding are not easy for most small holders to obtain.</p> <p>Secondly, Natural resources have not been systematically mapped to show where problems are and where opportunities for SLM exist. Areas are not classified according to the degree of degradation, and as such land use does not take into account the ecosystem values and ecosystem carrying capacity or consider the long-term resilience of the resource base on which communities rely.</p> <p>Third, the Strategic Investment framework for SLM that was developed to guide implementation of SLM activities has not been mainstreamed into the district development plans. Therefore, there is no funding and implementation mechanism for SLM at the district level.</p>

	Fourth, institutional frameworks and knowledge networks that offer a starting point for addressing the climate change challenges and to realize mitigation potentials; are not adequate given the extent of climate change vulnerability and emissions of the region
Limited knowledge on how to implement Sustainable Land Management and CCM	There is limited access to extension services, limited or no innovation in land use management, and no incentives to improve land use practices. Non-application of sustainable land use practices is driven by limited 'knowhow' and technical capabilities to do so. There is a need to demonstrate how this can be done in practice, covering a diversity of farms (large and small, uphill and downhill, small cattle / large cattle / mixture, etc.). Such demonstration has not been yet available in the Mount Elgon landscape.

#### OTHER BARRIERS DETERMINED DURING PROJECT PREPARATION

96. The scarcity of farm planning and land use planning greatly contributes to ecosystem degradation in the area of intervention. On the one hand, few farmers have an integrated approach to their land. On the other, there is an absence of land use plans at village or parish levels. Good performers downhill are often affected by the practices of bad performers uphill. Some farmers attempting to practice Soil and Water Conservation (SWC) techniques claim that the high volume of water that comes from those who do not practice SWC techniques uphill destroys both the crops and the infrastructures established by them in their farmland, and that they get demoralized, reducing their commitment.
97. Limited knowledge. Poor knowledge is an important barrier to sustainable land management in the area of intervention in two ways. First, farmers lack often technical knowledge on how to manage their farmland. Poor farming methods, such as poor use of fertilizers and soil management (e.g. planting of crops downhill, instead of along contours or too small tree spacing in reforestation), were observed during the field visits. Barungi et al. (2013) found that farmers are more likely to use soil erosion control technologies intensively if extension services were to be improved. As we will discuss later when dealing with institutional caveats, technical officials / extensionists are not currently enough, lack skills and suffer transport constraints to provide advice to farmers in the entire area. Exchange visits are also currently poor in the area of intervention given the costs they imply.
98. Second, the adoption and use of soil erosion control technologies depend to a great extent on the knowledge of the costs and benefits associated with their use and the perception of farmers regarding the fertility of their land. Barungi et al. (2013) found that while good knowledge of the cost and benefits of their use and perception of significant fertility increase adoption and use, lack of awareness of the cost and benefits and perception of low or moderate fertility decrease the adoption and use of soil erosion control technologies. Barungi et al. (2013) found that there is a general lack of knowledge of the costs and benefits, and call for a further estimation, documentation and dissemination of them to farmers. According to their estimation, although farmers who did not use any soil erosion control technologies got positive net benefits, farmers who used these technologies got relatively higher net benefits. Among the latter, those who used all soil control technologies got higher net benefits than those who used only few of these technologies. Although without these technologies the soils of Mount Elgon are still productive, they produce below their potential if soil erosion control measures are not used. As noted above, fragmentation and current general land use practices have decreased soil fertility, leading to a vicious circle. Barungi et al. (2013) call for providing technical advice to farmer with the opinion that their land is not productive in order to replenish and sustain soil fertility and change their attitude. Finally, knowledge of climate change is only very general and not very precise, and is applied rarely.

99. Limited access to inputs. According to regional stakeholders, capital and farming inputs constitute a critical factor for sustainable land management in the area of intervention. Farmers claim that they often lack the capital to start. Beginning the work is the problem, they affirm. Given the profitability of sustainable land management, that allows them to re-invest, this seems reasonable. The field visits demonstrated that sustainable land management is very profitable: if they invest UGX 600,000 in onions, in 4 months farmers can have a return of UGX 2,000,000, that is, a profit of UGX 1,400,000. The obstacles to get the initial capital due to the not well functioning financial system are key at this regard. Many farmers cannot get formal loans and are driven to use informal systems with high interest rates (between 18 and 30%) and very short payback periods (e.g. within one month), often shorter to the time crops take to mature.
100. Local stakeholders claim also that the farmers often lack farming inputs. The lack of proper tools for transforming the physical structure of the land, such as digging trenches, is a critical problem. Only basic tools like hand hoes and pangas are often used for cultivation. In their study, Barungi et al. (2013) found that farmers in Mt Elgon were more likely to use soil erosion control practices if diversity of tools for farmers were to be improved. Farmers often lack as well vegetal inputs, such as quality seeds and seedlings for planting, and other inputs, such as manure, composting, organic and chemical fertilizers. The problem often is not that there are no materials, but that farmers find it difficult to access to them given that they are not affordable for them.
101. Limited access to markets. Gidoi et al. (2013) studied the implications of market access on soil and water conservation investment in the Bukwo, Kween and Kapchorwa districts of the Mount Elgon area. They found that market access and road infrastructure are good motivating mechanisms for farmers to invest in these technologies. Areas of relatively high agricultural potential but remote from major markets face numerous challenges in marketing their outputs that can lead to an underinvestment in SWC technologies. Himmelfarb (2006) study of Kapchorwa found as well that the existence of passable roads allowing the participation in expanding markets was a considerable determinant of investing in SWC technologies. Improved market access and road infrastructure for these farmers could significantly favour sustainable land management in the area of study, given that Mbale, Manafwa and Bulambuli include all relatively isolated sub-counties.
102. In addition, access to financial markets is also important. As noted above, the field visits suggest that the majority of farmers face important obstacles to participate in the formal financial system. They are often driven to informal systems with high interest rates and very short payback periods, often shorter to the time crops take to mature.
103. Small land size. With very high population density, average land holding is typically low, less than 1 ha per household, in the area of intervention. In Mbale District, the district survey report (2007) showed that 25.6% of the population had less than an acre of land. In Manafwa District the land size of an average family of 8 is limited to 0.25-2 acres. Discussion with the District Agriculture Officer of Bulambuli District indicated that generally land size per household is 0.1-1 acre for an average family of 6 in the highlands, while a household of 5 people owns on average 2 acres in the lowlands. The low per capita land holding results in very small and uneconomic parcels that can hardly produce the needed amount of yield with sustainable practices. Given the small size of their parcels, and the low and declining land productivity, farmers not only overuse them, with no periods of fallow, leading to exhaustion of soil nutrients, but are also more likely to encroach marginal lands, especially along riverbanks and on steep slopes (Mugagga and Buyinza, 2013). Barungi et al.'s (2013) study on the factors influencing the adoption of soil erosion control technologies in the Mount Elgon region found that owners of relatively high amount of land (over 1.09 ha) were more likely to adopt soil

- erosion control technologies. Soini (2007) argues that in some places the absence of trees responds to the fact that there is simply not enough land for both crops and trees.
104. Insecure land tenure. Mugagga and Buyinza (2013) examined the land tenure system in Manafwa, in particular in Tsekululu sub-county, between September and December 2012. Their study found that customary tenure was dominant, with a majority of farmers (49%) having inherited their land. Private lease owners represented 24% of the population and 23% did not have land and were encroaching on the National Park territory. 3% were renting or borrowing land from their neighbours for a specific period. There were no communal lands within the Mt. Elgon region.
  105. There is no consensus on the literature regarding whether this land tenure system is secure or not<sup>5</sup>. There is agreement that a considerable percentage of the people does not own land, particularly in the borders of MENP, and have therefore insecure tenure in the Mount Elgon region. There is controversy, however, regarding how secure customary tenure is, depending on whether a legalistic or cultural approach is favoured. Observation in the field suggests that although cultural approaches are right on stressing that customary tenure is relatively secure, this is not sufficiently secure today and it might become significantly insecure in the future, when the two tenure systems collide with increased frequency.
  106. There is no consensus either on the consequences of land insecurity on people and the environment. While some find it a significant deterrent to development, others claim that there is no automatic relationship and that it is the interaction of multiple factors what counts. Observation in the area of intervention suggests that although the latter is true, land insecurity is a critical impediment for poverty alleviation and sustainable land management in the Mount Elgon region. In any case, given the complexity of the issue, the promotion of formal land tenure should come along with complementary strategies, such as improved social services, including education (and agricultural extension), health and access to markets for all households.
  107. Gender inequality is significant in the area of intervention. Although the Ugandan constitution grants women equality with men, men own, access or control most of the household resources. Family members, including women, often use these resources but have no right to own or control them.
  108. Overall, in the Mount Elgon region women remain the biggest group of landless people and do not have the same rights in terms of land tenure and transactions. In addition, besides internal variation, in general trees belong to men and women can't own, control or profit from any trees of higher value (Soini, 2007). While women are in control of the food crops for domestic consumption, mainly seasonal crops, such as bananas and beans, men control as well the use of perennial cash crop, such as coffee. In cases where there is surplus for sale, the men control the money and decide how much to give to women. The table below shows the resource ownership between men and women within a household in Mbale district.

Table 8: Resource ownership disaggregated by gender in Mbale district

Resource	Ownership			
	Who bought	Who owns	Who controls	Who uses
Land	Men	Men	Men	Family members
Tree/Forest	Men	Men	Men	Men
Animals	Men	Men	Men	Family members

<sup>5</sup> Annex 8 provides a more comprehensive discussion of land tenure security in the area of intervention.



Crops	Men	Men	Men	Family members
Household property	Men	Men	Men	Family members
Vehicles	Men	Men	Men	Family members

Source: Adapted from Republic of Uganda. *Mbale District Development Plan (DDP) 2011-2015*

109. Although this seems to be true at the general level, and applies as well to Bulambuli, there are significant differences in Manafwa according to local stakeholders. In this district, women do own and inherit land. Indeed, according to the people met in the field, distribution of land starts with women and only then considers men, and the mother needs to sign the distribution.
110. In any case, in the three districts, labour tends to be unequally distributed between men and women. Women tend to be over burdened with domestic works. They are responsible for household duties such as collecting water and firewood and cooking. Women also run the farm and spend much longer time on food production than men. They can spend 18 hours a day working in order to support their family. In contrast, men spend less than 6 hours on constructive work, and spend the rest hanging out in trading centres. In Bulambuli, 74.1% of females are in unpaid family labour compared to 19.1% of men (Bulambuli DDP, 2010).
111. The gender analysis performed in the Mbale DDP shows that literacy and education rates are higher for men than women and that men dominate meetings and participation, which makes them predominant in decision making.
112. Gender inequality has important implications in terms of sustainable land management in the area of intervention. Women are the main tillers of the land but have limited ability and incentives to improve and diversify their livelihoods and the overall diversity of land where they work. Women are often overworked and lack proper control of the inputs and the outputs of land management, getting often discouraged and not putting much attention on protecting the land. However, despite these limits, a study by Barungi et al. (2013) on the factors influencing the adoption of soil erosion control technologies in the Mount Elgon region (Bukwo and Kween districts) found that women were more likely to adopt most of technologies than men. In particular, although the probability that a female farmer will adopt terraces is 26% lower than that of a male farmer, the probability that a female farmer will adopt trenches and Napier grass is 23% and 22% higher, respectively, than that of male farmer. In this sense, as the primary users of land, women are more likely to adopt practices and technologies on SLM than men. More female secure control over land could significantly help reduce land degradation in the area of intervention.
113. Youth constitutes a vulnerable group in the area as well. Young people are often landless. This and the opportunities in non-traditional sectors, particularly in services, such as providing transport in a motorbike (boda-boda), result in them not undertaking farming activities, which in terms of development is not necessarily a problem. The problem is that some of those who want to cultivate are not able to do it, given that they cannot access to land, and that those who engage in farming activities are typically driven to short periods of lease and go for quick growing crops and practices that contribute to land degradation.
114. Several policy and institutional challenges contribute to the degradation of ecosystems in the area of intervention.
115. Insufficient policy coordination. Prior to the approval of the Land Policy, in February 2013, Uganda did not have a comprehensive policy on land and natural resources. Policies and laws on this issue were scattered, responding to isolated demands from sectors such as agriculture,

- environment, natural resources management, housing, real estate development, transport, private sector development and industrialization.
116. This fragmentation had created substantial ambiguities, if not contradictions, that resulted in conflicts between different stakeholders. Overlapping administrative decisions, regulations and laws resulted in serious inter-institutional administrative conflicts and bureaucratic competition for responsibility and resources. Furthermore, disputes between the public had become prevalent. Conflicts between ethnic groupings, pastoralists and agriculturalists, owners and occupants, and the conservation officials and encroachers were common. The dual system of land administration, characterized by the combination of formal/statutory and informal/customary systems, constituted a supplementary source of conflicts. Not only multiples rights and interest could often be found over the same piece of land, but “the roles of traditional institutions of land management, dispute resolution and land governance (had) not been legally accepted, integrated and mandated to execute their functions” (Land Policy: 2013: 4). There were also inter-district boundary and trans-state border disputes.
  117. Although the Land Policy has helped manage some of these conflicts, most of them are still prevalent. In the area of intervention, the lack of coordination is still manifested at least in two ways. The first refers to the lack of integration between customary and statutory land tenure systems. The second evidence of lack of coordination refers to the changes in the boundaries of the MENP. The identification and marking of the park boundary have changed over the years either as a result of lack of information or because of manipulation of the true boundary by the surveyors due to community pressure (Mugagga and Buyinza, 2013). Not only this has resulted in a complex conflict between communities and the MENP in several areas, particularly in the Benet Resettlement Area<sup>6</sup>, Chepyuk and Namatale in Kapchorwa District, but it has also introduced complexity on the entire region, especially in the closest areas to the boundaries of the National Park, as people there are not sure that they are not going to be evicted sometime. This land tenure insecurity has significantly contributed to land degradation, given that users have favoured short-term interests over long-term sustainability.
  118. Inappropriate policy content. Existing policies prior to the Land Policy were weak regarding five issues. The first refers to the mechanism for conflict resolution. As the Land Policy recognizes, the institutional capacity to tackle conflicts arising from lack of coordination was overstretched and the mechanisms, such as administrative Land Tribunals, were ineffective. The second weakness regarding the content of land policy refers to the balance between land tenure/ownership (secure tenure of all people) and land management/development (productivity of the land). According to the Land Policy (2013), policy over-emphasised property rights per se, and did not pay proper attention to land as a resource in development, regulating land use in order to harmonize the diverse needs for human settlement, production and conservation. The Land Policy tries to address the first issue and properly align the objectives of protecting property rights and using land efficiently. However, the ability to tackle conflict is still poor and SLM is still far from being a reality in the area of intervention. The third issue refers mainly to the district level. The penalties established for infringing ordinances and bylaws made under local governments are not sufficiently strong. In particular, infringement of them can lead to a fine not exceeding two currency points or a term of imprisonment not exceeding six months or both in respect of an offence. People usually pay

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<sup>6</sup> Himmelfarb (2006), Soini (2007) and Mugagga and Buyinza (2013) present all the case of the Benet Resettlement Area. As the latter explain, the most recent boundary survey carried out between 1993 and 1996 found that land already used for cultivation was in fact within the gazetted park boundary, thus creating conflict with the community who consider the land as theirs (Scott, 1998; UWA, 2000)”. The issue was even sent to court.

the fine, which according to the sixth Schedule of the Local Government Act, 1997, represents UGX 40.000. Paying this amount is relatively easy for most of the farmers. Moreover, Collaborative Forest Management agreements have not been properly implemented. Mugagga and Buyinza (2013: 257) found that “illegal access to restricted zones and lack of adherence to resource harvesting quotas are still major management problems posed by the communities”. Soini (2007) notes that although UWA’s commitment regarding sharing the resources generated by entrance fees to the MENP is positive, the actual amounts shared were small as they did not include a wide range of other revenues, such as trekking or camping fees. Finally, while some private bylaws, such as those of KIFANGO, have an emphasis on sustainable land management, many others focus exclusively on direct productivity issues. The implementation of these bylaws depends on the ability of the institution not only to show the benefits of implementing them, but also to control and enforce them, for instance, with the issue of fines. While KIFANGO seems to achieve a considerable success in enforcing their sustainability-oriented bylaws, this does not seem to be the case for other institutions, which struggle to enforce them.

119. Lack of capacities, equipment and funding is critical both at the national and the local level. According to the terminal evaluation of the TACC project, the national government agencies involved in climate change-related issues, such as the NAADS, NARO, UWA and the National Forestry Authorities (NFA), are limited by funding constraints and the insufficient number of trained extension staff. According to the DDP of the three districts of intervention, local institutions in the three districts lack also capacities. For instance, the natural resources sector is understaffed and there is a lack of trained contractors to undertake infrastructure works in the districts. In Manafwa district, the office accommodation, transport facilities as well as the power supply are deemed inadequate. Mbale DDP highlights the fact that the district administration has scattered offices, and lacks extension staff. Similarly, Soini (2007) found that there was insufficient staff in Mbale’s and Kapchorwa’s land offices. Administration and management systems are in addition heavy, bureaucratic, inefficient and ineffective. For instance, manual record keeping system is still in place, making the process slow and costly. Regional stakeholders also highlighted the technical and knowledge deficits of some part of the staff, which would need some refreshment of skills. According to Soini (2007), DLG officials ignore some national and district-level legislative clauses and have limited knowledge on their roles and how to draft bills.
120. As a result of this, some policies are lacking. First, only one (Bulambuli) of the three DLGs of the area of intervention has approved ordinances for SLM. Mbale DLG has discussed some ordinances, but has not approved them. In Manafwa, bylaws were drafted and presented in the district council, but were not approved. Second, these ordinances seem not to be in place even when approved. Regarding Local Environmental Committees, attempts were made in the 2001-2005 period to form them in the districts, but their functions were not clearly established and they are not working, with no District Environmental Action Plans in place. The area of intervention also lacks a mitigation mechanism to address conflicts between crop farmers and livestock keeping communities. However, Mbale District has made an attempt to develop an Environment Ordinance, which could provide an entry point for developing an appropriate regulatory and governance mechanism for such conflicts. In addition, the lack of capacities, equipment and funding reduces the technical support and advice that extension services can provide to farmers in terms of agricultural practices and technologies, contributing to limited knowledge on these issues as mentioned above.
121. Lack of information on climate and land tenure. According to the Integrated Territorial Climate Plan (ITCP) of the Mbale region, there is a lack of reliable climate information as a

result of inadequate coverage of weather monitoring stations and number of trained staff. The Mbale region only has one operational weather station (ITCC, 2013). This can be explained by the poor funding of the Meteorology Department and the district local governments. This lack of climate data hinders the capacities of local communities to adapt to climate change and to effectively prepare for adverse climate events. The capacities within local governments to analyse climate data is also limited.

122. Local governments also lack information regarding land tenure. Despite of Mugagga's (2011) study, Manafwa DDP highlights the fact that there is no comprehensive land ownership database, nor cadastral surveys to determine the number of plots available for lease by the public. This lack of information hinders the sustainable development and land management of the Mt Elgon area.
123. Poor enforcement capacity. According to regional stakeholders, districts have limited capacity to enforce laws and policies.
124. Poor coordination in the field. According to the Mbale DDP, district governments suffer from a lack of coordination between their different services, which are sometimes duplicated. It is also worth noting that even though some team work has been done in the past between the political and the technical branches of the district administration, meetings are held in an irregular manner between the policy and technical staff. The Manafwa DDP raises the fact that there is neither viable coordination between district administration and the NGOs/CBOs present in the area, which often have their own extension systems. The ATAAS project also sheds light on the lack of coordination between the different actors involved in agricultural research and development; in particular between research institutes and advisory services. During the field visits, lack of coordination between research institutes and organized and individual farmers was also observed. This lack of cooperation is sometimes the result of suspicion between stakeholders.
125. Political interference. Regional stakeholders noted as well that political interest interfere on the decision-making, compromising the effectiveness of the interventions. Political interference is significant, for instance, when selecting priority sites. It can also affect the enforcement of laws and policies when these intersect political interests. Mugagga and Buyinza (2013) note that political interference and connivance with NP staff are significant factors behind the encroachment of protected land. In their study of soil conservation practices in Manafwa (Tsekululu sub-county) they found that "the ever increasing illegal access to the Park is partly a result of local leaders who are more inclined to tolerate encroachment and exploitation of protected areas due to local political pressures and economic interest than conservation" (p. 257).

## C. PROGRAMME AND POLICY CONFORMITY

### C.1 GEF Programme Designation and Conformity

126. The project addresses GEF Land Degradation Focal Area, strategic objective 3; *Reducing pressures on natural resources from competing land uses in the wider landscape*, by promoting integrated land use planning at the district level, engineering a shift from unsustainable land practices to sustainable land management. The project also contributes to GEF CCM-5 *Promoting conservation and enhancement of carbon stocks* by enabling relevant Government and non-government stakeholders and economic actors to build capacities, and adopt good management practices in Land Use, Land Use Change and Forestry (LULUCF) leading to enhancement and restoration of carbon stocks.

### C.1.a Guidance from the Rio Conventions

127. Uganda is fully committed to the requirements of the Rio Conventions to which it is a party. The project is intended to facilitate an important step towards developing the capacities for an effective national environmental management framework. The table below identifies key articles calling for Parties to develop their national capacities as part of their obligations under the three Rio Conventions.

Table 9: Capacity development requirements under the Rio conventions

Type of Capacity	Convention Requirements	UNFCCC	CBD	UNCCD
<b>Stakeholder Engagement</b>	Capacities of relevant individuals and organizations (resource users, owners, consumers, community and political leaders, private and public sector managers and experts) to engage proactively and constructively with one another to manage a global environmental issue.	Article 4 Article 6	Article 10 Article 13	Article 5 Article 9 Article 10 Article 19
<b>Organizational Capacities</b>	Capacities of individuals and organizations to plan and develop effective environmental policy and legislation, related strategies, and plans based on informed decision-making processes for global environmental management.	Article 4 Article 6	Article 8 Article 9 Article 16 Article 17	Article 4 Article 5 Article 13 Article 17 Article 18 Article 19
<b>Environmental Governance</b>	Capacities of individuals and organizations to enact environmental policies or regulatory decisions, as well as plan and execute relevant sustainable global environmental management actions and solutions.	Article 4	Article 6 Article 14 Article 19 Article 22	Article 4 Article 5 Article 8 Article 9 Article 10
<b>Information Management and Knowledge</b>	Capacities of individuals and organizations to research, acquire, communicate, educate and make use of pertinent information to be able to diagnose and understand global environmental problems and potential solutions.	Article 4 Article 5	Article 12 Article 14 Article 17 Article 26	Article 9 Article 10 Article 16
<b>Monitoring and Evaluation</b>	Capacities in individuals and organizations to effectively monitor and evaluate project and/or programme achievements against expected results and to provide feedback for learning, adaptive management and suggesting adjustments to the course of action if necessary to conserve and preserve the global environment.	Article 6	Article 7	

### C.2 Project Design: GEF Alternative

#### C.2.a Project Rationale

128. The project baseline, though substantial, is not adequate to address the challenges at hand. The combination of near total loss of forest, little attention to soil conservation and high population density on steep mountain slopes present a catastrophic mix that must be addressed. As stated in *Uganda's First National Communication*, the highest level of GHG emissions are from land-use changes linked with agricultural waste burning and savannah burning plus various

types of forest clearance and biomass burned for energy,. A number of mitigation measures are proposed but none of them are focused on reducing GHG emissions from burning or reversing the high levels of deforestation for fuel wood. The alternative being proposed by this project is an **Integrated SLM Approach** that entails developing a range of sustainable land management options suitable even for small land patches that would improve land management and reverse the current rate of land clearing for agriculture. This will in turn reduce GHG emissions from burning. It should be noted that most if not all of the burning is associated with clearing land for agriculture. Overall emission from burning and clearing is higher and need to be addressed. Land degradation and climate change mitigation needs to be addressed at the level of individual farms through land use options that reduce the danger of soil erosion and mitigate the negative impacts from climate change. This will require individual farmers to collaborate and engage in a collective manner in order to effect change. The project would therefore also focus on Community Empowerment.

129. This project takes an incremental approach towards the empowerment of communities in Mt Elgon to manage their land in an integrated manner in order to improve livelihoods and ecosystem resilience. Several initiatives have been developed at the national and local levels to promote SLM, SFM and CCM; the project will build upon and complement these different initiatives while adding a real value in terms of SLM, SFM and CCM in the Mt Elgon area.
130. Additional funding from this project will strengthen the knowledge of the Mt Elgon natural resources location, land degradation and GHG emission status through the development of community resources maps at parish level in 6 selected sub-counties considering the different ecosystems and infrastructure investment plans (particularly in water and sanitation), which will provide valuable information for on-going initiatives. Disseminated through publications, workshops and social media to local stakeholders, these maps will be a crucial tool for the land use planning of the area and will take into account ecosystem dynamics across parishes. The project will also support the development of Land Use Plans for the 6 sub-counties, based on the resource maps, which will be in line with the National Policy for Disaster Preparedness and Management. These maps and plans will address the current lack of land use planning tools such as maps and databases, and the fact that there are currently no land use or disaster/landslide management and preparedness plans in the Mt Elgon region. These land use plans will be communicated to inform stakeholders about the agreements made regarding how the territory should be used. The project will therefore be in synergy with the on-going FAO initiative developing new mapping technologies in the country.
131. Additional funding from the GEF will address the current inadequate enforcement of land legislation, the limited rights of land occupiers, and the existing conflicts between land owners and occupiers in the Mt Elgon region. The project will ensure that task forces such as Local Environment Committees are created and meet at least three times a year to discuss SLM, SFM and CCM-related challenges as well as to settle land disputes between land owners and occupiers. The project will support the screening and implementation of SFM and SLM clauses in existing legislation. GEF funding will also contribute to the development and implementation of a framework to effectively monitor and enforce land use plans and other land-related legislation. In the meantime, the project will support the mainstreaming of SLM, SFM and CCM into District Development Plans, and the development of district environment action plans.
132. Additional GEF funding will act in synergy with the existing LECB programme that raises general knowledge and awareness on climate change and builds national capacities for low emission development. The project will complement this programme by raising awareness

- amongst district authorities and local communities on SLM, SFM, and CCM technologies and approaches - aspects that are linked to but not covered by the LECB.
133. The first component of the project will therefore contribute to the creation of an enabling environment for the introduction of SLM, SFM and CCM technologies and approaches in the Mt Elgon region, in particular through the introduction of strategic planning and monitoring tools, and capacity building. Component 2 will take advantage of this enabling environment to introduce SLM, SFM and CCM technologies and approaches on the ground, in particular through the establishment of FFS and various pilots.
  134. The project will adopt and use the FAO FFS approach in the districts of intervention. FFS is an approach to extension that is based on the concepts and principles of people-centred learning and was developed as an alternative to the conventional, top-down, extension approaches. It uses innovative and participatory methods to create a learning environment, including learning networks, in which land users have the opportunity to learn for themselves about particular production problems, and ways to address them, through their own observation, discussion and participation in practical learning-by-doing field exercises. FFS serve as pilots for conservation agriculture technologies and approaches for improved land management and livelihoods of smallholder farmers; they are particularly suited for the intervention of the project. Extension and advisory services staff from the district local governments will be trained in SLM, SFM, and CCM technologies and approaches to become FFS facilitators that will, in turn, train other farmers in the use of these practices. The technologies and approaches to be covered by the FFS curricula will take into consideration and integrate findings of previous and on-going initiatives such as the ITCP of the TACC project, the vulnerability assessment of the EBA programme, and the technologies developed under ATAAS. They will cover for instance climate resilient coffee production, sustainable intensification of animal crop production systems, agroforestry, conservation agriculture for both subsistence and cash crops, afforestation, water and soil conservation practices, sustainable use of forest resources, etc. The establishment of FFS in the Mt Elgon region through the project could also create synergies with the MERECP by promoting the uptake of SLM, SFM and CCM technologies and approaches and share knowledge between the Kenyan and Uganda sides of Mt Elgon. Additional funding from the GEF will also allow the implementation of pilots to show case and support the uptake of SLM, SFM and CCM technologies and approaches such as conservation agriculture practices, afforestation and tree plantings in the 6 selected sub-counties. These different pilots will complement on-going initiatives such as the 10 million trees project, the REDD+ Readiness Preparation Activities and the RFCC project. The project will focus on the highlands, while the baseline projects focus on the lowlands. The FFS established under the project will target vulnerable populations such as young people under 25 and women, which will represent respectively 25% and 50% of all the beneficiaries.
  135. The GEF funding will be used to strengthen public-private collaboration in order to secure farmers' access to inputs, markets and technical support and advice. This should secure funding for farmers to be able to implement SLM, SFM and CCM technologies and approaches in the long term. This partnership between the public, private and research sectors will be in synergy with the ATAAS project that aims at strengthening the links between the research sector and the public extension and advisory services. Through the project the research sector will have to interact with the extension services that will be promoting their products and findings (such as resilient seedling varieties) to farmers through the FFS. The cooperation of government and research institutions with the private sector will contribute

also to increase productivity and strengthen the access of farmers to the market in better conditions.

136. Additional funding from the project will contribute to the elaboration and implementation of a monitoring framework for carbon emissions and sequestration, and soil erosion. Such tools, not yet available at the Mt Elgon level, will be useful to monitor the progress of the project, but also the overall state of the Mt Elgon ecosystem after the end of the project. This GEF initiative will be in synergy with the Uganda REDD+ Readiness Preparation Activities, and particularly the design and development of a robust system for national forest monitoring and information on safeguards for Uganda's REDD+ activities.
137. Finally, this project will develop and disseminate best practices and lessons learned that will be useful for related on-going and future initiatives in the region.
138. In order to ensure that these synergies take place, the Project Management Unit will maintain regular communication with the representatives at the national and local levels of the other on-going projects mentioned here, such as the LECBP or the ATTAS, among others. In addition, it will share the detailed plan, and the results of mid-term evaluation with these representatives in order to have a coordinated approach and learn from what other stakeholders are doing in the region.

#### C.2.b Project Goal and Objective

139. **The objective of the project is to empower communities in Mt Elgon to manage their production landscapes in an integrated manner for improved livelihoods and ecosystem resilience.**

#### C.2.c Expected Outcomes

140. Reduced land degradation over approximately 25,500 in 6 severely degraded sub-counties resulting in better provision of ecosystem services such as flood control, forage production, and carbon sequestration as a result of improved land-use planning, evidenced by 15-20% increases in the LD Tracking Tool.
141. Increase in carbon sequestration or reduction in emissions of approximately 24,142 tC/y7 evidenced by project monitoring of ha reforested and under agroforestry.
142. Enhanced local capacities for enforcement of sustainable forest and land management and climate change mitigation in the Mt. Elgon Landscape, evidenced by a 25% increase in the UNDP-GEF Capacity Development Scorecard.
143. Improved land management reversing ecosystem degradation over an area of 25,500 hectares, evidenced by decreased soil erosion and increase in fodder production
144. Improved forest cover over 5,000 ha through assisted natural regeneration and reforestation in forests, tree crops including coffee and agroforestry systems resulting in emission reductions of approximately 24,142 tC/y.

#### C.2.d Project Components, Outputs, and Activities

145. **Component 1: Integrated Landscape Planning and Management** - This component aims at developing Mt Elgon Landscape planning and management in an integrated way. Under this component, the project will support the development of land planning tools such as resource maps and land use plans at both landscape and household levels and considering different ecosystems. It will also contribute to the effective enforcement of land-related

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7 The emissions target remains the same because the reforested target area has not changed. This target was discussed during the consultation process with a wide range of national and local stakeholders in the field.



legislation with a focus on land occupiers' rights. The project will also mainstream SLM, SFM and CCM aspects into Districts Development Plans and will promote the creation of Local Environmental Committees and the development of guidelines for the District Environment Action Plans. Outcome 1 resulting from this first component will be that the landscape planning and management processes in the districts of Manafwa, Bulambuli and Mbale are done in an integrated manner to reduce land degradation and increase carbon sequestration.

**Outcome 1: The landscape planning and management processes in the district of Manafwa, Bulambuli and Mbale are done in an integrated manner to reduce land degradation and increase carbon sequestration.**

**Output 1.1: Community resource maps developed in 6 sub-counties in the 3 districts (2 per district)**

1. Activity 1.1.1: Participatory development of resource maps at parish level (1 per each of the parishes of the sub-county -33 in total)<sup>8</sup>, taking into account different ecosystems and ecosystem dynamics across parishes, and the proposed improved in water and sanitation infrastructure, in 6 sub-counties
2. Activity 1.1.2: Dissemination of the resources maps, including priority areas, through publications, workshops and local media.<sup>9</sup>

**Output 1.2: Land use plans developed, in line with the resource maps, in 6 sub-counties**

1. Activity 1.2.1: Participatory development of land use plans at parish level (1 per each of the parishes of the sub-county -33 in total)<sup>10</sup>, taking into account different ecosystems and ecosystem dynamics across parishes, with associated budget in the 6 sub-counties, based on the resource maps (in these plans each household will point out what they will do from different options in the plan, so land use planning is related to farm planning)
2. Activity 1.2.2: Dissemination of the land use plans through publications, workshops and local media.

**Output 1.3: District local governments supported to implement clauses regarding SLM, SFM and CCM**

1. Activity 1.3.1: Raise awareness on SLM, SFM and CCM technologies and approaches amongst districts authorities and local communities through the organization of one workshop per district and the development of campaigns in local media, including newspapers and radios
2. Activity 1.3.2: Carry out a gap analysis regarding the implementation of SLM and SFM clauses in existing national and district legislation related to soil and water conservation measures, land occupiers' rights (including mechanism for the resolution of conflicts over land), rural and urban land use and building codes, and sanctions for non-application of SLM and SFM measures

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<sup>8</sup> In total there will be 33 resource maps, given that total number of parishes in the six sub-counties is 33. In Mbale, Wanale has 5 parishes and Nyondo 4 parishes. In Manafwa, Khabutoola has 5 parishes and Nalondo 4 parishes. In Bulambuli, Sisiyi has 6 parishes and Namisuni 9 parishes. The target, which is a compromise, was largely discussed and approved in the validation workshop. The budget is adequate for this number. Note that we are taking only 2 sub-counties per district, 6 in total, when there are more than 60 sub-counties in the three counties. We have already narrowed the scope of the project a lot, given that it originally targeted the entire three districts. We also agreed that resource maps and land use plans must be done at parish level, and not at village level, which would increase the numbers of maps and plans.

<sup>9</sup> Dissemination is critical, because there is the risk of not using the results of these processes. People in the districts must be aware that these processes have been undertaken

<sup>10</sup> In total there will be 33 land use plans, given that total number of parishes in the six sub-counties is 33. In Mbale, Wanale has 5 parishes and Nyondo 4 parishes. In Manafwa, Khabutoola has 5 parishes and Nalondo 4 parishes. In Bulambuli, Sisiyi has 6 parishes and Namisuni 9 parishes.

3. Activity 1.3.3: Implementation of strategies to fill existing gaps to implement existing relevant legislation, according to the study developed above, but including, among others, training and equipment

*Output 1.4: A system for effective monitoring and enforcement of the land use plans and related legislation is put in place*

1. Activity 1.4.1: Train district government staff and the police in monitoring and enforcement
2. Activity 1.4.2: Participatory development of a realistic monitoring and enforcement framework for the land use plans (developed in activity 1.2.1) and existing legislation, defining roles and responsibilities of key staff involved in supervision, monitoring and enforcement, and stipulating its integration into existing district compliance mechanisms.
3. Activity 1.4.3: Diffusion and implementation of the monitoring and enforcement framework

*Output 1.5: SLM, SFM and CCM mainstreamed into district policy planning*

1. Activity 1.5.1: Creation of Local Environmental Committees (1 per district) and organization of committee meetings at least 3 times a year. The Local Environmental Committees are local task forces that will discuss challenges and actions for the enforcement of SLM and SFM related legislation, as well as settlement of conflicts between land owners and occupiers at district and parish levels.
2. Activity 1.5.2: Participatory development of recommendations to mainstream SLM, SFM and CCM into the District Development Plans and develop District Environment Action Plans in collaboration with the Local Environmental Committees.
3. Activity 1.5.3: Diffusion of the guidelines for the District Development Plans and District Environment Action Plans

## **Component 2: Demonstration of options to reverse land degradation, reduce GHG emissions and empower communities-**

This component of the project aims at demonstrating options to reverse land degradation, reduce GHG emission and empower communities toward the management of land in the Mt Elgon area. Under this component, the project will promote, demonstrate and support the uptake of SLM, SFM and CCM technologies and approaches, through farmers' empowerment within the FFS. This component will secure long-term farmers' access to inputs, markets and technical support and advice. The project will also contribute to the development of a monitoring framework for carbon emissions/sequestration and soil erosion, and will collect and disseminate lessons learned. Outcome 2 resulting from this second component will be that local communities are empowered and applying technologies and approaches to reverse land degradation and reduce GHG emissions.

### **Outcome 2: Local communities are empowered and applying technologies and approaches to reverse land degradation and reduce GHG emissions**

*Output 2.1: Enhanced local capacities for the adoption of SLM, SFM and CCM through the FFS approach*

1. Activity 2.1.1: Participatory development of a training curriculum on SLM, SFM and CCM technologies and approaches to be implemented through Farmers Field Schools (FFS)
2. Activity 2.1.2: In close collaboration with the national extension system, and using the training curriculum developed under 2.1.1, training and equipment of 6 FFS

facilitators (including 50% women) from the extension services staff in each of the three districts, in SLM, SFM and CCM technologies and approaches

3. Activity 2.1.3: Set up 60 FFS (10 per sub-county -20 per district) within the 6 sub-counties of intervention, provide technical advice and training for 1500 farmers (25 per FFS, and including 50% women and 25% of people under 25) through the implementation of SLM, SFM and CCM technologies and approaches (such as: climate resilient coffee-banana production, sustainable intensification of animal crop production systems, agroforestry, conservation agriculture, afforestation, water and soil conservation practices, sustainable use of forest resources, etc.) in the framework of the FFS.
4. Activity 2.1.4: Organization of farmers to farmers visits between FFS

*Output 2.2: Existing public-private collaboration is strengthened to improve farmer's access to inputs (finance, seedlings), technical support and advice, and markets*

1. Activity 2.2.1: Participatory elaboration of an action plan to improve and strengthen existing collaboration between national institutions (including research institutions, such as NARO), local governments, the private and social sectors (including academia, such as Makerere University) and individual farmers, in order to improve farmers' access to inputs (such as micro-finance and climate resilient seedlings), technical support and advice, and markets<sup>11</sup>
2. Activity 2.2.2: Support to the implementation of the action plan developed in the activity 2.2.1

*Output 2.3: Pilots demonstrating SLM, SFM and CCM technologies and approaches are implemented in the 6 selected sub-counties*

1. Activity 2.3.1: In the 6 selected sub-counties, set up conservation agriculture pilots covering 20,500 ha (including in the FFS) through the adoption of practices such as minimum tillage, soil cover maintenance, non-opening of land for agriculture, soil and nutrition management, water harvesting and use, pest and disease control, etc.
2. Activity 2.3.2: Set up pilots to reforest and assist natural regeneration in 1,000 ha (including in FFS), and train local communities in sustainable fuelwood harvesting
3. Activity 2.3.3: Set up tree farming pilots (coffee agroforestry, boundary planting, strip planting, intercropping) in 4,000 ha of farm land (including in FFS)

*Output 2.4: Monitoring frameworks for carbon emissions/sequestration and soil erosion are developed and implemented*

1. Activity 2.4.1: Participatory development of a realistic carbon emission/sequestration monitoring system for the region, including description of responsibilities and roles of key actors, considering the one developed for REED
2. Activity 2.4.2: Participatory development of a realistic soil erosion monitoring and assessment system at FFS level including description of responsibilities and roles of key actors
3. Activity 2.4.3: Implementation of the two monitoring frameworks by the key selected actors

*Output 2.5: Best practices and lessons learned collected, compiled and disseminated<sup>12</sup>*

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<sup>11</sup> This study will involve the different private sector stakeholders, including, among others, Eastern Private Sector.

<sup>12</sup> There are two levels of dissemination and at these levels: what is disseminated and to whom changes. As part of 1.2 the project will disseminate the details of land use plans to the local level; as part of 2.5 the project will disseminate the land use plans have been developed and some key lessons to a wider audience. Best practices will be disseminated during the project with a view to

1. Activity 2.5.1: Integration of best practices in the area into the project activities implemented in the three districts
  2. Activity 2.5.2: Development of a strategic plan for scaling up the best practices and lessons learned of the project, publication and dissemination, including a workshop and local media in the three districts
146. The two components are notably interlinked. While the first component focuses on creating an enabling environment for SLM, SFM and CCM, the second component focuses on the actual implementation of SLM, SFM and CCM activities in the field in order to demonstrate their feasibility and positive returns for households and the environment, both local and global.

### C.3 Sustainability and Replicability

#### C.3.a Sustainability

147. The sustainability of the project is embedded in the project's strategy. Under the first component, the project will help develop land use planning tools such as community resource maps and land use plans. These documents will contain valuable information that will help inform future initiatives related to land use, land degradation, natural resources and GHG emissions in the Mt Elgon region.
148. The project will reinforce districts authorities and local communities' capacities in terms of SLM, SFM and CCM. These strengthened capacities will remain in the country in the long-term, even after the end of the project and will be valuable for the enforcement of land use plans and land-related legislation.
149. The project will support the implementation of clauses on land use in the Mt Elgon, providing instruction on soil and water conservation measures, extending land users' rights and defining sanctions for non-application of SLM and SFM measures. These legal instruments will help improve land use in the region in the long term. To ensure the enforcement of the legislation and the land use plans, a monitoring and enforcement framework will be established by the project. This framework will help enforce the legislation and land use plans even after the end of the project, contributing in that sense to the sustainability of the project.
150. In addition, the project will create Local Environmental Committees and provide guidelines to integrate SLM, SFM and CCM into DDP and District Environment Action Plan. These guidelines will remain even after the end of the project, which will ensure that SLM, SFM and CCM will be taken into consideration in the long term in the districts of intervention.
151. Benefiting from the improved enabling environment (capacity to implement legislation and monitor trends), and the availability of specific information (resource maps and land use plans) developed under component 1, the FFS approach, promoted under the second component of the project, aims at setting up training sites with curricula developed in a participatory manner to address the needs and resources of participants. Training within the FFS will be focused on the demand and needs of the local population, and will use local knowledge. The FFS approach promotes a learning-by-doing process where farmers can immediately apply what they learn, which fosters local ownership over the promoted technologies and approaches. The training of FFS facilitators among district extension and advisory services staff will ensure the sustainability of the approach since these skills will remain available in the districts (sub-counties) in the long term even after the end of the project. The public-private collaboration to be strengthened under the second component of the project will promote a sustainable

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mainstream them into the project activities); and at the end of the project (to promote sustainability, through replication in new projects).

access for farmers to inputs (including micro-finance and climate resilient seedlings), markets and advisory services, even after the end of the project.

152. The sustainability of the project also lies in the fact that frameworks to monitor GHG emissions/sequestration and soil erosion will be developed and implemented during and after the end of the project, in line with the MRV systems being developed under REDD. The capacities built by the project will ensure that the monitoring frameworks keep being implemented, even after the project withdrawal. These frameworks will help keep track of GHG emission/sequestration and soil erosion status, producing valuable information for future initiatives in the region.

### C.3.b Replicability and Lessons Learned

153. The integration of SLM, SFM and CCM in land use plans and District Development Plans will enable the replication in other initiatives of the promoted technologies and approaches.
154. Through the involvement of local communities in project's activities, the project will ensure farmer's ownership over SLM, SFM and CCM technologies and approaches, and will therefore support their replication in farming practices. The trainings provided within the FFS should spread to other farmers and local communities, in particular through the training of FFS facilitators and the organization of farmer to farmer's visits.
155. The close involvement of competent authorities in the implementation of the project will contribute to increase their ownership of the results of the project and will therefore foster the replication of the project's activities in other locations.
156. In addition, capacity building activities associated with the collection and dissemination of best practices and lessons learned, and the development of a strategic plan for scaling them up, will spread the effects and replicate the results achieved by the project to other stakeholders. The close collaboration with other initiatives will also foster the uptake of SLM, SFM and CCM technologies and approaches to other beneficiaries.

### C.3.c Risks and Assumptions

157. Assumptions linked to the achievement of project's outputs and outcomes are presented in the logical framework in Annex 1.
158. Risks that could prevent the achievement of project's objectives as well as the measures to address these risks are presented in the table below.

Table 10: Risk Matrix

<b>Risk</b>	<b>Mitigation Measures</b>
Local Communities show limited interest and willingness to engage in project initiatives that require substantial labour investment	Community groups engaged in TACC initiatives under the UNDP small grants scheme demonstrated a high level of willingness to provide necessary labour and other inputs into improved farming systems. Lessons on how it was done will be borrowed. In addition the FFS training will aim at addressing farmers' need, which will enlist interest from the communities.
Impacts of climate change disrupts some interventions through weather extremes and natural-related disasters	While the project aims to target the poorest and at-risk households, attention will be paid to ensuring that interventions are made in communities on geologically stable slopes and where soil and water conservation measures can be implemented rapidly, to reduce exposure and vulnerability. The project will also promote the

	adoption of CCM technologies and approaches to limit the negative impacts of climate change on local farmers. In addition, the plans will follow international guidelines to ensure that climate change adaptation is mainstreamed.
Risk of management change in local institutions	The land use plans, legislative texts and monitoring frameworks to be developed by the project will ensure continuity and will serve as a basis in case of management changes in local institutions.
Low capacity to implement SLM, SFM and CCM practices at district level in local communities and institutions.	This challenge will be addressed by providing trainings on SLM, SFM and CCM to a variety of actors such as government staff, local institutions and communities. Local institutions will become aware of SLM, SFM and CCM issues through the participatory development of community resource maps and land use plans in which they will be involved. They will also benefit from training in monitoring and enforcement of related legislation. Finally local institutions' capacities will be strengthened by the training of FFS facilitators amongst their staff. Capacities of local communities will be directly strengthened through the training provided in the FFS.
Local populations do not see the benefit of SLM, SFM and CCM practices and show some reluctance/slowness to adopt SLM, SFM and CCM practices.	The project will ensure a high level of ownership from the population through the participative FFS approach. This model encourages farmers to actively get involved in order to try out and adopt practices and technologies, and gain experience through a learning-by-doing process. Trainings are given by local facilitators in order to ensure the continuity and appropriation of the learning process by the local population. Through the FFS approach, wherever income will be generated or losses reduced from SLM, SFM and CCM activities, it will be demonstrated to other farmers and replicated where possible. In addition, achievements on the ground that bring benefits to local producers will be demonstrated during the project to overcome skepticism.
Land use plans, land - related legislation and district development plans are not enforced	To prevent this, a gap analysis will be conducted to identify the lack of implementation of SLM and SFM clauses in existing national and district legislation related to soil and water conservation measures, land occupiers' rights, rural and urban land use and building codes, and sanctions for non-application of SLM and SFM measures. Based on this preliminary analysis, the project will help implement a strategy to fill the identified gaps. Under the first component, the project will also train district government staff and the police in legislation monitoring and enforcement. In addition, a realistic monitoring and enforcement framework for the land use plans and existing legislation will be developed in a participatory manner. This framework will define roles and responsibilities of key staff involved in supervision, monitoring and enforcement, and will stipulate its integration into existing district compliance mechanisms. An activity of the project will be specifically dedicated to the dissemination and implementation of this monitoring and enforcement framework;

	<p>which should ensure that land-related legislation is effectively enforced.</p> <p>Local environmental committees will also be created as task forces that will discuss challenges and actions for the enforcement of SLM and SFM related legislation, as well as settlement of conflicts between land owners and occupiers at district and parish levels. These committees will also be engaged in the mainstreaming of SLM, SFM and CCM consideration into the District Development Plans. This will contribute to a sound appropriation of the mainstreaming process, facilitating future enforcement of the Plans.</p>
Political will at district level does not remain constant during project duration	<p>The project will ensure a high political involvement through training, awareness raising sessions, and participatory processes (such as the development of community resources maps, local development plans, and local environmental committees for the monitoring and enforcement of SLM, SFM and CCM related legislation at district level). This will ensure the long-term involvement of local institutions and maintain a high political will at the district level.</p>
Land conflicts jeopardize project implementation	<p>Land conflict resolution mechanisms will be considered in the gap analysis to be undertaken on the effective implementation of SLM, SFM and CCM legislation, on which basis the project will come forward with a strategy to fill these gaps. In addition, the local environmental committees will discuss challenges and actions for the settlement of conflicts between land owners and occupiers at district and parish levels, which should ensure that land conflicts remain localised and don't endanger overall project implementation.</p>

#### C.4 Stakeholder Involvement

159. This project was developed on the basis of consultations with stakeholder representatives, including national stakeholders from MAAIF, MWE, MLHUD and NEMA and NARO among others. It also consulted stakeholders in the Mount Elgon region, including representatives of the three DLGs, international and local NGOs, communities, individually and collectively, and the private sector. Consultations provided more context of the project, and helped adjust some of the project activities where necessary (in component 1 the resource maps will be developed in 6 instead than in 9 sub-counties and component 2 includes an output regarding improving access to inputs ) so that the stakeholders will benefit from the project. Consultations also helped to increase their involvement through its implementation
160. Taking an adaptive and collaborative management approach to execution, the project will ensure that key stakeholders are involved early and throughout project execution as partners for development. This includes their participation in the Project Board, review of project outputs such as resource maps, land use plans, reviewed DDP, FFS curriculums and public-private agreements, among others, as well as participation in monitoring activities.
161. A key feature of this project is its learn-by-doing approach, which is intended to actively engage stakeholders. This approach should result in key stakeholders that will be more likely to validate the analysis, legitimize plans, curriculums and agreements, and approve pilot

initiatives. It is also intended to catalyse the institutionalization of knowledge and experiences, which is critical for ensuring sustainability.

162. Given the project strategy, the key project stakeholders are government ministries and their subsidiary agencies and departments that are mandated with sustainable land use management. These stakeholder representatives will participate in activities to better plan land uses and accordingly reverse land degradation and reduce GHG emissions. In addition to these governmental stakeholders, there are also non-governmental stakeholders from academia, the private sector, and civil society organizations. These non-state organizations will also be invited in project activities to share their comparative expertise, but also to undertake selected pilot activities. The project will take into consideration the interests, customs and priorities of the local communities by ensuring it is the communities themselves who develop the community resource maps and design and select interventions through the land use plans that fit with their interests and customs. The participation of the non-state organizations will be determined during project implementation when defining annual work plans.
163. The table below indicates the role of key stakeholders for implementing the project.

Table 11: STAKEHOLDERS ANTICIPATED ROLES IN IMPLEMENTING THE PROJECT

<b>Name of Organisation</b>	<b>Role in the project</b>
Ministry of Agriculture, Animal Industry and Fisheries (MAAIF)	1. Project owner/Implementing partner 2. Member of the Project Board 3. Responsible for the coordination of activities 1.1.2; 1.2.2; 1.3.1, 1.3.2, 1.3.3; 1.4.1, 1.4.2, 1.4.3; 1.5.1, 1.5.2, 1.5.3 / 2.1.1, 2.1.2, 2.1.3, 2.1.4; 2.2.1, 2.2.2; 2.3.1, 2.3.3; 2.4.1, 2.4.2, 2.4.3; 2.5.1 and 2.5.2 4. Contributes to all the activities it is not responsible for
Mbale, Manafwa and Bulambuli District Local Governments	5. Project owners/Implementing partners 6. Members of the Project Board 7. Responsible for the coordination of all outputs and activities in their respective district
Ministry of Water and Environment (MWE)	8. Member of the Project Board 9. Responsible for the coordination of activities 1.1.1, 1.1.2; 1.2.1, 1.2.2, and 2.3.2 10. Contributes to all the activities it is not responsible for
Ministry of lands, Housing and Urban Development (MLHUD)	11. Member of the Project Board 12. Responsible for the coordination of activities 1.2.1 and 1.2.2 13. Contributes to outputs 1.1, 1.2, 1.3, 1.5 and 2.5
National Agricultural Research Organisation (NARO) and Busitema University	14. Contributes to outputs 1.1, 1.2, 1.3, 1.4, 2.1, 2.3, 2.4 and 2.5
NGOs, CBOs and Local communities	15. Contribute to outputs 1.1, 1.2, 2.1, 2.2, 2.3 and 2.5 16. Main beneficiaries of the project
Private Sector	17. Service providers 18. Contribute to the implementation of outputs 2.2 and 2.3

The table below illustrates the relationship by activity (bold indicates coordinator; between brackets indicates contributor)



**Table 12: stakeholder per ACTIVITY**

Expected Outcome	Expected Output	Activity	Stakeholders
1. The landscape planning and management processes in the district of Manafwa, Bulambuli and Mbale are done in an integrated manner to reduce land degradation and increase carbon sequestration	1.1 Community resource map developed in 6 sub-counties in 3 districts	1.1.1: Participatory development of the resource maps at parish level (1 per each of the parishes of the sub-county), taking into account different ecosystems and ecosystem dynamics across parishes, in 6 sub-counties	MWE and DLGs (MAAIF, NARO, MLHUD, NGOs/CBOs)
		1.1.2: Dissemination of the resources maps, including priority areas, through publications, workshops and local media	MWE and DLGs (MAAIF, NARO, MLHUD, NGOs/CBOs)
	1.2 Land use plans developed, in line with the resource maps, in 6 highly degraded sub-counties	1.2.1: Participatory development of land use plans at parish level (1 per each of the parishes of the sub-county), taking into account different ecosystems and ecosystem dynamics across parishes, with associated budget in the 6 sub-counties based on the resource maps (in these plans each household will point out what they will do from different options in the plan, so land use planning is related to farm planning)	MWE/MLHUD and DLGs (MAAIF, NARO, NGOs/CBOs)
		1.2.2: Dissemination of the land use plans through publications, workshops and local media.	MAAIF and DLGs (MWE, MLHUD, NARO, NGOs/CBOs)
	1.3 District local government supported to implement clauses regarding SLM	1.3.1: Raise awareness on SLM, SFM and CCM technologies and approaches amongst districts authorities and local communities through the organization of one workshop per district and the development of campaigns in local media, including newspapers and radios	MAAIF and DLGs (MWE, MLHUD, NARO, NEMA, NGOs/CBOs)
		1.3.2: Carry out a gap analysis regarding the implementation of SLM and SFM clauses in existing national and district legislation related to soil and water conservation measures, land occupiers' rights (including mechanism for the resolution of conflicts over land), rural and urban land use and building codes, and sanctions for non-application of SLM and SFM measures	MAAIF and DLGs (MWE, MLHUD, NARO, NEMA, NGOs/CBOs)
		1.3.3: Implementation of strategies to fill existing gaps to implement existing relevant legislation, according to the study developed above, but including, among others, training and equipment	MAAIF and DLGs (MWE, MLHUD, NARO, NEMA, NGOs/CBOs)
	1.4 A system for effective monitoring and enforcement of the land use plans and related legislation is put in place	1.4.1: Train district government staff and the police in monitoring and enforcement	MAAIF and DLGs (MWE, NARO, NEMA)
		1.4.2: Participatory development of a realistic monitoring and enforcement framework for the land use plans (developed in activity 1.2.1), national and district legislation (identified in activity 1.3.3), defining roles and responsibilities of key staff involved in supervision, monitoring and enforcement, and stipulating its integration into existing district compliance mechanisms.	MAAIF and DLGs (MWE, NARO, NEMA)
		1.4.3: Diffusion and implementation of the monitoring and enforcement framework	MAAIF and DLGs (MWE, NARO, NEMA)
	1.5 SLM, SFM and CCM mainstreamed into district policy planning	1.5.1: Creation of Local Environmental Committees Committees (1 per district) and organization of committee meetings at least times a year	MAAIF and DLGs (MWE, NEMA, MLHUD)
		1.5.2: Participatory development of recommendations to mainstream SLM, SFM and CCM into the District Development Plans and develop of District Environment Action Plans	MAAIF and DLGs (MWE, NEMA, MLHUD)
		1.5.3: Diffusion of the guidelines for the District Development Plans and the District Environment Action Plans	MAAIF and DLGs (MWE, NEMA, MLHUD)

Expected Outcome	Expected Output	Activity	Stakeholders
2. Local communities are empowered and applying technologies and approaches to reverse land degradation and reduce GHG emissions.	2.1 Enhanced local capacities for enforcement of sustainable forest and land management and climate change mitigation through the FFS approach	2.1.1: Participatory development of a training curriculum on SLM, SFM and CCM technologies and approaches to be implemented in the Farmers Field Schools (FFS)	MAAIF and DLGs (MWE, NARO, NGOs/CBOs)
		2.1.2: In close collaboration with the national extension system, training and equipment of 6 FFS facilitators (including 3 women) from the extension services staff in each of the three districts, in SLM, SFM and CCM technologies and approaches	MAAIF and DLGs (MWE, NARO, NGOs/CBOs)
		2.1.3: Set up 60 FFS (10 per sub-county - 20 per district) within the 6 sub-counties of intervention, provide technical advice and training for 1500 farmers (25 per FFS, including 50% women and 25% of people under 25) through the implementation of SLM, SFM and CCM technologies and approaches (such as: climate resilient coffee-banana production, sustainable intensification of animal crop production systems, agroforestry, conservation agriculture, afforestation, water and soil conservation practices, sustainable use of forest resources, etc.) in the framework of the FFS.	MAAIF and DLGs (MWE, NARO, NGOs/CBOs)
		2.1.4: Organization of farmers to farmers visits between FFS	MAAIF and DLGs (MWE, NARO, NGOs/CBOs)
	2.2 Existing public-private collaboration is strengthened to improve farmer's access to inputs, technical support and advice, and markets	2.2.1: Participatory elaboration of an action plan to improve and strengthen existing collaboration between national institutions (including research institutions, such as NARO), local governments, the private and social sectors (including academia, such as Makerere University) and individual farmers, in order to improve farmers' access to inputs (such as micro-finance and climate resilient seedlings), technical support and advice, and markets	MAAIF and DLGs (MWE, NGOs/CBOs, Private Sector - BCU, Mbale CAP)
		2.2.2: Support to the implementation of the action plan developed in the activity 2.2.1	MAAIF and DLGs (MWE, NGOs/CBOs, Private Sector - BCU, Mbale CAP)
	2.3 Pilots demonstrating SLM and SFM are implemented in the 3 districts of intervention	2.3.1: In the 6 selected sub-counties, set up conservation agriculture pilots covering 20,500 ha (including in the FFS) through the adoption of practices such as minimum tillage, soil cover maintenance, non-opening of land for agriculture, soil and nutrition management, water harvesting and use, pest and disease control, etc.	MAAIF and DLGs (MWE, NARO, NGOs/CBOs)
		2.3.2: Set up pilots to reforest and assist natural regeneration in 1,000 ha (including in FFS), and train local communities in sustainable fuelwood harvesting	MWE (Forestry) and DLGs (NFA, NARO, NGOs/CBOs)
		2.3.3: Set up tree farming pilots (coffee agroforestry, boundary planting, strip planting, intercropping) in 4,000 ha of farm land (including in FFS)	MAAIF and DLGs (MWE, NFA, NARO, NGOs/CBOs)
	2.4 Monitoring frameworks for carbon emission/ sequestration and soil erosion are developed and implemented	2.4.1: Participatory development of a realistic carbon emission/sequestration monitoring system for the region, including description of responsibilities and roles of key actors considering the one developed for REDD	MAAIF and DLGs (MWE, NARO)
		2.4.2: Participatory development of a realistic soil erosion monitoring and assessment system at FFS level, including description of responsibilities and roles of key actors	MAAIF and DLGs (MWE, NARO)
		2.4.3: Implementation of the two monitoring frameworks by the key selected actors	MAAIF and DLGs (MWE, NARO)
	2.5 Best practices developed and disseminated	2.5.1: Integration of best practices in the area into the project activities implemented in the three districts	MAAIF and DLGs (MWE, MLHUD, NARO, NGOs/CBOs)
		2.5.2: Development of a strategic plan for scaling up the best practices and lessons learned of the project, publication and dissemination, including a workshop and local media in the three districts	MAAIF and DLGs (MWE, MLHUD, NARO, NGOs/CBOs)

## C.5 Monitoring and Evaluation

164. Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures. The Project Management Unit (PMU) and the Uganda UNDP Country Office (UNDP-CO) will undertake monitoring and evaluation activities, with support from UNDP-GEF, including the recruitment of independent evaluators for the mid-term and final evaluation. The project logical framework in Annex 1 provides a logical structure for monitoring project performance and delivery using SMART indicators during project implementation. The output budget and the work plan in the project document provide additional information for the allocation of funds, both the GEF and co-financing, for expected project deliverables and the timing of project activities to produce these deliverables. GEF tracking tools for Land Degradation and Climate Change Mitigation will be used as part of monitoring and evaluation activities to assess project delivery. The work plan is provisional, and is to be reviewed during the project inception phase and endorsed by the project board.
165. The following sections outline the principle components of M&E. The project's M&E approach will be discussed during the project's inception phase so as to fine-tune indicators and means of verification, as well as an explanation and full definition of project staff M&E responsibilities.

### **Inception Phase**

166. A project Inception workshop will be conducted with the full project team, relevant government counterparts, co-financing partners, the UNDP-CO, with representation from the UNDP-GEF Regional Coordinating Unit (RCU) as appropriate. Non-governmental stakeholders should be represented at this workshop as well.
167. A fundamental objective of this inception workshop will be to further instil and understanding and ownership of the project's goals and objectives among the project team, government and other stakeholder groups. The workshop will also serve to finalize preparation of the project's first Annual Work Plan (AWP) on the basis of the project's logical framework. This will include reviewing the results framework (indicators, means of verification, assumptions), imparting additional detail as needed, and on the basis of this exercise, finalize the AWP with precise and measurable performance (process and output) indicators, and in a manner consistent with the expected outcomes for the project.
168. The project inception phase includes the project launch that has the political function to draw beneficiaries' awareness to the start of the project. During the first two months of start-up, an induction training will be organized to: (i) introduce project staff to the UNDP-GEF expanded team that will support the project during its implementation, namely the UNDP-CO and responsible PMU staff; (ii) detail the roles, support services and complementary responsibilities of UNDP-CO and PMU staff with respect to the project team; (iii) provide a detailed overview of UNDP-GEF reporting and monitoring and evaluation (M&E) requirements, with particular emphasis on the combined Annual Project Reports - Project Implementation Reviews (APR/PIRs), Project Board (PB) meetings, as well as final evaluation. The inception phase will also provide an opportunity to inform the project team on UNDP project-related budgetary planning, budget reviews, and mandatory budget re-phasing.
169. The project inception workshop will be held at the end of the inception phase to provide an opportunity for all stakeholders to validate the project logical framework and discuss the project's work plan. As well, the workshop will provide an opportunity for stakeholders to

- agree on their roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for PMU staff and associated decision-making structures will be discussed again, as needed, in order to clarify for all, each party's responsibilities during the project's implementation phase.
170. The inception workshop will present a schedule of M&E-related meetings and reports. The Project manager in consultation with UNDP will develop this schedule, and will include: (i) tentative time frames for PB meetings, and the timing of near-term project activities, such as the in-depth review of literature on natural resource valuation; and (ii) project-related monitoring and evaluation activities. The provisional work plan will be approved in the first meeting of the PB.
  171. A project inception report will be prepared immediately following the inception workshop. This report will include a detailed First Year Work Plan divided in quarterly time-frames as well as detailed activities and performance indicators that will guide project implementation (over the course of the first year). This Work Plan will include the dates for any visits and/or support missions from the UNDP-CO, the UNDP-GEF Regional Coordinating Unit (RCU), or consultants, as well as time-frames for meetings of the project decision-making structures (e.g., PB). The report will also include the detailed project budget for the first full year of implementation, prepared on the basis of the Annual Work Plan, and including any monitoring and evaluation requirements to effectively measure project performance during the targeted 12 months' time-frame.
  172. The inception report will include a more detailed narrative on the institutional roles, responsibilities, coordinating actions and feedback mechanisms of project related partners. In addition, a section will be included on progress to date on project establishment and start-up activities and an update of any changed external conditions that may affect project implementation, including any unforeseen or newly arisen constraints. When finalized, the report will be circulated to project counterparts who will be given a period of one calendar month in that to respond with comments or queries.

### **Monitoring responsibilities and events**

173. Quarterly. Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform.
174. Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Note that for UNDP GEF projects, all financial risks associated with financial instruments such as revolving funds, microfinance schemes, or capitalization of ESCOs are automatically classified as critical on the basis of their innovative nature (high impact and uncertainty due to no previous experience justifies classification as critical).
175. Based on the information recorded in Atlas, a Project Progress Reports can be generated in the Executive Snapshot.
176. Other ATLAS logs can be used to monitor issues, lessons learned etc. The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.
177. Day-to-day monitoring of implementation progress will be the responsibility of the Project manager based on the project's Annual Work Plan and its indicators. The Project manager 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.

178. The Project manager will fine-tune outputs, main activities and performance indicators in consultation with the full project team at the inception workshop, with support from UNDP-CO and assisted by the UNDP-GEF. Specific targets for the first year implementation performance indicators, together with their means of verification, will be reviewed at the inception workshop. These will be used to assess whether implementation is proceeding at the intended pace and in the right direction and will form part of the AWP. Targets and indicators for subsequent years would be defined annually as part of the internal evaluation and planning processes undertaken by the PMU, and agreed with the PB.
179. Periodic monitoring of implementation progress will be undertaken by the UNDP-CO through monitoring discussions and site visits based on quarterly narrative and financial reports from the Project manager. These quarterly progress reports will be prepared following guidelines provided by the UNDP-CO and UNDP-GEF RCU; they are short reports outlining the main updates in project performance.
180. Furthermore, specific meetings may be scheduled between the PMU, the UNDP-CO and other pertinent stakeholders as deemed appropriate and relevant (particularly the PB members). Such meetings 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.
181. Annual Monitoring will occur through the Annual Project Board meeting. This is the highest policy-level meeting of the parties directly involved in the implementation of a project. The project will be subject to PB meetings at least twice per year. The first such meeting will be held within the first twelve months following the initiation workshop. For each year-end meeting of the PB, the Project manager will prepare harmonized APR/PIR and submit it to UNDP-CO, the UNDP-GEF RCU, and all PB members at least two weeks prior to the meeting for review and comments.
182. The APR/PIR will be used as one of the basic documents for discussions in the PB year-end meeting. The Project manager will present the APR/PIR to the PB members, highlighting policy issues and recommendations for the decision of the Committee participants. The Project manager will also inform the participants of any agreement(s) reached by stakeholders during the APR/PIR preparation, on how to resolve operational issues. Separate reviews of each project output may also be conducted, as necessary. Details regarding the requirements and conduct of the APR and PB meetings are contained with the M&E Information Kit available through UNDP-GEF.
183. The combined Annual Project Report (APR) and Project Implementation Review (PIR) is a UNDP requirement and part of UNDP-CO central oversight, monitoring and project management. As a self-assessment report by project management to the CO, the APR/PIR is a key input to the year-end Project Board meetings. The PIR is an annual monitoring process mandated by the GEF. It has become an essential management and monitoring tool for project managers and offers the main vehicle for extracting lessons from on-going projects. These two reporting requirements are very similar in input, purpose and timing that they have now been amalgamated into a single APR/PIR Report.
184. An APR/PIR is to be prepared on an annual basis by June, but well in advance (at least one month) in order to be considered at the PB meeting. The purpose of the APR/PIR is to reflect progress achieved in meeting the project's AWP and assess performance of the project in contributing to intended outcomes through outputs and partnership work. The APR/PIR is discussed by the PB, so that the resultant report represents a document that has been agreed upon by all of the key stakeholders.
185. A standard format/template for the APR/PIR is provided by UNDP-GEF. This includes, but is not limited to, reporting on the following:

1. Progress made toward project objective and project outcomes - each with indicators, baseline data and end-of-project targets (cumulative);
  2. Project outputs delivered per project outcome (annual);
  3. Lesson learned/good practices;
  4. AWP and other expenditure reports;
  5. Risk and adaptive management;
  6. ATLAS QPR; and
  7. Portfolio level indicators (i.e. GEF focal area tracking tools) are used by most focal areas on an annual basis as well.
  8. UNDP will analyse the APR/PIRs for results and lessons. The APR/PIRs are also valuable for the independent evaluators who can utilize them to identify any changes in the project's structure, indicators, work plan, among others, and view a past history of delivery and assessment.
  9. A mid-term review will be conducted if needed at the mid-point of the implementation of the project to review the progress of the project and provide recommendations for the remaining implementation phase, including recommendations for ensuring a smooth exit and maximize the sustainability of project achievements.
  10. An independent final evaluation will take place three months prior to the terminal tripartite review meeting, and will focus on: a) the cost-effectiveness, efficiency and timeliness of project implementation and performance; b) highlight issues requiring decisions and actions; and c) present initial lessons learned about project design, implementation and management. Findings of this evaluation will be incorporated as lessons learned, and recommendations for improvement addressed to ensure the institutional sustainability of project outputs, particular for the replication of project activities. The final evaluation will also look at project outcomes and their sustainability. The final evaluation should also provide recommendations for follow-up activities, as appropriate. The terms of reference for the final evaluation will be prepared by the UNDP-CO based on guidance from the UNDP-GEF RCU, in consultation with the PB.
186. During the last three months of the project, the PMU will prepare the Project Terminal Report. This comprehensive report will summarize all activities, achievements and outputs of the project, lessons learned, the extent to which objectives have been met, structures and mechanisms implemented, capacities developed, among others. Together with the independent final evaluation, the project terminal report is one of two definitive statements of the project's activities during its lifetime. The project terminal report will also recommend further steps, if necessary, in order to ensure sustainability and replicability of the project outcomes and outputs.
187. The terminal review meeting is held by the PB, with invitation to other relevant government stakeholders as necessary, in the last month of project operations. The Project manager is responsible for preparing the terminal review report and submitting it to UNDP-CO, the UNDP-GEF RCU, and all participants of the terminal review meeting. The terminal review report will be drafted at least one month in advance of the terminal review meeting, in order to allow for timely review and to serve as the basis for discussion. The terminal review report considers the implementation of the project as a whole, paying particular attention to whether the project has achieved its stated objectives and contributed to the broader environmental objective. The report also decides whether any actions remain necessary, particularly in relation to the sustainability of project outputs and outcomes, and acts as a vehicle through

that lessons learned can be captured to feed into other projects under implementation or formulation. The terminal review meeting should refer to the independent final evaluation report, conclusions and recommendations as appropriate.

188. The UNDP-CO, in consultation with the UNDP-GEF Regional Technical Advisor and members of the PB, has the authority to suspend disbursement if project performance benchmarks are not met as per delivery rates, and qualitative assessments of achievements of outputs.
189. The Project manager, in consultation with and clearance from the Project Director will provide the UNDP Resident Representative with certified periodic financial statements relating to the status of UNDP (including GEF) funds according to the established procedures set out in UNDP's Programming and Finance manuals. An audit of the financial statements will be conducted by the legally recognized auditor of Uganda UNDP-CO.

### **Learning and knowledge sharing**

190. Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums.
191. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyse, and share lessons learned that might be beneficial in the design and implementation of similar future projects. There will be a two-way flow of information between this project and other projects of a similar focus.

### **Audit**

192. The project will be audited in accordance with UNDP Financial Regulations and Rules and applicable audit policies.

### **Communications and visibility requirements**

193. Full compliance is required with UNDP's Branding Guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used. For the avoidance of any doubt, when logo use is required, the UNDP logo needs to be used alongside the GEF logo. The GEF logo can be accessed at: [http://www.thegef.org/gef/GEF\\_logo](http://www.thegef.org/gef/GEF_logo). The UNDP logo can be accessed at <http://intra.undp.org/coa/branding.shtml>.
194. Full compliance is also required with the GEF's Communication and Visibility Guidelines (the "GEF Guidelines"). The GEF Guidelines can be accessed at: [http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08\\_Branding\\_the\\_GEF%20final\\_0.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf). Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items. Where other agencies and project partners have provided support through co-financing, their branding policies and requirements should be similarly applied.
195. The table below presents the indicative Work Plan and Budget for project's M&E activities

Table13: M&amp;E Work Plan and budget

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Timeframe
Inception Workshop and Report	1. Project manager 2. UNDP CO, UNDP GEF	Indicative cost: 10,000	Within first two months of project start up
Measurement of Means of Verification of project results.	1. UNDP GEF RTA/Project manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members. 2. PMU	To be finalized in Inception Phase and Workshop. Indicative cost: 15,000	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on output and implementation	3. Oversight by Project manager 4. PMU	To be determined as part of the Annual Work Plan's preparation.	Annually prior to ARR/PIR and to the definition of annual work plans
APR/PIR	5. Project manager and PMU 6. UNDP CO 7. UNDP RTA 8. UNDP EEG	None	Annually
Periodic status/ progress reports	1. Project manager and PMU	None	Quarterly
Mid-term Review	2. Project manager and PMU 3. UNDP CO 4. UNDP RCU 5. External Consultants (i.e. evaluation team)	Not Required for MSP project but can be undertaken if it is deemed necessary by the Project Board	At the mid-point of project implementation.
Final Evaluation	1. Project manager and PMU 2. UNDP CO 3. UNDP RCU 4. External Consultants (i.e., evaluation team)	Indicative cost: \$45,000	At least three months before the end of project implementation
Project Terminal Report	1. Project manager and PMU 2. UNDP CO 3. Local consultant	None	At least three months before the end of the project
Audit	1. UNDP CO 2. Project manager and team	Indicative cost for 3 years: \$6,000 (2,000/year)	Yearly
Visits to field sites	1. UNDP CO 2. UNDP RCU 3. Government representatives	For GEF supported projects, paid from IA fees and operational budget	Yearly
<b>TOTAL indicative COST</b> Excluding PMU staff time and UNDP staff and travel expenses		US\$ 76,000 (+/- 5% of GEF budget)	



## D. Financing

### D.1 Financing Plan

196. An indicative budget is provided in Annex 2. The total project cost is US\$ 10,451,659; of which US\$ 1,620,320 from the GEF and US\$ 8,831,339 in co-financing from the GoU. The allocation of resources is detailed in the table below.

PROJECT COMPONENT	GEF (\$)	CO-FINANCING (\$)	TOTAL (\$)
<b>COMPONENT 1</b>	213,411	1,646,125	1,859,536
<b>COMPONENT 2</b>	1,329,751	6,808,117	8,137,868
<b>PROJECT MANAGEMENT COSTS</b>	77,158	377,097	454,255
<b>TOTAL PROJECT COSTS</b>	1,620,320	8,831,339	10,451,659

### D.2 Cost-Effectiveness

197. The project design is expected to be highly cost-effective.
198. The first component of the project will focus on raising awareness and developing planning documents to upscale SLM, SFM and CCM in the Mt Elgon area. The development of these documents, mainly the resources maps, land use plans and revised district development plans will be cost effective since it will be a participatory process involving local communities. The documents will feed into each other, which will turn to good account the information gathered for the resource maps and the land use plans. The same data and information basis will allow the development of resource maps, the land use plans and then mainstreaming SLM, SFM and CCM into district development plans and district environment action plans; which proves to be a cost effective approach.
199. Throughout the project, capacities will be strengthened regarding SLM, SFM and CCM in different institutions at national, provincial and local level through the FFS. The staff with strengthened capacity, while staying in the country after the end of the project, will be able to upscale awareness on SLM, SFM and CCM, which will allow the project to limit the use of international experts in a cost-effective manner. Notwithstanding, where national expertise is not available, making international expertise unique or exceptionally credible, international expert could be used.
200. The second component of the project adopts the FAO FFS approach that has proven to be cost effective in the past. In the preparation of the FAO/GEF project “Integrating climate resilience into agricultural production for food security in rural areas of Mali”, a comparison of costs for FFS and standard training approaches to extension was undertaken. Although not directly transferable to this project, the findings were that “building upon 400 existing FFS and 233 experienced facilitators (for crops such as rice, cotton and vegetable gardening) will save US\$ 251,540 in training costs alone and US\$ 220,000 in FFS operation over the project cycle.” Although not a solid economic analysis, this does strongly indicate the cost-effectiveness of the FFS approach.
201. The project intends to develop an action plan to strengthen and improve public private collaboration to improve farmers’ access to inputs, technical support and advice and market. While drafting such proposal has a limited cost, its effectiveness and impacts is particularly

important since it will allow future investments to mainstream SLM, SFM and CCM in other initiatives, even after the end of the project.

202. The project will also develop monitoring frameworks for carbon emission/sequestration and soil erosion while also training key actors in how to use these frameworks. The costs of developing such frameworks are limited but their foreseen effectiveness and impacts are significant to help track and reduce GHG emissions and land degradation.
203. Cost-effectiveness will also be achieved through knowledge management, synergies and complementarities. Precious knowledge on SLM, SFM and CCM does exist both at grass-root and institutional levels, but it is poorly systematized, shared and disseminated. Good operational lessons learned and practices for SLM, SFM and CCM will be developed and disseminated by the project. While the cost of producing a report on the matter is not high, the impacts of the application of such lessons learned could have is tremendous.
204. The project will also seek synergies and complementarities with on-going initiatives and programs having similar objectives while avoiding overlaps.

### D.3 Co-financing

Table 15: INDICATIVE CO-FINANCING FOR THE PROJECT BY SOURCE AND BY NAME  
IF AVAILABLE, (\$)

Sources	Name of Co-financier	Type of Co-financing	Amount (\$)
Government Contribution	Ministry of Agriculture, Animal Industry and Fisheries	In-kind	1,526,250
Government Contribution	National Agricultural Advisory Services	In-kind	2,501,384
Government Contribution	Ministry of Water and Environment	In-kind	2,000,000
GEF Agency	UNDP-Country Programme	Cash/In-kind*	2,670,750
Local Governments/Districts	3 Target Districts	In-kind	133,000
<b>Total Co-financing</b>			<b>8,831,384</b>

**\* CASH: 1,000,000; IN-KIND: 1,680,000**

205. The co-financing for this project will be in-kind. The mentioned institutions commit to contribute to this project by providing inputs, staff time, transport etc., as expressed in the commitment letters. Each institution made internal consultations with the Directorate/Departmental Heads to define their on-going and planned activities in the region that could complement this project.
206. MAAIF and MWE are implementing projects and activities with similar objectives in the area and will complement GEF resources. Among other forms, they will commit staff, time and equipment to implementation and coordination. Co-financing will also include investment into environmental infrastructure such as soil and water conservation techniques, providing tree seedlings and technical backstopping in forestry.
207. NAADS will co-finance the project through the agricultural input package earmarked for the three target districts. The budget presented comes from the district coordinators budgets and work plans.
208. Manafwa District Local Government will co-finance the project through synergies with different projects, including the Water Management Development Project.

209. Bulambuli District Local Government will co-finance the project through the supply of coffee seedlings and payment of salaries of two agricultural officers and one community development officer.

## E. Institutional Coordination and Support

### E.1 Core Commitments and Linkages

#### E.1.a Linkages to other activities and programmes

210. Various initiatives have taken place in Mt Elgon region regarding climate change adaptation and land degradation, and several projects are on-going or under preparation. The project will create synergies with on-going projects, as described thereafter<sup>13</sup>:
211. At the National level, the GoU's vision for SLM is guided by the Comprehensive Africa Agriculture Development Programme (CAADP) that has been translated at the national level by the Agriculture Sector Development Strategy and Investment Plan (DSIP). So far, the DSIP has mainly focused on agricultural and advisory services, but not on SLM. The Strategic Investment Framework for SLM has not been launched because of limited funding. Regarding land use planning, the GoU is developing guidelines to develop land use plans that will be piloted in two districts, not including the Mt Elgon region. The government is supporting, in the South West and central corridor district, the mapping of land suitability, which is not either carried out in the region of intervention of the project.
212. Uganda is participating in the UNDP/EU Low Emission Capacity Building (LECB) Programme (2011-2016) that aims to strengthen the country's technical and institutional capacity in the development of GHG inventory systems and Nationally Appropriate Mitigation Actions (NAMAs). The programme focuses on developing NAMAs with potential development benefits such as increased clean energy generation and access, new technology investment opportunities, improved health, increased employment opportunities and overall economic growth and poverty reduction. The LECB programme will contribute to raise general knowledge and awareness on climate change and put climate change issues higher on the national agenda through strengthened cooperation and increased involvement of relevant stakeholders. It will strengthen and build national capacities for participation in different mechanisms related to low emission development and fulfilling Uganda's commitments to the UNFCCC and regional climate change initiatives. The NAMA development process in Uganda started in February 2013 with an inception meeting for the LECB Programme followed by a NAMA training to familiarize stakeholders with the NAMA concepts. Eight priority NAMAs have been for Uganda encompassing the agriculture, the energy, the transport and the waste sector. However, none of these priority actions deals with SLM of rangeland to reduce GHG emission from soil and land degradation<sup>14</sup>.
213. Following the approval of Uganda REDD+ Readiness Preparation Proposal in 2011, the country received the readiness preparation grant from the World Bank. The objective of the grant is to contribute to the design of a socially and environmentally viable national strategy for reducing emissions from deforestation and forest degradation. It also aims at developing a national/sub national reference scenario of emissions from deforestation and forest degradation that takes into account the national circumstances and the emerging guidance

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<sup>13</sup> These synergies are described in more detail in Section C.2 in the description of the baseline and the alternative proposed by the project.

<sup>14</sup> <http://mitigationpartnership.net/uganda-stakeholder-involvement-development-nationally-appropriate-mitigation-actions-namas>

from the global climate change convention. As part of the REDD+ Readiness Preparation Activities, Uganda will also support the “design and development of a robust system for national forest monitoring and information on safeguards for Uganda’s REDD+ activities”. This will cover (i) a national forest monitoring system for emissions and removals of GHG due to avoided deforestation and forest degradation, (ii) enhancement of forest carbon stocks, (iii) conservation and sustainable management of forests, and (iv) a system for providing information on how safeguards are being addressed throughout the implementation of REDD+ activities.

214. The FAO has been implementing Farmer Field School (FFS) and Agro-Pastoralist Field Schools (APFS) over 3,000 sites throughout the country – although not in the three districts of intervention of the project. More recently, FAO Uganda has also introduced new mapping technologies in the country that will help generate more useful and detailed forestry statistics and land cover maps. The new tools and information will help the government monitor national forest resources and make informed decisions regarding long-term forestry and investment policies, as well as avoid unintended forest conversion and the degradation of the productive and protective functions of forests.
215. The Agricultural Technology and Agribusiness Advisory Services (ATAAS) is a GoU five year project being implemented since 2011 in the whole country by MAAIF, through NARO and NAADS, to support the NDP which is Uganda's strategic development framework for economic development. The overall project budget is USD 665.5 million. ATAAS seeks to address the lack of coordination between the different actors involved in agricultural research and development in Uganda; in particular between research institutes (NARO) and advisory services (NAADS), as well as the limited focus of agricultural advisory services. Thus, ATAAS has two main objectives: (i) increase agricultural productivity and incomes of participating households by improving the performance of agricultural research and advisory service systems in Uganda; and (ii) enhance the environmental sustainability and resilience of agricultural production to land degradation and climate risks. The project includes four main components. Component 1 aims at developing agricultural technologies and strengthening the National Agricultural Research System (NARS). The agricultural technologies include research to mitigate the effects of climate change such as: i) soil mapping and digitization; (ii) specific fertilizer recommendations and integrated plant nutrient management practices for the main commodities and soil types; (iii) SLM technologies; (iv) integrated pest and disease management; (v) research to improve the understanding of climate change and variability, their impacts on agriculture; and (vi) invasive species mitigation. Component 2 aims at enhancing partnerships between agricultural research (NARO), advisory services (NAADS), and other stakeholders. Component 3 aims to strengthen the NAADS by supporting improved delivery of demand-driven and market-oriented advisory services to farmers to promote their progression from subsistence to commercial engagement. Component 4 aims to supporting agribusiness services and market linkages by promoting the integration of smallholders in value chains and the collaboration between agribusiness, farmers, Agriculture Advisory Service Providers (AASPs), and researchers to create viable, sustainable market and agribusiness linkages.
216. The African Development Bank (AfDB) is implementing in Uganda a Water Supply and Sanitation Programme (WSSP). This programme seeks to increase the resilience to climate change of the natural environment and the physical infrastructure of vulnerable drought and flood prone districts in Eastern Uganda by strengthening water and sanitation infrastructure for rural and peri-urban areas.

217. At the local level, due to two recent major landslides in Mt Elgon, investments from the Government have focused on relocating and resettling people, rather than on SLM. The National Policy for Disaster Preparedness and Management lists policy actions to manage landslides, including afforestation, application of appropriate farming technologies and land use practices. However, two main policy actions have been implemented at the district level: (i) gazettement landslide and mudslide prone areas and prohibiting settlement in such risk areas, and (ii) resettling all persons living in land/mudslide prone areas (Formo and Padeginas, 2012). The national SLM Investment framework has not reached the districts and therefore is not integrated into district development plans. Land use planning has not been prioritized at the district level, partly because of a lack of capacity and the urgent nature of other issues such as landslides. Planning tools like maps and databases that could assist in land use planning are non-existent at the district level. Furthermore, there are currently no land use or disaster/landslide management and preparedness plans.
218. Attempts to mainstream CCM into the Mt Elgon regional plans have already started by the drawing on the ITCP 2014-2029. The recently ended Territorial Approach to Climate Change (TACC) project was funded by UNDP, DFID and DANIDA. It built capacity for low-carbon and climate change-resilient local development, primarily through training of Government officials on integrating climate change concerns in multi-sectoral development planning and mobilizing resources and political commitment towards climate change management. One of the end results was the ITCP that highlights approaches for integrating climate change adaptation and mitigation strategies into Mt Elgon region development planning. These include sustainable intensification of annual crop production systems, climate resilient coffee production, researching and developing innovative climate resilient production systems, agroforestry, and reforestation and sustainable use of forest resources. None of the ITCP has yet been implemented.
219. The Global Ecosystem-Based Adaptation in Mountain Ecosystems programme (2011 – 2015) funded by the German Government's International Climate Initiative included a project for the Mt Elgon ecosystem, in particular in the districts of Bulambuli, Sironko, Kapchorwa and Kween. The project was conceived to address climate change impacts affecting the functioning and integrity of mountain ecosystems, and additional stress imposed on the ecosystems from interventions such as unsustainable land use practices. Mt Elgon was identified as an ecosystem particularly vulnerable to climate change impacts. The overall objectives of the project are to (a) strengthen the capacities of Uganda to increase ecosystem resilience by promoting EBA options and (b) reduce the vulnerability of communities, with particular emphasis on mountain ecosystems and associated flood plains. The project has four components: i) developing tools and methodologies for EBA decision making in mountain ecosystems; ii) applying these tools and methodologies at the national level; iii) implementing EBA pilots at the ecosystem level and documenting lessons; and iv) formulating national policies, building an economic case for EBA using those lessons. In Mt Elgon, the project focused on learning lessons and capturing experiences and practices in EBA that can be replicated in other parts of Uganda, particularly in the hilly/mountainous areas and flood plains that are often affected by floods or mudslides from the mountains. A Vulnerability Impact Assessment (VIA) report for the Mt Elgon ecosystem was produced in the framework of this project and provides multiple recommendations with regards to Climate Smart Agriculture (CSA); livestock, forestry and wetland management; agroforestry; sustainable energy options; infrastructure, social and public services; institutional and regulatory reforms; alternative income generating activities, etc.

220. The second phase of the Mt Elgon Regional Ecosystem Conservation Programme (MERECP) started in 2014 with the objective of improving livelihoods and resilience to climate change through sustainable biodiversity conservation and green growth in the Mt. Elgon transboundary ecosystem. The purpose is to reduce biodiversity degradation and improving livelihoods and natural resources management in the Mt. Elgon ecosystem. The specific objectives of MERECP II are to: (i) promote sustainable sources of alternative incomes, green growth and other incentives for conservation of biodiversity in and outside protected areas in Mt Elgon landscape ecosystem; (ii) institutionalize Transboundary Natural Resources Management (TBNRM) between Kenya and Uganda components of the Mount Elgon transboundary ecosystem; (iii) promote knowledge management and information sharing in the Mount Elgon ecosystem; and (iv) enhance programme coordination and management.
221. The Resilience Framework to support climate change adaptation in the Mount Elgon region of the Lake Victoria Basin (RFCC project) funded by USAID and implemented by IUCN, started in July 2012 and is expected to end in June 2015. It focuses on climate change adaptation and includes Uganda and Kenya, covering transborder issues. The project has five priorities: i) restoration of three catchment areas (Suam and Manafwa catchments on Ugandan side and Sabwani catchment on the Kenyan side) with native species; ii) promotion of fertility and land conservation measures; iii) enhancement of social resilience through the diversification of livelihoods, mainly by promoting the coffee value chain; iv) promotion of conflict resolution with communities and authorities; and v) promotion of appropriate policy framework through a global partnership. The project has conducted a socio-economic assessment and a geo-physical study, providing climate projections for the Mount Elgon area. Based on this information, river banks have been restored and agroforestry promoted through participatory processes in the hotspots where risk are cumulative in order to decrease soil erosion and reduce the occurrence of landslides and floods. The project is being implemented in the Buhabutsi and Tsekululu sub-counties of Manafwa in the Manafwa catchment.
222. The One Million Trees project from the Size of Wales project has been expanded to plant 10 million trees in the highly deforested Mbale area in Uganda. The project is being implemented by the Mbale Coalition against Poverty (Mbale CAP), a coalition of Ugandan NGOs helping communities to tackle poverty. Through the 10 million trees project, soil is being stabilized through forest restoration in order to prevent dangerous landslides. Local community awareness of the advantages of tree planting is being raised in order to increase climate change resilience. The three aims of the project encompass poverty alleviation, CCA and CCM.
223. While complementing these existing initiatives, the project will also build upon the achievements and lessons learned of past initiatives.
224. In order to ensure synergies with other on-going projects (presented in section E1a), the Project Management Unit will coordinate and maintain regular communication with other initiatives. In particular, the project will coordinate with the African Development Bank (AfDB)-LDCF project on Building Resilience to Climate Change in the Water Sector through the government inter-ministerial committee on sustainable land management; and the climate change policy committee. At the local level, coordination will be enhanced through the Mt. Elgon stakeholders Forum and the District Technical Planning Committees. Through these platforms, the project will share implementation plans, reports and lessons learnt including those from mid-term evaluation to have a coordinated approach and learn from what other stakeholders are doing in the region.

## **Lessons learnt**

225. The results and lessons from recently closed and ongoing projects are relevant to inform the design of the current project. According to the local stakeholders, several lessons can be drawn from these projects.
226. Projects in the area highlight the importance of the geographical and sectoral coverage and timespan of projects. Regional stakeholders claim that projects have shown that it is critical to have an integral approach working on large or integrated areas and focusing on the hilltops. Having a value chain approach has also demonstrated to be crucial, not only for coffee.
227. These projects stress the relevance of involving all stakeholders, especially beneficiaries, in all levels in order to ensure ownership and support. Existing projects outline the importance of engaging with all communities, but in a way that is appropriate to each of them, which may differ between them. In general, however, engaging leaders and best performers seems key to engage local people.
228. It has been demonstrated that projects that are built on existing good practices achieve greater ownership and are more sustainable. In this sense, dealing with people already engaged in implementing appropriate technologies increases the prospects of early, widespread and sustainable adoption. The leaders who adopt good practices should be therefore promoted and their good practices scaled up. In terms of general approach, regional stakeholders argue that the ITCP should be taken as the reference. More than reinventing the wheel, it is important to continue to engage with communities on supporting the strategies that have shown significant success.
229. Economic approaches have proven critical in changing land use management practices. The potential economic benefits linked with sustainable land management have to be identified and communicated to promote it.
230. Market demand has proven decisive in some projects. For instance, in the FIEFOC project market demand encouraged plantation of trees and protection of seedlings. When there is no market demand for product of any tree species then there will not be much interest among farmers to plant and take care of them. In such situations, when seedlings are provided to villagers free of cost, they pay little interest in planting or protecting them and in some cases were even found throwing the seedlings away.
231. It has been proven that programmes with a clear exit strategy have greater chances of being sustainable. Seventh, coordination and networking with other players multiply synergies and provide greater results than stand-alone projects. Eighth, these projects show that technology with multiple benefits is more likely to be adopted in the region. Finally, the capacity of communities to handle revolving fund cash has proven to be limited, although providing incentives has demonstrated to be an important stimulus in the adoption of sustainable land management practices.
232. Regarding soil and water conservation technologies, Barungi et al. (2013) found that the following combinations provide the best results in the Mount Elgon area: i) terrace and agroforestry; ii) contours, napier grass and trenches; and iii) contours, terraces, napier grass, agroforestry and trenches.

## **E.2 Implementation and Execution Arrangements**

233. Implementing Partner: The Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) is the designated Implementing Partner of the project in collaboration with Mbale, Manafwa and Bulambuli District Local Governments. It will execute the project on behalf of the GoU

under the National Implementation Modality (NIM) of UNDP. The Implementing Partner is the entity responsible and accountable for managing a project, including the monitoring and evaluation of project interventions, achieving project outputs, and for the effective use of GEF/UNDP resources. A single implementing partner is designated to manage each UNDP-supported project. The implementing partner will enter into agreements with Mbale, Manafwa and Bulambuli District Local Governments to assist in successfully delivering project outputs. The implementing partner was identified based on an assessment of its legal, technical, financial, managerial and administrative capacities that will be needed for the project. In addition, its ability to manage cash was assessed in accordance with the Harmonized Approach to Cash Transfers. The Implementing Partner will assign a Representative and provide its staff and network of experts as support to the Project Management Unit (as part of government co-financing).

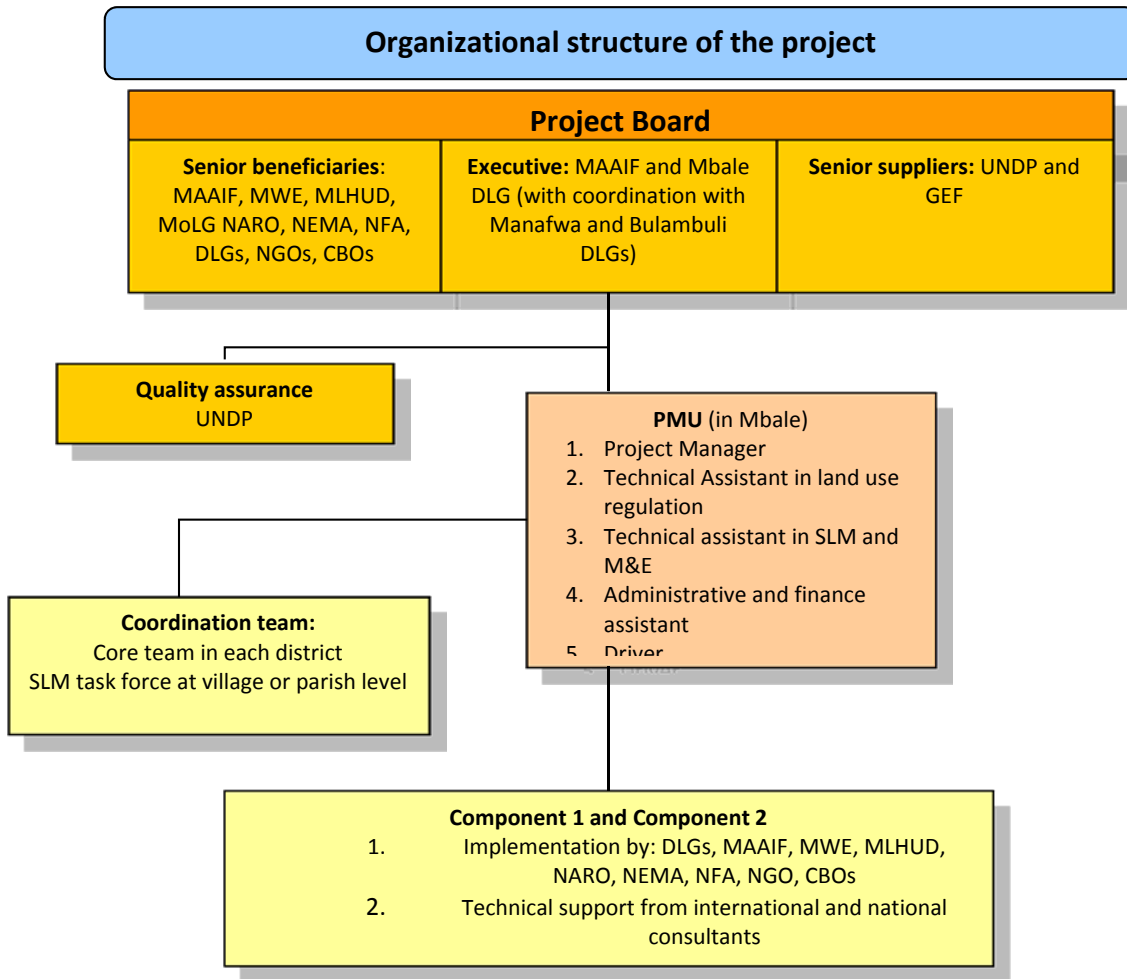
234. Senior Beneficiary: The Permanent Secretary of MAAIF represents the GoU and acts as the Senior Beneficiary of the Project. As will be explained in paragraph 221, other ministries and the 3 DLG are also beneficiaries and will be part of the Project Board.
235. Executive: The Permanent Secretary of MAAIF is designated at the Executive for this project, in collaboration with the 3 DLGs, and especially the Mbale DLG. The Executive will also chair the Project Board. She/he will be responsible for management oversight of the project.
236. Senior Supplier: The UNDP Resident Representative, based in Kampala takes the role of the Senior Supplier. UNDP is the GEF Implementing Agency for this project, with the UNDP Country Office responsible for transparent practices, appropriate conduct and professional auditing.
237. Project Board (PB): The three parties above (the Executive, Senior Supplier and Senior Beneficiary) make up the core members of the Project Board. The main function of the PB is to strategically guide the course of the project towards achieving its objective. It is specifically established by the project to provide management oversight of project activities and is to be chaired by the Secretary of MAAIF. The PB will review progress and evaluation reports, and approve programmatic modifications to project execution, as appropriate and in accordance to UNDP procedures. Policy recommendations will be discussed and recommended for consideration by the Cabinet of Ministers and Parliament. The PB is also responsible for making by consensus, management decisions for a project when guidance is required by the Project manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, PB decisions should be made in accordance with standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. Based on the approved annual work plan (AWP), the PB may review and approve project quarterly plans when required and authorizes any major deviation from these agreed quarterly plans. It is the authority that signs off the completion of each quarterly plan as well as authorizes the start of the next quarterly plan. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems between the projects and external bodies. Finally, it approves the appointment and responsibilities of the Project manager and any delegation of its Project Assurance responsibilities. In case a consensus cannot be reached within the PB, final decision shall rest with the UNDP Resident Representative.
238. In addition to the three parties above, government membership of the PB may include representatives from the line ministries responsible and their respective state agencies, namely MWE, Ministry of Lands, Housing and Urban Development (MLHUD), Ministry of Local Governments, Ministry of Trade, Industry and Cooperatives (MTIC) and the Ministry of



Energy and Mineral Development (MEMD), which make together with MAAIF the inter-ministerial task force for SLM activities. The representative of the District Local Governments of Mbale, Manafwa and Bulambuli are also part of the Project Board. During the consultation process with different stakeholders concerns were raised regarding concentrating resources into a central/national institution, in terms of remoteness from project sites, insufficient staff to make field visits to properly follow up and considerable bureaucracy. In order to overcome these problems, representatives of DLGs will be part of the PB, and MAAIF will implement the project in close collaboration with the 3 DLGs. Non-state stakeholders may also be represented on the PB, namely from the private sector, academic and research institutions, NGOs, and CSOs. Additional members of the PB are reviewed and recommended for approval during the project appraisal committee (PAC) meeting. The PB will meet four (4) times per year and meetings will be co-financed by UNDP.

239. **Project Management Unit (PMU):** The Implementing Partner will provide an office. It will be located in Mbale, in a decentralized MAAIF office, in order to properly follow up the implementation of the project, and ensure close and permanent involvement of the 3 DLGs. The PMU will be administered by a full-time Project manager and supported by two full-time Technical Assistants (one specialized in Land Use regulations, and one specialized in M&E and SLM on the ground) and a full-time Administrative/Financial Assistant. The Technical Assistant specialized in land use regulations will be hired full time in the first year, when most of the activities in that regard are undertaken. The other Technical Assistant specialized in SLM and M&E will be hired full-time during the three years of the project, as SLM is the main focus of the project. The PMU will be responsible for the elaboration of AWP and Budgets. The PMU will implement project activities through a result based management approach. The PMU will be in charge of the technical and financial reporting and the M&E of the project. The PMU will also coordinate the project intervention with other on-going initiatives, including LECBP and ATAAS, among others, and will communicate with technical and financial partners as well as beneficiaries.
240. **Project manager:** The Project manager has the authority to run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the Project Board as well as subcontract specific components of the project to specialized government agencies, research institutions, as well as qualified NGOs. The Project manager is responsible for day-to-day management and decision-making for the project. The Project manager's prime responsibility is to ensure that the project produces the results (outputs) specified in the project document, to the required standard of quality and within the specified constraints of time and cost. The Implementing Partner appoints the Project manager, who should be different from the Implementing Partner's representative in the Board (NPD). Prior to the approval of the project, the Project Developer from UNDP is responsible for project management functions during formulation until the Project manager from the Implementing Partner is in place.
241. **Project Technical Assistants:** There will be two project technical assistants. One technical assistant will be specialized in land use regulations and will particularly support the implementation of component 1 and output 2.4 of component 2. The other technical assistant will be specialized in SLM in the ground and M&E, and will particularly support the implementation of outputs 2.1, 2.2 and 2.3. Although focused on the outputs mentioned, the two technical assistants will work hand in hand to ensure synergies across the project, but mainly on outputs 1.2, 2.2 and 2.5. He/she will also be responsible for the design and sound implementation of the Monitoring and Evaluation Framework of the project as well as the communication work of the project under both components. The role of the technical assistants

- is to provide technical support to the Project manager in their area of expertise as required by the needs of the individual project or Project manager.
242. Project Administrative/Finance Assistant: The role provides project administration, management and technical support to the Project manager as required by the needs of the individual project or Project manager. This position will be full-time for the entire duration of the project.
  243. A Driver will be nationally recruited for the PMU during the three years of project implementation. The Terms of Reference (ToR) of all PMU staff is presented in Annex 5.
  244. District Local Governments: In addition to have representatives in the PB, the DLG will play a significant coordination role in the field, given that they have permanent structures in the field, experience in implementing similar projects (namely Mbale TACC), good knowledge of the local political, economic, social and environmental context, and relatively significant ability to mobilize community through the DLG structures. For that reasons, DLGs can be considered implementation partners, as MAAIF and the 3 DLG will closely collaborate in the implementation of the project. In this sense, a coordination team will be created with focal persons from the three districts. Representatives of the production and natural resources departments should conform this team. In each district a core team will be created including the Chief Administrative Officer, production, natural resources, and community development officers, researchers from NARO, and representatives of CBOs, NGOs, private sector and cooperatives working in it. A SLM task force will also be created at the village or at least at parish level, including the same stakeholders for that level. This task force will be responsible of land use planning. In this sense, existing structures will be used for consultative planning extending down to village level and the selection of target communities as far as possible.
  245. Technical Support/Consultants/cies: Responsible for undertaking specific activities for project components as needed.
  246. Capacity Development Activities: The project will take an adaptive collaborative management approach to implementation. That is, UNDP and MAAIF will manage project activities in order that stakeholders are involved early and throughout project implementation, providing regular input of the performance of project activities. This will help signal unforeseen risks and contribute to the timely modification and realignment of activities within the boundaries of the project's goal and objectives.
  247. Stakeholder Engagement: Project activities will be implemented through the necessary engagement of Stakeholders where needed.
  248. The organization structure is explained in the chart below.



## PART II: ANNEXES

### Annex 1: Strategic Results Framework<sup>15</sup>

Outcomes	Output	Indicator	Baseline	Target	Means of verification	Assumption
1. The landscape planning and management processes in the district of Manafwa, Bulambuli and Mbale are done in an integrated manner to reduce land degradation and increase carbon sequestration	1.1 Community resource maps developed in 6 sub-counties in 3 districts	Percentage of parishes with community resource maps developed and disseminated in the 6 sub-counties in the 3 districts	No resource maps are available in the parishes of the 6 sub-counties of intervention	Community resources maps are developed and disseminated in the 33 parishes of the 6 sub-counties	Community resource maps Workshop attendance sheets	Communities provide valuable inputs for the development of resource maps  Land use plans, existing legislation and district development plans are taken seriously and effectively enforced
	1.2 Land use plans developed, in line with the resource maps, in 6 highly degraded sub-counties	Percentage of parishes with land use plans developed and disseminated in 6 highly degraded sub-counties	No land use plans are available in the 6 sub-counties of intervention	Land use plans are developed and disseminated in the 33 parishes of the 6 highly degraded sub-counties	Land use plans Workshop attendance sheets	Land conflicts remain localized and do not endanger the overall project implementation
	1.3 District local governments supported to implement clauses regarding SLM, SFM and CCM	Number of clauses implemented	SLM, SFM and CCM clauses are available in the three districts of intervention but not implemented	50% of the relevant clauses identified are implemented	1 gap analysis study on SLM legislation  Clauses in existing legislation	The occurrence of extreme climate events does not compromise the implementation of project activities
		Number of people with increased awareness on SLM technologies and approaches	Lack of awareness on SLM technologies and approaches	30 district staff 60 local community representatives with increased awareness in SLM technologies and approaches	Workshop attendance sheets	
	1.4 A system for effective monitoring and enforcement of the land use plans and related legislation is put in place	Existence or absence of a monitoring and enforcement framework	No monitoring and enforcement systems are effectively implemented	1 monitoring and enforcement framework designed per district	Monitoring and enforcement framework	
	1.5 SLM, SFM and CCM mainstreamed into district policy plans	Existence or absence of guidelines to integrate SLM, SFM and CCM into District Development Plans	The Districts Development Plans do not significantly consider SLM, SFM and CCM	3 Districts have guidelines to integrate SLM, SFM and CCM into their Development Plans	Guidelines for Districts Development Plans	
			No District Environment	1 Local Environmental	Local Environmental	

<sup>15</sup> Baselines, targets and means of verification were agreed with stakeholders. However, they will be confirmed in year 1 of implementation.

		Existence or absence of District Environment Action Plans	Action Plans are in place in the districts	Committee is effective on each district and has developed guidelines for a District Environment Action Plan	Committees Meeting reports Guidelines for District Environment Action Plan	
2. Local communities are empowered and applying technologies and approaches to reverse land degradation and reduce GHG emissions.	2.1 Enhanced local capacities for the adoption of sustainable forest and land management and climate change mitigation through the FFS approach	Number of master trainers trained in SLM, SFM and CCM Number of FFS facilitators trained and equipped Number of farmers trained	Limited capacities in SLM, SFM and CCM and equipment among the extension staff and farmers of the districts of intervention	6 extension staff (50% women) per district trained and equipped to be FFS facilitators 1500 farmers trained	Training attendance sheets FFS attendance sheets Declaration of improved equipment from master trainers and FFS facilitators	Extension staff and farmers participate actively in the FFS trainings  The public and private sectors recognize an opportunity in participating
	2.2 Existing public-private collaboration is strengthened to improve farmer's access to inputs, technical support and advice and markets	Existence or absence of an action plan to improve and strengthen existing collaboration to improve farmers' access to inputs (such as micro-finance and climate resilient seedlings), technical support and advice, and markets	Limited farmers' access to inputs (such as micro-finance and climate resilient seedlings), technical support and advice and markets	1 Action Plan for a better public-private collaboration to improve farmers' access to inputs (such as micro-finance and climate resilient seedlings), technical support and advice, and markets	Action plan	Land conflicts remain localized and do not compromise pilots implementation  Farmers are willing to adopt new technologies and approaches in their farming practices  The occurrence of extreme climate events does not compromise the implementation of project activities
	2.3 Pilots demonstrating SLM and SFM are implemented in the 3 districts of intervention	Surface area of land under conservation agriculture Surface area of land reforested Surface area of farmland with tree farming systems	Conservation agriculture and tree farming systems are rare in the three districts of intervention and deforestation is significant	20,500 ha under conservation agriculture (indicative: depending on land use plans)  1,000 ha reforested (indicative: depending on land use plans)  4,000 ha of farmland with tree farming systems (indicative: depending on land use plans)	Project Progress Reports	Best practices and lessons learned can be extracted from the implementation of the project
	2.4 Monitoring frameworks for carbon emission/sequestration and soil erosion are	Existence or absence of monitoring frameworks for carbon emission/sequestration	Lack of monitoring for carbon emission/sequestration and soil erosion	1 monitoring framework for carbon emission/sequestration developed and implemented	Monitoring frameworks and progress reports	

	developed and implemented			1 monitoring framework for soil erosion developed and implemented		
	2.5 Best practices developed and disseminated	Existence or absence of a strategic plan to scale up best practices and lessons from the project	Not applicable	1 plan published and disseminated	Strategic plan to scale up best practices and lessons learned	
<b>Objective level indicators</b>	<p>Number of hectares degraded: approximately 25,500 ha</p> <p>Scores on the LD Tracking Tool Scorecard: 15-20% increases</p> <p>Score on the Capacity Development Scorecard: 25% increase</p> <p>Hectares under forest cover: 5,000 ha</p> <p>Tons of Carbon sequestered: 24,142 tC/y</p>					

## Annex 2: Outcome Budget (GEF Contribution)<sup>16</sup>

<b>Award ID:</b>	00088957	<b>Project ID</b>	00095404
<b>Award Title:</b>	Integrated Landscape Management for Improved Livelihoods and Ecosystem Resilience in Mount Elgon		
<b>Business Unit:</b>	UGA10		
<b>Project Title:</b>	Integrated Landscape Management for Improved Livelihoods and Ecosystem Resilience in Mount Elgon		
<b>Implementing Partner (Executing Agency)</b>	MAAIF / Mbale DLG		

GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Total (USD)	See Budget Note:
<b>OUTCOME 1: Outcome 1: The landscape planning and management processes in the district of Manafwa, Bulambuli and Mbale are done in an integrated manner to reduce land degradation and increase carbon sequestration.</b>	MAAIF / Mbale DLG	62000	GEF	71800	Contractual Services-individuals hired by Implementing Partner	20,000.00	-	-	20,000.00	a
		62000	GEF	71200	International consultant	64,800.00	-	-	64,800.00	b
		62000	GEF	71300	National consultants	41,400.00	-	-	41,400.00	c
		62000	GEF	71600	Travel	31,050.00	-	-	31,050.00	d
		62000	GEF	72200	Equipment and furniture	10,700.00	-	-	10,700.00	e
		62000	GEF	74200	Audio, visual and print prod cost	8,000.00	-	-	8,000.00	f
		62000	GEF	74500	Miscellaneous	2,461.00	-	-	2,461.00	g
		62000	GEF	75700	Workshop	35,000.00	-	-	35,000.00	h
<b>Sub-Total</b>						<b>213,411.00</b>			<b>213,411.00</b>	
<b>Outcome 2: Local communities are empowered and applying technologies and approaches to reverse land degradation and reduce GHG emissions</b>	MAAIF / Mbale DLG	62000	GEF	71800	Contractual Services-individuals hired by Implementing Partner	40,000.00	40,000.00	40,000.00	120,000.00	i
		62000	GEF	71200	International consultant	74,400.00	27,000.00	30,000.00	131,400.00	j
		62000	GEF	71300	National consultant	32,700.00	36,000.00	37,500.00	106,200.00	k

<sup>16</sup> It is important to note that the budget was developed first at activity level, then at output level and only then at outcome level, as it is presented here. In this sense, the budget presented here is perfectly aligned with the budget at the level of outputs and activities.

GEF Outcome/Atlas Activity	Responsible Party/	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Total (USD)	See Budget Note:
	Implementing Agent									
		62000	GEF	72100	Contractual Service - Companies	-	340,000.00	340,000.00	680,000.00	l
		62000	GEF	71600	Travel	56,550.00	39,600.00	38,850.00	135,000.00	m
		62000	GEF	72200	Equipment and furniture	14,000.00	104,000.00	4,000.00	122,000.00	n
		62000	GEF	74200	Audio, visual and print prod cost	-	-	5,000.00	5,000.00	o
		62000	GEF	74500	Miscellaneous	3,651.00	2,500.00		6,151.00	p
		62000	GEF	75700	Workshop	20,000.00	-	4,000.00	24,000.00	q
<b>Sub-Total</b>						<b>241,301.00</b>	<b>589,100.00</b>	<b>499,350.00</b>	<b>1,329,751.00</b>	
<b>Project Management Costs</b>	MAAIF / Mbale DLG	62000	GEF	71400	Contractual Services	25,000.00	25,000.00	25,000.00	75,000.00	r
		62000	GEF	75700	Workshops	720.00	720.00	718.00	2,158.00	s
<b>Total PMC</b>						<b>25,720.00</b>	<b>25,720.00</b>	<b>25,718.00</b>	<b>77,158.00</b>	
<b>Grand Total</b>						<b>480,432.00</b>	<b>614,820.00</b>	<b>525,068.00</b>	<b>1,620,320.00</b>	



### Annex 3: Budget Notes

a	The cost will cover the salary of Project Technical Assistant (Land use regulations)
b	The cost will cover the recruitment of two International Consultants , i.e., Specialist in SLM and land use planning(for 51 days) and Specialist in SLM and local government/capacity building (for 57 days) - who will contribute to -Output 1.1 Community resource maps developed in 6 sub-counties in the 3 districts, Output 1.2 Land use plans developed, in line with the resource maps, in 6 sub-counties, Output 1.3 District local governments supported to implement clauses regarding SLM, SFM and CCM, Output 1.4 A system for effective monitoring and enforcement of the land use plans and related legislation is put in place and Output 1.5 SLM, SFM and CCM mainstreamed into district policy planning
c	The cost will covers the recruitment of four National consultants , i.e., Specialists in Agriculture (for 34 days), Specialist in Climate Change Adaptation (for 34 days), Specialist GHG Emissions in rural areas (for 34 days) and 1 Specialist in SLM and local government/capacity building (for 36 days) who will contribute to -Output 1.1 Community resource maps developed in 6 sub-counties in the 3 districts, Output 1.2 Land use plans developed, in line with the resource maps, in 6 sub-counties, Output 1.3 District local governments supported to implement clauses regarding SLM, SFM and CCM, Output 1.4 A system for effective monitoring and enforcement of the land use plans and related legislation is put in place and Output 1.5 SLM, SFM and CCM mainstreamed into district policy planning
d	The cost will cover the travel of the two International consultants who will be hired internationally and local travel cost for both international and national consultants during field visits to the Mount Elgon area.
e	The cost will cover the purchase of computers, printers, software products, GPS systems for land use management enforcement
f	The cost will cover for disseminating of resource maps, land use plans, existing clauses and guidelines through publications and radio campaigns
g	Miscellaneous costs
h	The cost will cover different workshops and trainings , i.e., i) mapping resources and priority areas, ii) presenting the resource maps and discuss land use plans; iii) presenting land use plans iv) gap analysis; v) implementation of strategies (training)
i	The cost will cover the salaries of 1 full time Project Technical Assistant (SLM and M&E), 1 Admin and Finance Assistant and 1 Driver who will support the project work
j	<p>The cost will cover the recruitment of International consultants, i.e., -</p> <ul style="list-style-type: none"> <li>• Specialist in Farmer Field Schools (FFS) who will work on development of curricula, training of facilitators and implementation of FFS;</li> <li>• Specialist in SLM, SFM and CCM who will work on development of curricula and training of facilitators;</li> <li>• Specialist in public and private sector partnership in the agricultural sector who will work on study on existing partnerships, development and implementation of action plan;</li> <li>• Specialist in SLM, SFM and CCM technologies and approaches who support for the implementation of conservation agriculture, reforestation and tree farming pilots;</li> <li>• Specialist in carbon emission/sequestration monitoring system who will work on participatory development of a carbon emission/sequestration monitoring system , training of key actors in the monitoring system and support implementation of monitoring framework;</li> <li>• Specialist in soil erosion monitoring system who will work on participatory development of a soil erosion monitoring system , training of key actors in the monitoring system and support implementation of monitoring framework ;</li> <li>• Specialist in SLM, SFM and CCM technologies and practices who will work on identification of best practices in the area, integration of best practices in project activities, collection of best practices</li> </ul>

<ul style="list-style-type: none"> <li>- the recruitment of National Consultants, i.e., -</li> <li>- in Farmer Field Schools (FFS) who will work on development of curricula, training of facilitators and implementation of FFS;</li> <li>- in public and private sector partnership in the agricultural sector who will work on study on existing partnerships, development and</li> <li>- tation of action plan;</li> <li>- in SLM, SFM and CCM technologies and approaches who support for the implementation of conservation agriculture, reforestation and</li> <li>- ng pilots;</li> <li>- in carbon emission/sequestration monitoring system who will work on participatory development of a carbon emission/sequestration</li> <li>- g system , training of key actors in the monitoring system and support implementation of monitoring framework;</li> <li>- in soil erosion monitoring system who will work on participatory development of a soil erosion monitoring system , training of key</li> <li>- he monitoring system and support implementation of monitoring framework ;</li> <li>- in SLM, SFM and CCM technologies and practices who will support the identification of best practices in the area, integration of best</li> <li>- in project activities, collection of best practices;</li> </ul>
<ul style="list-style-type: none"> <li>- Framework agreement with a company for the implementation of conservation agriculture, reforestation and tree farming pilots</li> </ul>
<ul style="list-style-type: none"> <li>- the travel of the International consultants (mentioned under budget note j) who will be hired internationally and local travel cost for both</li> <li>- ational consultants(mentioned under budget note j &amp; k) during field visits</li> </ul>
<ul style="list-style-type: none"> <li>- the purchase of: <ul style="list-style-type: none"> <li>- at for FFS and setting up of FFS (e.g. tools to dig trenches; and for communication, such as microphones)</li> <li>- at for the implementation of conservation agriculture, reforestation and tree farming pilots, such as, GPS systems</li> <li>- or the project team</li> <li>- s, printers and any other equipment needed for the project management unit</li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li>- for publications and dissemination of best practices reports through local media</li> </ul>
<ul style="list-style-type: none"> <li>- s <ul style="list-style-type: none"> <li>- different workshops and trainings , i.e.,</li> <li>- of FFS facilitators</li> <li>- o for the participatory elaboration of the action plan</li> <li>- op for the participatory development of a carbon emission/sequestration systems</li> <li>- op for the participatory development of a soil monitoring systems</li> <li>- for key actors in the 2 monitoring systems</li> <li>- o for the dissemination of best practices</li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li>- the salaries of full time Project Manager</li> </ul>
<ul style="list-style-type: none"> <li>- Project Management meeting costs – e.g. rental of meeting rooms for internal meetings, meetings with partners, travel, catering</li> <li>- equipment for meetings etc</li> </ul>

## Annex 4: Provisional Work Plan<sup>17</sup>

Expected Outcome	Expected Output	Activity	Workplan (3 months)											
			3	6	9	12	15	18	21	24	27	30	33	36
1. The landscape planning and management processes in the district of Manafwa, Bulambuli and Mbale are done in an integrated manner to reduce land degradation and increase carbon sequestration	1.1 Community resource map developed in 6 sub-counties in 3 districts	1.1.1: Participatory development of the resource maps at parish level (1 per each of the parishes of the sub-county), taking into account different ecosystems and ecosystem dynamics across parishes, in 6 sub-counties												
		1.1.2: Dissemination of the resources maps, including priority areas, through publications, workshops and local media												
	1.2 Land use plans developed, in line with the resource maps, in 6 highly degraded sub-counties	1.2.1: Participatory development of land use plans at parish level (1 per each of the parishes of the sub-county), taking into account different ecosystems and ecosystem dynamics across parishes, with associated budget in the 6 sub-counties based on the resource maps (in these plans each household will point out what they will do from different options in the plan, so land use planning is related to farm planning)												
		1.2.2: Dissemination of the land use plans through publications, workshops and local media.												
	1.3 District local government supported to implement clauses regarding SLM	1.3.1: Raise awareness on SLM, SFM and CCM technologies and approaches amongst districts authorities and local communities through the organization of one workshop per district and the development of campaigns in local media, including newspapers and radios												
		1.3.2: Carry out a gap analysis regarding the implementation of SLM and SFM clauses in existing national and district legislation related to soil and water conservation measures, land occupiers' rights (including mechanism for the resolution of conflicts over land), rural and urban land use and building codes, and sanctions for non-application of SLM and SFM measures												
		1.3.3: Implementation of strategies to fill existing gaps to implement existing relevant legislation, according to the study developed above, but including, among others, training and equipment												
	1.4 A system for effective monitoring and enforcement of the land use plans and related legislation is put in place	1.4.1: Train district government staff and the police in monitoring and enforcement												
		1.4.2: Participatory development of a realistic monitoring and enforcement framework for the land use plans (developed in activity 1.2.1), national and district legislation (identified in activity 1.3.3), defining roles and responsibilities of key staff involved in supervision, monitoring and enforcement, and stipulating its integration into existing district compliance mechanisms.												
		1.4.3: Diffusion and implementation of the monitoring and enforcement framework												
	1.5 SLM, SFM and CCM mainstreamed into district policy planning	1.5.1: Creation of Local Environmental Committees Committees (1 per district) and organization of committee meetings at least times a year												
		1.5.2: Participatory development of recommendations to mainstream SLM, SFM and CCM into the District Development Plans and develop of District Environment Action Plans												
		1.5.3: Diffusion of the guidelines for the District Development Plans and the District Environment Action Plans												

<sup>17</sup> This work plan is indicative. It must be noted that the recruitment of the team can take some time. In this sense, the timeframe provided here refers to the point where the team is recruited and the project in place. Any delay in the recruitment process will affect the implementation of activities, particularly of outcome 2.

Expected Outcome	Expected Output	Activity	Workplan (3 months)											
			3	6	9	12	15	18	21	24	27	30	33	36
2. Local communities are empowered and applying technologies and approaches to reverse land degradation and reduce GHG emissions.	2.1 Enhanced local capacities for enforcement of sustainable forest and land management and climate change mitigation through the FFS approach	2.1.1: Participatory development of a training curriculum on SLM, SFM and CCM technologies and approaches to be implemented in the Farmers Field Schools (FFS)												
		2.1.2: In close collaboration with the national extension system, training and equipment of 6 FFS facilitators (including 3 women) from the extension services staff in each of the three districts, in SLM, SFM and CCM technologies and approaches												
		2.1.3: Set up 60 FFS (10 per sub-county -20 per district) within the 6 sub-counties of intervention, provide technical advice and training for 1500 farmers (25 per FFS, including 50% women and 25% of people under 25) through the implementation of SLM, SFM and CCM technologies and approaches (such as: climate resilient coffee-banana production, sustainable intensification of animal crop production systems, agroforestry, conservation agriculture, afforestation, water and soil conservation practices, sustainable use of forest resources, etc.) in the framework of the FFS.												
		2.1.4: Organization of farmers to farmers visits between FFS												
	2.2 Existing public-private collaboration is strengthened to improve farmer's access to inputs, technical support and advice, and markets	2.2.1: Participatory elaboration of an action plan to improve and strengthen existing collaboration between national institutions (including research institutions, such as NARO), local governments, the private and social sectors (including academia, such as Makerere University) and individual farmers, in order to improve farmers' access to inputs (such as micro-finance and climate resilient seedlings), technical support and advice, and markets												
		2.2.2: Support to the implementation of the action plan developed in the activity 2.2.1												
	2.3 Pilots demonstrating SLM and SFM are implemented in the 3 districts of intervention	2.3.1: In the 6 selected sub-counties, set up conservation agriculture pilots covering 20,500 ha (including in the FFS) through the adoption of practices such as minimum tillage, soil cover maintenance, non-opening of land for agriculture, soil and nutrition management, water harvesting and use, pest and disease control, etc.												
		2.3.2: Set up pilots to reforest and assist natural regeneration in 1,000 ha (including in FFS), and train local communities in sustainable fuelwood harvesting												
		2.3.3: Set up tree farming pilots (coffee agroforestry, boundary planting, strip planting, intercropping) in 4,000 ha of farm land (including in FFS)												
	2.4 Monitoring frameworks for carbon emission/ sequestration and soil erosion are developed and implemented	2.4.1: Participatory development of a realistic carbon emission/sequestration monitoring system for the region, including description of responsibilities and roles of key actors considering the one developed for REDD												
		2.4.2: Participatory development of a realistic soil erosion monitoring and assessment system at FFS level, including description of responsibilities and roles of key actors												
		2.4.3: Implementation of the two monitoring frameworks by the key selected actors												
	2.5 Best practices developed and disseminated	2.5.1: Integration of best practices in the area into the project activities implemented in the three districts												
		2.5.2: Development of a strategic plan for scaling up the best practices and lessons learned of the project, publication and dissemination, including a workshop and local media in the three districts												

## Annex 5: Terms of Reference of Key PMU Staff

### **National Project Manager (PM)**

Reports to: Project Board

Timing/Duration: Full-time position for the three years of the project.

Objective/scope:

This is a high level policy/leadership position to oversee the project implementation.

1. The initial objective is to establish the project team and oversee the recruitment of its staff and its operationalization.
2. The next objective is to ensure regular work planning, adaptive management and monitoring of project progress towards project objectives and goals, and management of all PMU staff.
3. The third objective is to ensure the PMU interacts functionally with all partners, national and international, at high levels. This includes developing joint objectives and activities with international partners and other projects.

He/she will be a locally recruited national selected based on an open competitive process. He/She will be responsible for the overall management of the project, including the mobilization of all project inputs and the supervision of project staff, consultants and sub-contractors. He/she will report all substantive and administrative issues to the MAAIF. The PM will report to the Project Board (PB) on a periodic basis and will be responsible for meeting the project's government obligations under the national implementing modality (NIM). He/She will act as a liaison between the Government, UNDP and other UN Agencies, NGOs and project partners, and will maintain close collaboration between the project and other donor agencies.

Tasks (these include, but are not limited to):

*PMU Management and Planning*

1. Assumes operational management of the project in consistency with the project document and UNDP policies and procedures for nationally executed projects;
2. Oversees preparation and updates of the project work plan as required; and formally submits updates to UNDP and reports on work plan progress to the PB and UNDP as requested but at least quarterly;
3. Oversees the mobilization of project inputs under the responsibility of the Executing Agency;
4. Oversees the recruitment of all consultants and sub-contractors;
5. Ensures that appropriate accounting records are kept, and financial procedures for NIM are followed, and facilitates and cooperates with audit processes at all times as required;
6. Ensures all reports are prepared in a timely manner;
7. Assists in the finalization of ToRs and the identification and selection of national consultants to undertake the rapid assessment;
8. Assists in the planning and design of all project activities, through the quarterly planning process and the preparations of ToR and Activity Descriptions;
9. Supervises the project staff and consultants assigned to project;
10. Throughout the project, when necessary, provides advice and guidance to the national consultants, to the international experts and to project partners; and
11. Assists in the dissemination of project findings, notably to relevant governmental departments and internationally.

*Partnerships*

1. Oversees the communication of the project;
2. Oversees development and implementation of the M&E monitoring system;
3. Builds working relationships with national and international partners in this sector; and

4. Ensures the coordination of project activities work with related work of partners.

#### Qualifications

The PM will have nationally renowned expertise in at least one of the following fields: Agricultural or rural development; Sustainable Land and Forest Management and Climate change mitigation. In addition, the following qualifications will be key to the project success:

1. Appropriate University Degree in natural resources management, agriculture and/or SLM and SFM;
2. At least ten years' experience in the Ugandan land and natural resources management sector;
3. At least five years' experience working with local communities in Uganda;
4. Demonstrated previous experience working with extension approaches;
5. Demonstrated expertise in SLM, SFM and conservation agriculture;
6. Substantial experience and familiarity with the ministries and agencies in Uganda;
7. Verified excellent project management, team leadership, and facilitation; and
8. Ability to coordinate a large, multidisciplinary team of experts and consultants.

#### **Technical Assistant specialized in Land Use Regulation**

This will be a nationally recruited expert that will be involved full-time for the first year of implementation of the project. He/She will be responsible for providing overall technical backstopping to the project regarding land use regulation. He/She will provide technical support to the PM, staff and other government counterparts. The technical assistant in land use regulation will coordinate the provision of required technical inputs, the revision and preparation of ToR as well as the review of the consultants and other sub-contractors' outputs regarding land use regulation. The technical assistant in Land Use Regulation will report directly to the PM.

#### **Technical Assistant specialized in Sustainable Land Management and Monitoring & Evaluation**

This will be a nationally recruited expert that will be hired full-time throughout the three years of implementation of the project. He/She will be responsible for providing overall technical backstopping to the project regarding SLM-related issues. He/She will provide technical support to the PM, staff and other government counterparts. The technical assistant will coordinate the provision of required technical inputs, the revision and preparation of ToR as well as the review of the consultants and other sub-contractors' outputs regarding SLM. This technical assistant in SLM will report directly to the PM.

He/she will also provide support for the M&E of the project, and will in particular:

1. Provide technical expertise and guidance to all project components, and support the technical expert in the coordination of the implementation of planned activities under the project as stipulated in the project document/work plan;
2. Be specifically responsible for the technical input into the development of a M&E framework and its implementation and follow-up with all relevant stakeholders at national, county and demonstration site level, in line with the project results framework of the project document and in line with the GEF M&E guidance and the GEF tracking tool for Land Degradation and Climate Change Mitigation;
3. Ensure that technical contracts meet the highest standards; provide input into development of ToR for sub-contracts, assist with selection process, recommend best candidates and approaches, provide technical peer function to sub-contractors; provide training and backstopping were necessary;
4. Provide technical inputs into the work of the PB, and other relevant institutions implicated in the project management and implementation arrangements;
5. Undertake regular reporting in line with project management guidelines; and
6. Be responsible for the communication work under all project components.

### **Project Administrative and Finance Assistant**

This will be a nationally recruited expert. He/she will:

7. Set up and maintain project files;
8. Collect project related information data;
9. Update plans;
10. Administer PB and other relevant meetings;
11. Administer project revision control;
12. Establish document control procedures;
13. Compile, copy and distribute all project reports;
14. Responsible for the financial management tasks under the responsibility of the PM;
15. Provide support in the use of Atlas for monitoring and reporting;
16. Review technical reports;
17. Monitor technical activities carried out by responsible parties.

**Driver**: one driver will also be recruited for the entire duration of the project.

In addition to the PMU staff, **short-term national and international consultants** will support the PMU for the implementation of the project activities. The detailed profiles of these consultants will be defined during project implementation, but will include expertise in: SLM, land use planning, SFM, CCM, local government/capacity building, FFS, public and private sector partnership, GHG emission/sequestration, soil erosion, agriculture, and climate change adaptation.

## Annex 6: Environmental and Social Review Criteria

### ***Annex A.1: Environmental and Social Screening Checklist***

Do all outputs and activities described in the Project Document fall within the following categories? ☐

- ☐ ☐ Procurement (in which case UNDP's Procurement Ethics and Environmental Procurement Guide need to be complied with)
- ☐ ☐ Report preparation
- ☐ ☐ Training
- ☐ ☐ Event/workshop/meeting/conference (refer to Green Meeting Guide)
- ☐ ☐ Communication and dissemination of results

Select answer below and follow instructions: ☐

- ☐ ☐ NO ☐ Continue to Question 3 ☐
- ☐ ☐ YES ☐ No further environmental and social review required. Complete Annex A.2, selecting Category 1, and submit the completed template (Annex A) to the PAC.

### ***Annex A.2: Environmental and Social Screening Summary***

**Name of Proposed Project:** Integrated Landscape Management for Improved Livelihoods and Ecosystem Resilience in Mount Elgon

#### ***A. Environmental and Social Screening Outcome***

Select from the following: ☐

- ☐ ☐ Category 1. No further action is needed
- ☐ ☐ Category 2. Further review and management is needed. There are possible environmental and social benefits, impacts, and/or risks associated with the project (or specific project component), but these are predominantly indirect or very long-term and so extremely difficult or impossible to directly identify and assess.
- ☐ ☐ Category 3. Further review and management is needed, and it is possible to identify these with a reasonable degree of certainty. If Category 3, select one or more of the following sub-categories: ☐
- ☐ ☐ Category 3a: Impacts and risks are limited in scale and can be identified with a reasonable degree of certainty and can often be handled through application of standard best practice, but require some minimal or targeted further review and assessment to identify and evaluate whether there is a need for a full environmental and social assessment (in which case the project would move to Category 3b). ☐
- ☐ ☐ Category 3b: Impacts and risks may well be significant, and so full environmental and social assessment is required. In these cases, a scoping exercise will need to be conducted to identify the level and approach of assessment that is most appropriate.

***B. Environmental and Social Issues:*** Lands use management; conflict over land ownership.

***C. Next Steps:*** Further review and assessment to identify and evaluate whether there is a need for a full environmental and social assessment.

#### ***D. Sign Off***

Project Manager Date

PAC Date

Programme Manager Date



## Annex 7. Sustainable Land Management Clauses

### Selection of SLM clauses amongst relevant Ugandan legislation

#### Legislation Clauses related to Sustainable Land Management

##### Use and management of land resources:

1. Develop and enforce adequate land use standards;
2. Provide capacity through training to enable land management agents to function efficiently;
3. Deploy professional land auditors at local government and community levels to monitor and enforce the implementation of land use standards;
4. Set up and operationalize an effective forum for inter-sectoral consultation and coordination;
5. Strengthen and reform institutions for effective and efficient land use and land management; and
6. Review policies related to all land-use sub-sectors to ensure complementarities with the implementation of the national land policy.

**Integration of land with other productive sectors:** ensure the development in productive sectors does not lead to the deterioration of the quality of land resources.

##### Land quality and productivity assurance:

7. Ensure sound land use practices and appropriate conservation measures for land quality and land-based resources;
8. Initiate programs for rehabilitation of degraded lands through design and implementation of prevention and management measures; and
9. Promote individual and community participation in environmental action by providing socio-economic and other incentives to induce sustainable land use and management practices.

National  
Land Policy

##### Natural resources and environmental management:

10. Develop and promote a scheme of incentives for participation of communities and other stakeholders in the devolved management of natural resources;
11. Mobilize communities and assist them to develop and implement action strategies for effective enforcement of established environmental and natural resources management standards; and
12. Provide incentives and rewards to encourage restoration, maintenance and protection of natural resources on privately-owned land.

##### Agriculture:

13. Promote and ensure viable zonal agricultural production to enhance production, productivity, marketing and agro-processing;
14. Promote farming practices that reduce land degradation and enhance soil quality and productivity;
15. Encourage voluntary consolidation of agricultural land holdings to sizes suitable for optimum productive and sustainable use;
16. Plan, use and regulate activities and other practices that degrade the quality of agricultural land; and
17. Promote sustainable use and management of water, soil and land resources.

##### Climate change:

18. Mitigate the destruction of forests, water bodies and other phenomena which act as sinks for GHG;
19. Strengthen the adaptive capacity of climate change and promote Climate Change Adaptation (CCA) mechanisms

#### 237. Land ownership.

(1) Land in Uganda belongs to the citizens of Uganda and shall vest in them in accordance with the land tenure systems provided for in this Constitution.

(2) Notwithstanding clause (1) of this article—

1. the Government or a local government may, subject to article 26 of this Constitution, acquire land in the public interest; and the conditions governing such acquisition shall be as prescribed by Parliament;

Constitution  
of Uganda

## **Legislation Clauses related to Sustainable Land Management**

2. the Government or a local government as determined by Parliament by law shall hold in trust for the people and protect natural lakes, rivers, wetlands, forest reserves, game reserves, national parks and any land to be reserved for ecological and touristic purposes for the common good of all citizens;
  3. Non-citizens may acquire leases in land in accordance with the laws prescribed by Parliament, and the laws so prescribed shall define a noncitizen for the purposes of this paragraph.
- (3) Land in Uganda shall be owned in accordance with the following land tenure systems—
1. customary;
  2. freehold;
  3. mailo; and
  4. Leasehold.
- (4) On the coming into force of this Constitution—
1. all Uganda citizens owning land under customary tenure may acquire certificates of ownership in a manner prescribed by Parliament; and
  2. land under customary tenure may be converted to freehold land ownership by registration.
- (5) Any lease which was granted to a Uganda citizen out of public land may be converted into freehold in accordance with a law which shall be made by Parliament.
- (6) For the purposes of clause (5) of this article, “public land” includes statutory leases to urban authorities.
- (7) Parliament shall make laws to enable urban authorities to enforce and to implement planning and development.
- (8) Upon the coming into force of this Constitution and until Parliament enacts an appropriate law under clause (9) of this article, the lawful or bona fide occupants of mailo land, freehold or leasehold land shall enjoy security of occupancy on the land.
- (9) Within two years after the first sitting of Parliament elected under this Constitution, Parliament shall enact a law—
1. regulating the relationship between the lawful or bona fide occupants of land referred to in clause (8) of this article and the registered owners of that land;
  2. providing for the acquisition of registrable interest in the land by the occupant.

### **242. Land use.**

Government may, under laws made by Parliament and policies made from time to time, regulate the use of land.

### **245. Protection and preservation of the environment.**

Parliament shall, by law, provide for measures intended—

1. to protect and preserve the environment from abuse, pollution and degradation;
2. to manage the environment for sustainable development; and
3. to promote environmental awareness

### **2. Principles of environment management.**

(1) The authority shall ensure that the principles of environment management set out in subsection (2) are observed.

(2) The principles of environment management referred to in subsection (1) are—

1. to assure all people living in the country the fundamental right to an environment adequate for their health and well-being;
2. to encourage the maximum participation by the people of Uganda in the development of policies, plans and processes for the management of the environment;
3. to use and conserve the environment and natural resources of Uganda equitably and for the benefit of both present and future generations, taking into account the rate of population growth and the productivity of the available resources;
4. to conserve the cultural heritage and use the environment and natural resources of Uganda for the benefit of both present and future generations;
5. to maintain stable functioning relations between the living and nonliving parts of the environment through preserving biological diversity and respecting the principle of optimum sustainable yield in the use of natural resources;
6. to reclaim lost ecosystems where possible and reverse the degradation of natural resources;
7. to establish adequate environmental protection standards and to monitor changes in environmental quality;
8. to publish relevant data on environmental quality and resource use;

## **Legislation Clauses related to Sustainable Land Management**

9. to require prior environmental assessments of proposed projects which may significantly affect the environment or use of natural resources;
10. to ensure that environmental awareness is treated as an integral part of education at all levels;
11. to ensure that the true and total costs of environmental pollution are borne by the polluter;
12. to promote international cooperation between Uganda and other states in the field of the environment.

### **3. Right to a decent environment.**

(1) Every person has a right to a healthy environment.

(2) Every person has a duty to maintain and enhance the environment, including the duty to inform the authority or the local environment committee of all activities and phenomena that may affect the environment significantly.

(3) In furtherance of the right to a healthy environment and enforcement of the duty to maintain and enhance the environment, the authority or the local environment committee so informed under subsection (2) is entitled to bring an action against any other person whose activities or omissions have or are likely to have a significant impact on the environment to—

1. prevent, stop or discontinue any act or omission deleterious to the environment;
2. compel any public officer to take measures to prevent or to discontinue any act or omission deleterious to the environment;
3. require that any ongoing activity be subjected to an environmental audit in accordance with section 22;
4. require that any ongoing activity be subjected to environmental monitoring in accordance with section 23; and
5. request a court order for the taking of other measures that would ensure that the environment does not suffer any significant damage.

(4) The authority or the local environment committee proceeding under subsection (3) is entitled to bring an action notwithstanding that the person cannot show that the defendant's act or omission has caused or is likely to cause any personal loss or injury.

### **18. Environmental planning at a district level.**

(1) Every district environment committee shall, in consultation with the authority, prepare a district environment action plan to be revised every three years or such other lesser period as may be considered necessary by the authority.

(2) The district environment action plan shall—

1. be in conformity with the national environment action plan;
2. be binding on all the district agencies, local committees and persons within the district;
3. be in such a form and contain such matters as may be prescribed;
4. be subject to approval by the district council; and
5. be disseminated to the public.

### **30. Soil quality standards.**

(1) The authority shall, in consultation with the lead agency, establish—

1. criteria and procedures for the measurement and determination of soil quality;
2. minimum standards for the management of the quality of the soil. (2) For the purposes of subsection (1), the authority shall issue guidelines for—
3. the disposal of any substance in the soil;
4. the identification of the various soils;
5. the optimum manner for the utilization of any soil;
6. the practices that will conserve the soil; and
7. the prohibition of practices that will degrade the soil.

### **38. Identification of hilly and mountainous areas.**

(1) Each district environment committee shall, with the assistance of the local environment committee within the district, identify the hilly and mountainous areas in each district which are at risk from environmental degradation.

(2) A hilly or mountainous area is at risk from environmental degradation if—

1. it is prone to soil erosion;
2. landslides have occurred in such an area;
3. vegetation cover has been removed or is likely to be removed from the area at a rate faster than it is being replaced; or

## **Legislation Clauses related to Sustainable Land Management**

4. any other land use activity in such an area is likely to lead to environmental degradation.

(3) Each district environment committee shall notify the authority of the hilly and mountainous areas it has identified as being at risk from environmental degradation.

(4) The authority shall maintain a register of hilly and mountainous areas at risk from environmental degradation.

### **39. Reforestation and afforestation of hilltops, hillsides and mountainous areas.**

(1) Each district environment committee shall, in its district environment action plan, under section 18, specify which of the areas identified in accordance with section 38 shall be targeted for afforestation or reforestation.

(2) Each local environment committee shall take measures, through encouraging voluntary self-help in the community, to plant trees and other vegetation in any areas specified under subsection (1) which are within the limits of its jurisdiction and not subject to any personal interest in land.

(3) Where the areas specified under subsection (1) are subject to leasehold or any other interest in land, including customary tenure, the holder of that interest shall be responsible for taking measures to plant trees and other vegetation in those areas.

(4) Where a holder of an interest in land fails to comply with subsection (3), the local environment committee may mobilize the community to ensure compliance.

### **40. Other measures for the management of hillsides, hilltops and mountainous areas.**

(1) The authority shall, in consultation with the lead agency, issue guidelines and prescribe measures for the sustainable use of hillsides, hilltops and mountainous areas.

(2) The guidelines issued and measures prescribed by the authority under subsection (1) shall include those relating to—

1. appropriate farming methods;
2. carrying capacity of the areas described in subsection (1) in
3. relation to animal husbandry;
4. measures to curb soil erosion;
5. disaster preparedness in areas prone to landslides;
6. the protection of areas referred to in subsection (1) from human settlements;
7. the protection of water catchment areas; and
8. any other measures the authority considers necessary.

(3) The local environment committees shall be responsible for ensuring that the guidelines issued and measures prescribed under subsection (2) are implemented.

(4) A person who contravenes any measure prescribed by the authority under this section or who fails to comply with a lawful direction issued by a local environmental committee under this section commits an offence.

### **19. Management of community forest**

(1) Any revenue derived from the management of a community forest by the responsible body shall belong to and form part of the accountable funds of the responsible body and shall be devoted to the sustainable management of the community forest and the welfare of the local community.

(2) A local government may make bye-laws in accordance with the Local Governments Act Cap 243, applicable to any community forest in respect of any matter that the local government may deem necessary in accordance with this Act.

### **20. Transfer of management of community forest to local government**

(1) Where, in the opinion of the Minister, it is expedient for ensuring the proper protection, control and management of a community forest, the Minister may, by statutory order, transfer the responsibility for the protection, control and management of the forest to a local government, and immediately, the local government shall exercise all the powers of the responsible body over the community forest.

(2) The Minister may, on the application of the responsible body, revoke an order made under subsection (1), if -

1. he or she is satisfied that the community forest has been adequately rehabilitated; and
2. the responsible body has given an undertaking, in writing, to the satisfaction of the Minister, to manage the forest in accordance with generally accepted principles of forest management.

### **21. Private natural forests. Cap 227**

(1) A person may register with the District Land Board, a natural forest situated on land owned in accordance with the Land Act Cap 227, or a forest or land in respect of which a license is granted in accordance with this Act.

## **Legislation Clauses related to Sustainable Land Management**

(2) All forest produce in a natural forest registered under subsection (1) belongs to the owner of the forest and may be used in any manner that the owner may determine, except that forest produce shall be harvested in accordance with the management plan and regulations made under this Act.

(3) A District Forest Officer may issue directions to the owner of a plantation forest whether registered under subsection (1) or not, requiring the owner to manage the forest in a professional and sustainable manner.

### **22. Private forest plantations. Cap 227**

(1) A person may register with the District Land Board, a plantation forest situated on land owned in accordance with the Land Act Cap 227, or a forest or land in respect of which a license is granted in accordance with this Act.

(2) All forest produce in a plantation forest registered under subsection (1) belongs to the owner of the plantation and may be used in any manner that the owner may determine, except that forest produce shall be harvested in accordance with the management plan and regulations made under this Act.

(3) A District Forest Officer may issue directions to the owner of a plantation forest registered under subsection (1), requiring the owner to manage the forest in a professional and sustainable manner.

### **26. Assistance in forestry management.**

(1) The Minister, the Authority or a local government may provide technical services to local communities, organizations, cultural or traditional institutions and other persons involved in the development of community forests and private forests and forestry activities in general, and may charge fees for those services.

(2) Assistance under subsection (1) may include -

1. providing information, training and advice on the management of forests;
2. the establishment and maintenance of nurseries and other facilities necessary for seeds and plants;
3. material or financial assistance;
4. the collection and dissemination of information, the provision of technical guidance and promotion of public awareness about forestry and the conservation and utilization of forestry resources;
5. the promotion of seed production, agro-forestry and tree growing, and in particular, the growing of fruit species;
6. assisting local councils in the conservation and management of local forest reserves; (g) promoting the conservation of forest biological diversity and the ecosystem; and
7. co-operating and liaising with other lead agencies in the management of forests and forest produce.

### **29. Sovereignty over forest biological resources**

(1) All forest biological resources and their derivatives, whether naturally occurring or naturalized within a forest, shall be conserved and managed for the benefit of the people of Uganda in accordance with this Act and any other law relating to biological resources.

(2) The transfer of any forest biological resources and their derivatives from the territorial jurisdiction of Uganda shall not diminish or extinguish the sovereignty of Uganda over those resources.

(3) The Minister is the lead agency for regulating access to forest genetic resources and shall, for that purpose, collaborate with other lead agencies in accordance with this Act, other laws, conventions and protocols relating to the management or control of biological resources, including cross-border bio-diversity.

### **32. Prohibited activities**

(1) No person shall, except, for forestry purposes and in accordance with a management plan, or in accordance with a license granted under this Act, in a forest reserve or community forest-

1. cut, take, work or remove forest produce;
2. clear, use or occupy any land for -
  1. grazing;
  2. camping;
  3. livestock farming;
4. planting or cultivation of crops;
5. erecting of a building or enclosure; or
6. recreational, commercial, residential, industrial or hunting purposes;
7. collect biotic and abiotic specimens; or
8. construct or re-open a road, track, bridge, airstrip, or landing site.

(2) A person who contravenes this section commits an offence and is liable, on conviction, to a fine not exceeding thirty currency points or to imprisonment for a term not exceeding three years, or both.

### **33. Domestic use of Forest produce**

## **Legislation Clauses related to Sustainable Land Management**

(1) Subject to the management plan, a member of a local community may, in a forest reserve or community forest, cut and take free of any fee or charge, for personal domestic use in reasonable quantities, any dry wood or bamboo.

(2) For the avoidance of doubt, no person may, in a strict nature reserve or a site of special scientific interest cut or take dry wood or bamboo or other forest produce.

### **34. Prevention of damages**

(1) A person cutting, working, harvesting, removing or taking forest produce from a forest reserve shall take all care and necessary precautions to prevent damage to other forest produce or to the environment.

(2) Any person who contravenes subsection (1) commits an offence and is liable, on conviction, to a fine not exceeding ten currency points or to imprisonment for a term not exceeding two years, or both

### **41. Licenses.**

(1) A responsible body may, subject to the management plan, grant a license to an interested person for -

1. the cutting, taking, working or removing of forest produce from a forest reserve or community forest; or
2. the sustainable utilization and management of the forest reserve or community forest.

(2) A responsible body shall in accordance with regulations, prescribe the terms, conditions, rights and fees for a license granted under this section.

(3) Nothing in this section shall be deemed to transfer to or vest in the person granted a license, any privilege, right, title, interest or easement over the forest reserve or community forest, other than that stated in the terms of the license.

### **43. Unlicensed activities**

(1) No person shall, except in accordance with section 33 or where he or she has been granted a license for the purpose, grow, cut, take, work or remove any forest produce from a forest reserve or community forest.

(2) A person who contravenes this section commits an offence and is liable, on conviction, to a fine not exceeding thirty currency points or to imprisonment for a term not exceeding three years, or both.

### **29. Meaning of “lawful occupant” and “bona fide occupant”.**

(1) “Lawful occupant” means—

1. a person occupying land by virtue of the repealed— (i) Busuulu and Envujjo Law of 1928; (ii) Toro Landlord and Tenant Law of 1937; (iii) Ankole Landlord and Tenant Law of 1937;
2. a person who entered the land with the consent of the registered owner, and includes a purchaser; or
3. a person who had occupied land as a customary tenant but whose tenancy was not disclosed or compensated for by the registered owner at the time of acquiring the leasehold certificate of title.

(2) “Bona fide occupant” means a person who before the coming into force of the Constitution—

1. had occupied and utilised or developed any land unchallenged by the registered owner or agent of the registered owner for twelve years or more; or
2. had been settled on land by the Government or an agent of the Government, which may include a local authority.

(3) In the case of subsection (2)(b)—

1. the Government shall compensate the registered owner whose land has been occupied by persons resettled by the Government or an agent of the Government under the resettlement scheme;
2. persons resettled on registered land may be enabled to acquire registerable interest in the land on which they are settled; and
3. the Government shall pay compensation to the registered owner within five years after the coming into force of this Act.

(4) For the avoidance of doubt, a person on land on the basis of a licence from the registered owner shall not be taken to be a lawful or bona fide occupant under this section.

(5) Any person who has purchased or otherwise acquired the interest of the person qualified to be a bona fide occupant under this section shall be taken to be a bona fide occupant for the purposes of this Act

### **32. Tenant by occupancy.**

(1) A tenant by occupancy on registered land shall enjoy security of occupancy on the land.

## **Legislation Clauses related to Sustainable Land Management**

(2) The tenant by occupancy referred to in subsection (1) shall be deemed to be a tenant of the registered owner to be known as a tenant by occupancy, subject to such terms and conditions as are set out in this Act or as may be prescribed.

(3) The tenant by occupancy shall pay to the registered owner an annual nominal ground rent as shall be determined by the board.

(4) The tenant and the registered owner if aggrieved by the decision of the board may appeal against the decision to the land tribunal; and the tribunal may confirm, reverse, vary or modify the decision or make such other orders as it is empowered to make by this Act.

(5) The approved rent determined under subsection (3) shall not exceed one thousand shillings per year irrespective of the area or location of the land.

(6) If a tenant by occupancy fails to pay the approved ground rent for a period exceeding two years, the registered owner shall give a notice in the prescribed form to the tenant requiring him or her to show cause why the tenancy should not be terminated for non-payment of rent and shall send a copy of the notice to the committee.

(7) If the ground rent is not paid within one year from the date of service of notice or the tenant by occupancy has not taken any steps within six months after the date of service of the notice to challenge the notice by referring to the land tribunal, the registered owner may apply to the land tribunal for an order terminating the tenancy for non-payment of the rent.

(8) The maximum annual ground rent referred to in subsection (5) may be revised every five years by regulations made under section 93.

(9) For the avoidance of doubt, the security of tenure of a lawful or bona fide occupant shall not be prejudiced by reason of the fact that he or she does not possess a certificate of occupancy.

### **43. Acquisition of land by the Government.**

The Government or a local government may acquire land in accordance with articles 26 and 237(2) of the Constitution.

### **44. Utilization of land according to various laws.**

A person who owns or occupies land shall manage and utilize the land in accordance with the Forests Act, the Mining Act, the National Environment Act, the Water Act, the Uganda Wildlife Act and any other law.

### **45. Control of environmentally sensitive areas.**

(1) The Government or a local government shall hold in trust for the people and protect natural lakes, rivers, ground water, natural ponds, natural streams, wetlands, forest reserves, national parks and any other land reserved for ecological and touristic purposes for the common good of the citizens of Uganda.

(2) A local government may, upon request to the Government, be allowed to hold in trust for the people and the common good of the citizens of Uganda any of the resources referred to in subsection (1).

(3) Any resource that is not covered under subsection (1) which is identified after the coming into force of this Act may, upon request to the Government and with the approval of Parliament, be held in trust for the people and for the common good of the citizens of Uganda by a local government.

(4) The Government or a local government shall not lease out or otherwise alienate any natural resource referred to in this section.

(5) The Government or a local government may grant concessions or licenses or permits in respect of a natural resource referred to in this section subject to any law.

(6) Parliament or any other authority empowered by Parliament may from time to time review any land held in trust by the Government or a local government whenever the community in the area or district where the reserved land is situated so demands.

## **4. Principles.**

(1) Every land owner or occupier shall while utilizing land in a mountainous and hilly area -

**National  
Environment  
(Mountainous  
and Hilly  
Areas  
Management)  
Regulations  
(S.I No 153-6)**

1. observe the carrying capacity of the land;
2. carry out soil conservation measures;
3. utilize underground and surface water resources;
4. carry out measures for the protection of water catchment areas;
5. use the best available technologies to minimize significant risks to ecological and landscape aspects; and
6. maintain such vegetation cover as may be determined by an agricultural extension officer or a local environment committee.

(2) A district environment committee may with respect to hilly and mountainous areas in its jurisdiction -

1. regulate land use through zoning;

## **Legislation Clauses related to Sustainable Land Management**

2. restrict and control the activities which are inconsistent with good land husbandry practices; and
3. make guidelines for the management of areas prone to landslides, floods, drought, avalanches, falling rocks, fires and damage by wind.

### **5. Sub-committees on soil conservation.**

(1) A district environment committee may establish a sub-committee on soil conservation which shall consist of -

1. the Resident District Commissioner as Chairperson;
2. the District Agricultural Officer;
3. District Forest officer;
4. District Environment Officer;
5. A member of the local environment committee; and
6. Two other members appointed by the district environment committee.

(2) The district environment committee shall determine the rules of procedure for the subcommittee on soil conservation.

(3) The sub-committee shall advise the district environment committee on the best practicable ways of conserving soil in mountainous and hilly area.

(4) The advice of the sub-committee shall be made in writing and shall relate to a specific area or a specific land owner or occupier.

(5) The district environment committee after considering the recommendations made under sub regulation (3) may in its discretion serve upon the owner or occupier of the land a conservation order which may—

7. require the person upon whom such conservation order is served, to adopt, undertake and complete such measures and works as may be specified in the order for the prevention of erosion of the soil;
8. prohibit the person upon whom such conservation order is served from doing any act or thing specified in the order which in the opinion of the district environment committee, has caused, is causing or is likely to cause erosion of the soil;
9. specify –
  1. the date before which any measures or works shall commence to be adopted or undertaken;
  2. a date or dates before which any specified stages of any measures or works shall be completed;
  3. a date before which such measures or works shall be completed;
10. prescribe such measures or works to be adopted, undertaken and completed or prohibit such act or thing only as having regard to the nature and location of the land, its value and the purposes for which it is used or is capable of being used.

(6) A copy of a conservation order made under the provisions of this regulation shall be served upon all persons having an estate or interest in the land affected by such conservation order which estate or interest has been registered under the provisions of the Registration of Titles Act.

(7) Any person to whom a conservation order has been directed who fails to comply with any of the requirements of such conservation order commits an offence.

### **8. Restrictions on the use of mountainous and hilly areas.**

(1) A person who desires to -

1. graze livestock;
2. establish a camping or other recreational facility for tourist purposes;
3. plant or cultivate crops; or
4. carry out any development activity requiring an environmental impact assessment, in a mountainous and hilly area where the slope (gradient) exceeds 15% shall make an application to the local environment committee of the lower local governments in "Form A" set out in the Second Schedule to these Regulations.

(2) The local environment committee may after considering the application submitted under sub regulation (1) and where it deems it necessary after affording the applicant an opportunity to be heard grant a permit in "Form B" set out in the Second Schedule to these Regulations.

(3) Where the local environment committee deems it necessary, it may request the opinion of a local agricultural extension officer or persons who may be affected by an activity, the subject of an application under sub-regulation (1), before granting a permit under sub-regulation (2).



## **Legislation Clauses related to Sustainable Land Management**

(4) A person permitted under sub-regulation (2) to carry out an activity in a mountainous and hilly area shall take such precautions as may be directed by the local environment committee or environment officer including the measure specified in the Third Schedule to prevent environmental degradation.

(5) A person who carries out any activity regulated under sub-regulation (1) contrary to the provisions of these Regulations commits an offence.

### **9. Role of local councils.**

(1) Any local council within whose jurisdiction an activity likely to degrade the environment of a mountainous and hilly area is taking place, shall in writing inform the local agricultural extension officer.

(2) A local council shall identify hilly and mountainous areas where the council itself may collectively allow or carry out reforestation or reforestation activities including tree planting.

### **10. Duty of land owners. Occupiers and users.**

(1) Without prejudice to regulation 3, every land owner or occupier whose land is situated in a mountainous and hilly area shall take measures -

1. to reduce water run off through the grassing of medium and steep slopes;
2. to mulch and bund gardens on medium and steep slopes;
3. to practice agroforestry;
4. to prevent the burning of grass in areas of intensive agriculture or on steep slopes.

### **13. Afforestation and reforestation.**

(1) Pursuant to regulation 10, where a hilly and mountainous area is risk from environmental degradation, a local environment committee may issue an order in writing to a person or persons holding an interest in land in that area to take measures for planting trees and other vegetation to protect the area.

(2) The order issued under sub-regulation (1) shall specify species of trees which shall be planted at the time within which the directions contained therein are to be complied with.

(3) A tree planted in pursuance of an order issued under this regulation shall be the property of the person planting it.

(4) Every person who has planted trees pursuant to an order issued under these Regulations shall take all such precautions as may be necessary to prevent the destruction of or injury to such trees.

(5) A person who contravenes any provision of an order made under this regulation commits an offence and is liable on conviction to imprisonment for a term not exceeding eighteen months or to a fine not less than one hundred and eighty thousand shillings and not more than eighteen million shillings or both as provided for under section 98 of the Act.

(6) Where a person on whom an order under this regulation has been served, fails, neglects or refuses to take the action required by the order, the District Environment Officer may enter upon the land subject to the order and take all the necessary action in respect of the activity to which that order relates and to enforce that order he or she as may deem fit.

### **14. Grazing of livestock.**

(1) A District Council shall make bye-laws with respect to identified hilly and mountainous areas to prohibit or restrict grazing in such areas.

(2) The district environment committee may issue an order prescribing the maximum number of livestock that may be grazed or permitted to be grazed on any particular area of land.

(3) An order issued under sub-regulation (2) shall be affixed in a conspicuous place and shall be published in a newspaper having wide circulation in the area affected by the order.

(4) A person shall not cause or permit any livestock belonging to him or her or under his or her control to graze on any land in respect of which there is in force an order made by the district environment committee prohibiting grazing.

(5) A person who causes or permits any livestock belonging to him or her or under his or her control to graze on any land in contravention of sub-regulation (4) commits an offence.

### **16. Rules for soil conservation.**

(1) A land owner or occupier on gentle slopes in a hilly or mountainous area shall -

1. not cultivate any garden exceeding one hundred meters in width;
2. leave an uncultivated strip of land of not less than two meters width between all cultivated plots which shall be planted with grass approved by the local environment committee;
3. follow contour lines marked by the local agricultural extension officer and the local environment committee in planting crops;
4. grass with low growing grasses all house compounds except winnowing areas and areas for drying foodstuffs;
5. not demarcate fields or plots by furrows or gullies; and

## **Legislation Clauses related to Sustainable Land Management**

6. lay parallel to, halfway between the existing bunds, trash lines consisting of dead vegetation where the land is planted with permanent crops.
- (2) A land owner or occupier on medium slopes in a hilly or mountainous area shall -
  1. not cultivate any garden exceeding seventy five meters in width;
  2. leave an uncultivated strip of land of not less than three meters width between all cultivated plots which shall be planted with grass approved by the local environment committee;
  2. follow contour lines marked by the local agricultural extension officer and the local environment committee in planting crops;
  3. grass with low growing grasses all house compounds except winnowing areas and areas for drying foodstuffs;
  4. not demarcate fields or plots by furrows or gullies; and
  5. lay parallel to and halfway between the existing bunds, trash lines consisting of dead vegetation where the land is planted with permanent crops.
- (4) Without prejudice to sub-regulations (1), (2) and (3), a land owner or occupier shall comply with the provisions set out in the Forth Schedule.
- (5) A land owner or occupier shall protect all paths, cattle tracks, ditches and access roads against soil erosion by -
  1. making run-off channels and soak away pits or stakes;
  2. closing them when they start to erode or cause erosion; and
  3. creating alternative routes.
- (6) The agricultural extension officer or local environment committee may require in writing any person or his or her employees or servants to take necessary measures to prevent soil erosion.
- (7) Any person who fails to comply with a notice under sub-regulation (6) within three months of the date of such a notice commits an offence.

### **21. General offences in wildlife conservation areas.**

Unless provided for by this Act, any person who in any wildlife conservation area unlawfully—

1. hunts, takes, kills, injures or disturbs any wild plant or animal or any domestic animal;
2. takes, destroys, damages or defaces any object of geomorphological, archaeological, historical, cultural or scientific interest, or any structure lawfully placed or constructed;
3. prepares land for cultivation, prospects for minerals or mines or attempts any of these operations;
4. drives, conveys or introduces any wild animal into a wildlife conservation area;
5. wilfully drives, conveys or introduces any domestic animal into a national park or negligently permits any domestic animal, of which he or she is for the time being in charge, to stray into a wildlife conservation area;
6. starts or maintains a fire without lawful authority, commits an offence.

### **22. Entering wildlife protected areas without authority.**

(1) Any person who, except in accordance with this Act, enters into or resides in, or attempts to enter into or reside in, any national park, wildlife reserve or any other protected area declared under section 18(2) commits an offence.

**Uganda  
Wildlife Act**

(2) Subsection (1) shall not apply to—

1. the Minister, the executive director, a member of the board or any officer appointed for the purposes of this Act;
2. any member of the staff of the authority or any police officer on official duties requiring his or her presence in a national park or wildlife reserve; or
3. any person in possession of a permit, issued under subsection (3), to enter or reside in the national park or wildlife reserve.

(3) The executive director may issue to any person a permit, in the prescribed form, to enter or reside in any national park or wildlife reserve subject to payment by that person of the prescribed fee, if any.

### **25. Historic rights of individuals in conservation areas.**

(1) The provisions of this Part shall not affect those persons whose rights have, until the coming into force of this Act, been preserved by—

1. the Game (Preservation and Control) Act, namely—
  1. persons, their wives and children actually residing in game reserves on the 1st July, 1959;
  2. any persons actually residing in game reserves at the date of their declaration, for those game reserves declared after the 1st September, 1959;

## Legislation Clauses related to Sustainable Land Management

3. the National Parks Act, namely, those persons who lawfully acquired rights in national parks before the 3rd April 1952;
4. the Forests Act, namely, those persons residing in forests whom the Minister may have exempted from the provisions of that Act and which forests have since been declared national parks under the National Parks Act.

(2) The authority may establish guidelines for access of communities neighbouring conservation areas to resources which are crucial to the survival of those communities.

(3) The authority may study, identify and protect historical or cultural interests of any individual or class of persons resident in a wildlife conservation area not protected by any other law.

(4) The authority may recommend to the Minister that any rights to land protected under this section should be acquired in the public interest under article 237(2)(a) of the Constitution if the continued private ownership or control of those interests is contrary to the needs of the sustainable management of wildlife.

(5) The authority may, in accordance with any procedures or policies in force, resettle any person resident in a wildlife conservation area or in a specific area of the wildlife conservation area or outside it and, where resettlement is done within a wildlife conservation area, prescribe the permitted measures of land use.

### 29. Types of wildlife use rights.

(1) The following wildlife use rights are established under this Act—

1. hunting: class A wildlife use right;
2. farming: class B wildlife use right;
3. ranching: class C wildlife use right;
4. trading in wildlife and wildlife products: class D wildlife use right;
5. using wildlife for educational or scientific purposes including medical experiments and developments: class E wildlife use right;
6. general extraction: class F wildlife use right.

(2) The Minister may, on the advice of the board, by statutory instrument vary, revoke or create additional wildlife use rights.

(3) A statutory instrument made under subsection (2) shall not be published unless the consent of Parliament, signified by its resolution, has been obtained.

### 11. Uses of wetlands.

(1) A person desiring to carry out any of the regulated activities listed in the Second schedule or extract any wetland produce in a wetland shall make an application in Form A set out in the First Schedule to these Regulations.

(2) Notwithstanding the provisions of sub-regulation (1), the following traditional uses of wetland resources shall not be subject to the application of these Regulations -

1. harvesting of papyrus, medicinal plants, trees and reeds;
2. any cultivation where the cultivated area is not more than 25% of the total area of the wetland;
3. fishing using traps, spears and baskets or other method other than weirs;
4. collection of water for domestic use; and
5. hunting subject to the provisions of the Wildlife Act, Cap 200.

**National  
Environment  
(Wetlands,  
River Banks  
and Lake  
Shores  
Management  
Regulations  
(S.I No 153-5)**

(3) The Executive Director may at any time by order published in the Gazette -

1. restrict to prohibit; or
2. declare open and closed seasons in relation to any traditional activity provided for in sub-regulation (2) where such activity endangers the wise use of the wetland resources.

(4) Any person who contravenes an order made by the Executive Director under sub regulation (3) commits an offence.

### 17. Duty of land owners and users.

(1) Every landowner, occupier or user who is adjacent or contiguous with a wetland shall have a duty to prevent the degradation or destruction of the wetland and shall maintain the ecological and other functions of the wetland.

(2) Any person who fails, neglects or refuses to protect a wetland under sub regulation (1) commits an offence.

### 21. Identified action of river banks and lake shores.

(1) Each Local Government shall after the recommendation of the appropriate local environmental committee make by-laws -

1. identifying river banks and lake shores within their jurisdiction which are at risk from environmental degradation;

## **Legislation Clauses related to Sustainable Land Management**

2. promoting soil conservation measures along river banks and lake shores including the following -
  1. bundling;
  2. terracing;
  3. mulching;
  4. tree planting or agro-forestry;
  5. grassing;
  6. soil engineering, compaction and placement of fills;
  7. zoning and planning;
  8. Bagging; and
  9. control of livestock grazing.

### **28. Duty of private owner users.**

(1) Every land owner or user in whose land a river bank or lake shore is situated shall have a duty to prevent and repair degraded river banks and lake shores through the following or any other measures -

1. soil engineering;
2. agro-forestry;
3. mulching;
4. bundling;
5. grassing;
6. control of livestock grazing; or
7. terracing.

(2) A landowner or user who fails or refuses to carry out the measures provided under sub-regulation (1) commits an offence.

### **29. Protection zones for river banks.**

(1) The rivers specified in the sixth Schedule to these Regulations shall have a protection zone of one hundred meters from the highest watermark of the river.

(2) River not specified in the Sixth Schedule shall have a protected zone of thirty meters from highest watermark of the river.

(3) No activity shall permitted within protected zones without the written authority of the Executive Director.

(4) Each local environment committee shall determine watering points and routes for animals to have access to the water in each river.

### **37. Offences.**

A person who -

1. reclaims or drains a wetland;
2. erects, constructs, places, alters, extends, removes or demolishes any tractor that is fixed in, or under, or over a wetland;
3. disturbs a wetland by drilling or tunnelling in a manner that has is likely to have an adverse effect on a wetland;
4. deposits in, on, or under any wetland a substance in a manner that has or is likely to have an adverse effect on a wetland;
5. destroys, damages or disturbs any wetland in a manner that has or is likely to have an adverse effect on any plant or animal or its habitat;
6. introduces or plants any exotic or introduced plant or animal in a wetland;
7. removes soil from or burns any wetland resource in a wetland;
8. carries out any unauthorized activity in a protected wetland;
9. carries out activities provided for in regulation 24 without a permit;
10. fails, neglects or refuses to protect a lake shore or accordance with these Regulations;
11. contravenes any of the provisions of these commits an offence; commits an offence.

### **Section 38. Enactment of district laws states that:**

**Local  
Development  
Act**

(1) A district council shall have powers to make laws not inconsistent with the Constitution or any other law made by Parliament which power shall be exercised by the passing of local bills into ordinances by the council and signed by the chairperson.

**Legislation Clauses related to Sustainable Land Management**

(2) A local bill passed by a district council shall be forwarded to the Attorney General through the Minister to certify that the local bill is not inconsistent with the Constitution or any other law enacted by Parliament before the chairperson signs the law.

(4) A bill enacted by the district council and signed by the district chairperson under this section shall be an ordinance of the council and shall be published in the official Gazette and in the local media.

**Section 39. Byelaws by lower councils states that:**

(1) An urban, sub-county, division or village council may, in relation to its powers and functions make byelaws not inconsistent with the Constitution, or any law enacted by Parliament, or an ordinance of the district Council or a byelaw passed by a higher council.

(2) Byelaws made under this section—

1. by a municipality, shall be subject to section 38(2);
2. by a lower local council other than a municipality shall be forwarded to the district council to certify that the byelaw is not inconsistent with the Constitution, or any law enacted by Parliament, or an ordinance of a district or a byelaw passed by a higher council;
3. by the village or municipal division councils in a municipality shall be forwarded to the municipal council to certify that the byelaw is not inconsistent with any law or ordinance or byelaw passed by a higher council;
4. by the village council shall be forwarded to the sub county council to certify that the byelaw is not inconsistent with any law or ordinance or a byelaw passed by a higher council.

**Section 42. Scope of an ordinance.**

(1) An ordinance may be made to apply to the whole district or any part of a district or to a particular section or profession of the people, and the power to make ordinances shall include power to regulate different matters in respect of different parts in the district.

(2) For the avoidance of doubt, no ordinance shall be made in respect of any matter or issue for which adequate provision is made under the Constitution or any law made by Parliament except for ease of reference, in which case the ordinance shall reproduce the provisions of that article or law in its entirety.

**69. Chiefs and their jurisdiction powers and functions.**

(1) There shall be a chief in each sub county and in each parish who shall be appointed by the district service commission.

(2) The chief shall be the administrative head and accounting officer of the respective sub county or parish. One of the duties of the chiefs is to carry out general administration in conformity with Government regulations and policies, district ordinances or byelaws made by the council, trust fund or secretariat or by lower councils;

## Annex 8. Land Tenure Security Levels and Implications for Sustainable Land Management

### Land tenure security levels

Mugagga and Buyinza (2013) examined the land tenure system in Manafwa, in particular in Tsekululu sub-county, between September and December 2012. Their study found that customary tenure was dominant, with a majority of farmers (49%) having inherited their land. Private lease owners represented 24% of the population and 23% did not have land and were encroaching on the National Park territory. Three percent were renting or borrowing land from their neighbours for a specific period. There were no communal lands within the Mt. Elgon region.

Mugagga and Buyinza's (2013) study suggests that although it was recognized in the 1998 Land Act, few customary tenants had obtained certificates of occupancy prior to the approval of the Land Policy, in February 2013. Observations in the field suggest that although the land policy allows the registration of customary land and promotes systematic land demarcation, the majority of people have still not legally registered their land parcels and have not therefore supported their customary tenure by legal demarcations and titles in the area of intervention.

There is no consensus on the literature regarding whether this land tenure system is secure or not. There is agreement that a considerable percentage of the people does not own land, and have therefore insecure tenure in the Mount Elgon region. National Land Policy, Himmelfarb (2006) and Soini (2007) have all identified landlessness as one of the most critical problems regarding land management. This situation affects more severely vulnerable groups and communities, such as women and youth. In the area of intervention, landlessness is also particularly acute along several parts of the forest boundary where farmers have been evicted from the forest (especially, but not only in Benet and Namatale). Finally, according to Soini (2007), landlessness hits as well lowland communities where cattle rustling have forced thousands of people to leave their home and take refuge with relatives or in towns and trading centres<sup>18</sup>.

There is controversy, however, regarding how secure customary tenure is. The debate refers to the definition of land tenure security and the sources of it. While some researchers and practitioners focus on legal certificates, others stress social relations. The latter consider land tenure not as a paper relating merely people to property, but rather as complex set of social relations that are embedded within the context of contested power relations (Himmelfarb, 2006). Land tenure can be secured legally or culturally.

Literature on the Mount Elgon region includes both approaches. Soini (2007: 38) favours a cultural approach. She claims that customary tenure is reasonably secure, as "the people have their own customary means of ensuring security". She argues that households have strong private rights of use and even ownership over the land they occupy and that traditional authorities do not normally interfere in land use and transfer decisions of households. On the contrary, favouring a legalistic approach, Mugagga and Buyinza (2013) consider customary tenure insecure, as people do not possess formalized rights over the land.

Observation in the field in the area of intervention suggests that customary tenure is not only insufficiently secure today, but might become more insecure with the development of the area if legal

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<sup>18</sup> Soini (2007) refers to Kapchorwa and Sironko districts, but it is likely that this affects as well to the lowlands of the area of intervention of this project.

demarcation and registration are not undertaken. The conflicts raised by the shift in the boundaries of the National Park are just an example of how complex land disputes can become with customary tenure if non-members appear. It is likely that the informal and formal systems will collide in the future. Given that the formal system is for obvious reasons the prevalent in the country, customary tenure will need to be translated into legal tenure sooner or later in order to ensure tenure security. Adequate and fair (especial attention must be paid to ensure that the rights of vulnerable –landless-people, including women, are protected) formal registration seems to be crucial to increase land tenure security if not in the short, certainly in the medium to large term.

#### Importance of land tenure security for sustainable land management

There is no consensus either on the consequences of land insecurity on people and the environment. Associated with the discussion around the tragedy of the commons and the efficacy of collective action, given that land insecurity refers to common-pool resources that are non-excludable and rival, the debate about this issue is still significantly vivid.

Deemed insecure, customary tenure has been traditionally considered an impediment for development. Hardin (1968) posited that non-excludability and rivalry lead necessarily to the serious degradation of the environment. Soini (2007: 37) summarizes very well the arguments behind that position regarding customary tenure system: they i) exclude non-members from land transaction, thus hindering integration to the national and regional markets, limiting the movement of land from less progressive to more progressive farmers; ii) they are characterized by a diffuse separation of land rights among individual, communities and clans, and this hinders investment; iii) they lead to fragmentation of land into uneconomic pieces; and iv) they do not allow taking loans using the land as collateral, reducing investment. This lack of investment is believed to lead to land degradation.

In line with the tragedy of the commons literature, evidence in the area of intervention suggests that land tenure security is a critical factor on sustainable land management, and that insecurity favours land degradation in the Mount Elgon region. In his study of the socio-economic effects of protectionist policies in Kapchorwa, on the edge of the National Park, between June and August 2005, Himmelfarb (2006) found that the shifting of boundaries associated to these policies had fostered land tenure insecurity and that this insecurity had exacerbated poverty and conflict and led to environmental degradation in the forms of soil loss, water siltation, and increased in-park resource use. He found that although “erosion, water siltation, decreasing yields and food shortages are found throughout the resettlement area, these challenges seem to be most intense in the areas where land tenure is most insecure” (p. 9).

Himmelfarb (2006) identified direct and indirect effects of land tenure insecurity on people and the environment. On the one hand, land owners/users were hesitant to invest in energy and resource-intensive soil and water conservation measures when there was uncertainty on how long they could accrue the return of these investments. On the other hand, land insecurity excluded them from public investment, such as agricultural extension services, roads, education and health services, and community-based conservation initiatives. Himmelfarb (2006) found that strong NGO and governmental agricultural extension services were provided in the area only to those with secure land tenure. Likewise, without secure land tenure, the forest-adjacent communities were not eligible for participation on community-based conservation initiatives that had been implemented with land secure communities showing great promise for livelihood diversification. In sum, not only the number of farmers aiming to adopt soil and water conservation (SWC) measures was lower with insecure tenure, but those who wished to adopt them were in addition excluded from governmental investment.

More recently, Mugagga and Buyanzi (2013) found similarly that the adoption of soil conservation methods decreased and land degradation increased with land tenure insecurity. In particular, they found that land degradation was more significant on encroaching land, significantly insecure, than on customary (inherited) and privately owned land, which is more secure. Given the insecure tenure situation, farmers on encroached land had to a greater extent short term interests and therefore less incentives to invest in soil conservation techniques. According to Mugagga and Buyanzi (2013), the pronounced soil conservation under private land tenure can be attributed to the transferability, alienability, exclusivity and enforceability of rights that secure such land holdings. Indeed, “tenure security becomes an important factor which, if missing, stifles farmers’ initiative to invest and biases their activity towards a more intensive exploitation of land... Land tenure insecurity was identified as a key deterrent to investment on soil conservation especially for those communities adjacent to the National Park boundary” (p. 261). Observations in the field found similarly that young people typically have short term contracts and that, for that reason, they not engage in practices that have long term benefits, from the investment in soil and water conservation measures to the selection of crops, as they generally favour fast growing crops that contribute to land degradation.

However, a significant body of literature has shown that the consequences of land tenure security on people and the environment are complex and far from straightforward. The discussion around the tragedy of the commons has indeed abandoned absolute answers, to focus rather on the conditions on which the success of collective action in managing this kind of resources depends, such as the characteristics of the good or the group (e.g. size and economic and cultural heterogeneity). While some authors (e.g. Agrawal and Goyal, 2001; Gremedhin and Swinton, 2004; Bandiera et al., 2005; Alix-Garcia, 2008) find that these characteristics determine to a great extent the outcomes of collective action, there is a burgeoning tendency to stress that there are no automatic relationships and that it is the interaction of the multiple factors what matters (Varughese and Ostrom, 2001; Adhikari and Lovett, 2006; Khwaja, 2009).

In her study of the Mount Elgon area, Soini (2007: 40) follows this line of argumentation. She sustains that there is not a direct relationship between customary tenure and social and environmental outcomes: “the system of ownership of land and the security of such a system have no inherent intrinsic effect on economic development”. According to her, there is not a significant correlation between land tenure types and investment: “a large number of studies conducted in an attempt to find correlations between land tenure types and investment show very few correlations” (p. 39). Yamano et al. (2004) found that although short-term land investment were less practiced under the mailo tenure system than the freehold tenure system, there were no differences across land tenure systems in long-term land investments, such as tree planting, in most parts of Uganda (p. 39).

Soini (2007) found that some of the arguments presented above do not hold for the Mount Elgon region of Uganda. First, she argues that people can accumulate land not to invest in agriculture, but simply to accumulate wealth, given that buying land is a very lucrative investment. This can lead to non-used lands. She highlights that absent farmers who leave their land unused is one of the main problems in the Kenyan side of the Mount Elgon region, where people tend to have more secure tenure rights (freehold) (pp. 37-38). Second, she claims that acquisition of loans using land as collateral is almost impossible in Uganda for a number of obstacles additional to land insecurity (p. 38). Third, she affirms that land fragmentation is due not to customary land tenure but to “the simple need of land, in the absence of other livelihood options, by offspring of the family that leads into subdivision of farms” (p. 38).



According to Soini (2007), land management is not the result of the land tenure system, but rather the result of a complex set of factors. For instance, tree cover is the result of “complex issues related to history, ethnicity and tradition, farming practices and development projects”, such as public investment on roads (p. 38). Supply side factors, such as extension of agroforestry information and access to appropriate technologies and planting materials (chemical fertilizers, improved seeds), might be indeed more decisive than land ownership for sustainable land management. According to Soini (2007), both freehold and customary land tenure can serve well if the system is administered with principles of good planning, equity and transparency. In this sense, it is not land tenure itself that poses the problem, but the application of these principles and its relation with other aspects. Soini (2007: 49) affirms that the problem is that these principles “have not been, in general, fulfilled in the land tenure types” in the Mount Elgon region. She argues in this sense that “land policies... have not resolved and will not resolve the land issues they are intended to address (such as low economic growth and agricultural production)” (p. iv). Complex problems require complex solutions.

As for the level of land tenure security, evidence in the area of intervention favours a balanced approach regarding the consequences of land security, in general, and customary tenure, in particular, on people and the environment. While customary tenure does not seem to be sufficiently secure for a significant number of issues, land tenure insecurity seems to favour land degradation, since it does not guaranty that users will be able to appropriate the results of their efforts in the long term. Soini (2007) is right highlighting other aspects, which are certainly relevant, but this does not mean that land tenure security is not relevant, and has no impacts on sustainable land management. Although customary tenure is far from being the only impediment to development, and sustainable land management is certainly a complex issue, in which many other aspects are decisive, customary tenure is one of the key obstacles to the development of the area of intervention. In any case, the complexity of the problem requires complex strategies. As Himmelfarb (2006: 11) notes, the efforts towards land tenure security must come along with complementary strategies, such as improved social services, including education (and agricultural extension), health and access to markets for all households.

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## PART IV: Letters Co-Financing

In any correspondence on  
this subject please quote No. PAD/0001/001



THE REPUBLIC OF UGANDA

**MINISTRY OF AGRICULTURE,  
ANIMAL INDUSTRY AND FISHERIES  
P.O BOX 102, ENTEBBE**

E-MAIL: [psmaif@infocom.co.ug](mailto:psmaif@infocom.co.ug)

WEBSITE: [www.agriculture.go.ug](http://www.agriculture.go.ug)

TELEPHONE: 256-414-531411/531135/255137

FAX: 256-414-255183/255184

KAMPALA, UGANDA

15<sup>th</sup> May 2015

The Resident Representative,  
UNDP.

### **CO-FINANCING FOR THE PROJECT "INTEGRATED LANDSCAPE MANAGEMENT FOR IMPROVED LIVELIHOODS AND ECOSYSTEM RESILIENCE IN MOUNT ELGON REGION**

Ministry of Agriculture, Animal Industry and Fisheries(MAAIF) appreciates that preparation of the above project document to be funded by the Global Environment Facility (GEF-5 STAR) has been completed. Ministry (MAAIF) is implementing projects and activities with the similar objectives in the area and will complement GEF resources in form of co-financing for the project.

One of the main projects, The Agricultural Cluster Devevelopment whose objective is to raise on-farm productivity, production, and marketable surpluses of selected agricultural commodities in specified geographic clusters will be carrying out similar activities in the region. The Ministry will also commit staff time and equipment to implemetation and coordination in a co funding arrangment.

The purpose of this letter is to confirm that the ministry will provide co-financing up to USD 7,526,260, in kind.



Alex Kakooza

**FOR: PERMANENT SECRETARY**



NAADS/NI/007

19<sup>th</sup> May, 2015

The Permanent Secretary,  
Ministry of Agriculture, Animal Industry and Fisheries  
ENTERRE

Attn: Mr Alex Kakooza  
Under Secretary, Finance and Administration

UNOP-KAMPAALA

DATE 20/5/2015

SITE .....

LOCATION	NO	LOCATION	DATE
✓			

ED LAND AND ECOSYSTEMS

UNOP-KAMPAALA

CO-FINANCING FOR THE PROJECT "INTEGRATED LANDSCAPE  
MANAGEMENT FOR IMPROVED LIVELIHOODS AND ECOSYSTEMS  
RESILIENCE IN MOUNTAIN ELGON".

Reference is made to your letter dated 5<sup>th</sup> May, 2015 requesting the NAADS Secretariat to provide support (in cash or in kind) towards co-financing the 'Integrated Land Landscape Management for Improved Livelihoods and Ecosystems Resilience in Mountain Elgon' project.

The NAADS Secretariat recognizes the importance of the project to the improvement of the livelihoods of the people in the target area and has accordingly considered the requested co-financing towards the project.

In line with its new mandate, the NAADS Secretariat will provide its contribution in kind equivalent to the value of the agricultural input package earmarked for the three project target districts, as follows:

Annual input package to Mbale District Local Government equivalent to UGX 878,499,395  
Annual input package to Manafwa District Local Government equivalent to UGX 781,475,471  
Annual input package to Bulambuli District Local Government equivalent to UGX 841,408,732

This contribution is projected at UGX 7, 504,150, 795 equivalent to US\$ 2,501,384 over the three year period.

The purpose of this letter, therefore, is to confirm that the NAADS Secretariat shall provide co-financing of up to US\$ 2,501,384 in kind.

Dr. Samuel K. Mugasi  
EXECUTIVE DIRECTOR

Cc: UNDP Country Director

TEL GENERAL: +256 41 450942  
TELEPHONE: +256 41 450945  
+256 41 450950  
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+256 41 4221316  
+256 41 4221198  
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[cs@mwa.go.ug](mailto:cs@mwa.go.ug)  
website: [www.mwa.go.ug](http://www.mwa.go.ug)



THE REPUBLIC OF UGANDA

MINISTRY OF WATER AND  
ENVIRONMENT  
P. O. Box 20026  
KAMPALA - UGANDA

In any correspondence on  
this subject please quote Ref. No. **DEA/168/250/01**

May 13, 2015

The Resident Representative  
UNDP

**CO-FINANCING FOR THE PROJECT 'INTEGRATED LANDSCAPE MANAGEMENT  
FOR IMPROVED LIVELIHOODS AND ECOSYSTEM RESILIENCE IN MOUNT ELGON**

I refer to a letter Ref: PAD 168/214/01 dated 5<sup>th</sup> May 2015 from the Permanent Secretary, Ministry of Agriculture, Animal Industry and Fisheries, addressed to me on the above captioned subject (copy attached for ease of reference).

I recognize that we are carrying out activities in line with the objectives of this project namely:

- a) **Water Managemnet Development project:** Supporting Catchment management planning covering the entire Kyoga Management Zone - facilitating formation of catchment management organisations, catchment management planning at landscape level, investment into environmental infrastructure such as soil and water conservation structures.
- b) **Forest Carbon Partnership Fund:** Supporting the national REDD+ program - providing tree seedlings and technical backstopping in forestry considering the needs of different landscapes resulting into increase forest cover.
- c) **Integrated Territorial Climate Plan 2014 - 2029 - For Mbale Region of Uganda:** Ministry coordinating implementation of the plan whose activities synergies well with the landscape project
- d) **Mt. Elgon Regional Ecosystem Conservation Program (MERCEP):** Purpose is to reduce biodiversity degradation and improving livelihoods and natural resources management in the mt. Elgon region.
- e) **Community Tree Planting Program (CTPP):** Through NFA - Supporting communities plant trees.
- f) **Nile Basin Project:** There are synergies and opportunities that can be exploited through collaboration between these projects, and the Elgon region project.
- g) **Ministry Staff and equipment:** As a stakeholder institution, the ministry intends to commit staff and equipment time to project coordination and implementation as a mechanism for cost sharing.

The purpose of this letter therefore is to confirm that this Ministry shall provide co-financing of up-to US\$2,000,000- in kind.

A handwritten signature in blue ink, appearing to read 'David O O Obong'.

David O O Obong  
PERMANENT SECRETARY



Empowered lives.  
Resilient nations.

8 May 2015

Ref: PRO/300/91166/ FIN

Dear Mr. Rubarema,

**Subject: Endorsement of Co-Financing for UNDP-GEF Intergrated Landscape Management Project for the Elgon Region**

Reference is made to the Project Identification Form that GEF approved for the "Integrated Landscape Management for Improved Livelihoods and Ecosystem Resilience in Mount Elgon project". UNDP is pleased to endorse Co-financing for this project worth USD \$2,670,750 over the project life span.

I wish to thank GEF for supporting this project which is expected to contribute to national, international and global environmental values through reduction of land degradation, reduction of sgreen housegas emmissions and global warming.

Yours sincerely,

  
Admaz Gebru  
Country Director

Mr. Vincent Rubarema,  
The Permanent Secretary,  
Ministry of Agriculture, Animal industry and Fisheries  
Legacy Towers, Plot 5, Kyaddondo Road  
Kampala.



## BULAMBULI DISTRICT LOCAL GOVERNMENT

### Telephone Nos.

D/Chairperson : 0702 039153

RDC : 0776 658433

CAO : 0772 696724

CFO : 0772 329133

PAS : 0772 645721

ACAO 1 : 0772 904798

Email : [bulambulicao@gmail.com](mailto:bulambulicao@gmail.com)

In any correspondence on

This subject please quote no.

Cn/550



The Republic of Uganda

Office of the Chief Administrative Officer,

P.O. BOX 2298

MBALE

UGANDA.

Date: 8<sup>th</sup> May 2015

The Permanent Secretary  
Ministry of Agriculture, Animal Industry and Fisheries  
P.O. Box 102 Entebbe.

**RE: CO-FINANCING FOR THE PROJECT "INTEGRATED LANDSCAPE MANAGEMENT FOR IMPROVED LIVELIHOODS AND ECOSYSTEM RESILIENCE IN MOUNT ELGON.**

Reference is made to the request to co-finance the above mentioned project that is funded by GEF. I recognize that we are carrying out activities in line with the objective of this project. i.e.

- Strategic intervention in the coffee sector through supply of coffee seedlings and,
- Payment of staff salaries two Agriculture Officers (AO) and one Community Development Officer (CDO).

And that there are synergies and opportunities that can be exploited through collaboration between these projects, and the Elgon region projects.

In this regard, I am pleased to inform you that we shall provide the co-financing of up to USD 33,000 in kind and the breakdown will be as follows:

Item	Cost
1. Supply of coffee seedlings	USD 30,000
2. Payment of staff salaries	USD 3,000
<b>Grand Total</b>	<b>USD 33,000</b>

Aloka Aloysius

**Chief Administrative Officer**

cc: District Chairperson-Bulambuli

cc: RDC-Bulambuli

cc: File





The Republic of Uganda

# MANAFWA DISTRICT LOCAL GOVERNMENT

Office of the Chief Administrative Officer,  
P. O. Box 916, Mbale.

**Telephones:**

MCChairperson:

CdO:

NDOT/As:

CFO:

Natural Resources Officer:

Public Protection Officer:

*In any correspondence on*

*this subject please quote No. DE/00/2*

0762778560

0773188108

0774778648

0762714058

0762000706

0770881580

District Internal Auditor:

District Education Officer:

District Engineer:

District Health Officer:

DC/ED:

0770877318

0774900217

0772070818

0770642410

0750614550

7<sup>th</sup> May, 2015

The Permanent Secretary  
Ministry of Agriculture, Animal Industry & Fisheries  
P. O. Box 34518  
Kampala

Dear Sir,

## CO-FINANCING FOR PROJECT INTEGRATED LANDSCAPE MANAGEMENT FOR IMPROVED LIVELIHOODS AND ECOSYSTEM RESILIENCE IN MT. ELGON:

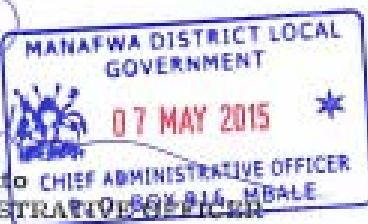
Reference is made to the request to co-finance the above mentioned project funded by GEF. I recognize that we are already carrying out activities in line with the objectives of the project i.e. Water Management Development Project and that there are synergies and opportunities that can be exploited through collaborations between projects and the Elgon Region Project.

In this regard, I am pleased to inform you that as a District we shall provide co-financing of up to \$ 100,000 in kind.

We look forward to a fruitful collaboration.

Yours faithfully,

  
Martin Jacan Gwoldo  
AG. CHIEF ADMINISTRATIVE OFFICER



Cc: District Chairperson, Manafwa  
Cc: Resident District Commissioner, Manafwa

Mission: "To have Sustainable Socio-Economic Development through efficient provision of quality services to the people which are in line with priorities at all levels of service delivery".

Vision: "A knowledgeable citizenry, healthy populace and harmonious people by 2035"