

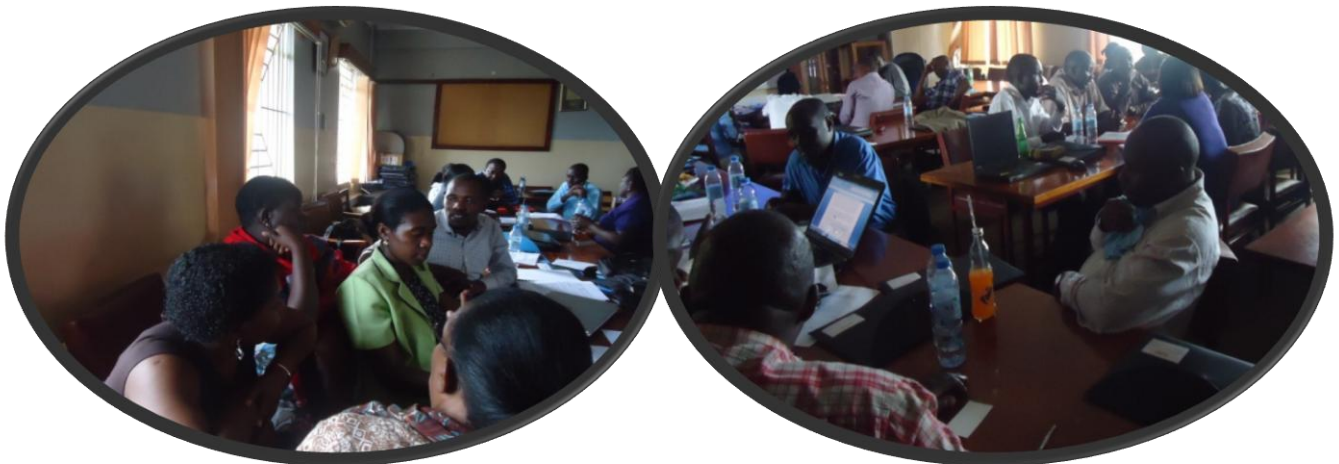


MINISTRY OF WATER AND ENVIRONMENT

RECORD AND REPORT OF THE TECHNICAL WORKSHOP ON DEVELOPMENT OF A SAFEGUARDS INFORMATION SYSTEM FOR REDD+ IN UGANDA



**Convened by the Ministry of Water and Environment (Forestry Sector Support
Department) at Makerere University College of Agricultural and Environmental
Sciences, 5th - 6th May, 2015**



Workshop program

Day One: Tuesday May 5, 2015.

1. Opening Remarks
2. Understanding the REDD+ safeguards landscape
 - a) What are REDD+ safeguards?
 - b) What do countries engaging in REDD+ need to do to meet the safeguards requirements under UNFCCC?
 - c) What is a Safeguards Information System (SIS)?
 - d) Why should Uganda want to develop such a system --- as a requirement of the UNFCCC
 - e) What are the key elements of a functional SIS and the various options available to obtain this?
 - f) What can a country approach to REDD+ safeguards look like?
 - g) How have other countries addressed safeguards?
 - h) How does the REDD+ safeguards process link to the other key elements REDD+, especially the National Strategy or Action Plan?
3. Understanding how the safeguards process fits into the overall REDD+ process
 - a. Introduction of the key elements of the national strategy process that requires or emphasizes safeguards using topics from the R-PP
 - b. Group discussions: Key linkages between the National Strategy process and Safeguards processes: why assess the potential benefits and risks of draft Policies and Measures (PaMs)?
 - c. Plenary discussion
4. Guidelines on stakeholder engagement
 - a. Guidelines on Stakeholder Engagement for the REDD+ process – building on UN-REDD/FCPF guidelines
 - b. Participation and consultation plan of the REDD+ Readiness Proposal (R-PP)
 - c. Plenary discussion: clarifying questions and feedback on considerations for stakeholder engagement in Uganda’s safeguards & REDD+ process

Day Two: Wednesday May 6, 2015.

5. Identifying desired impacts of REDD+ in Uganda; and goals of the safeguards approach
 - a. Initial thoughts on desired impacts of REDD+ in Uganda
 - b. Group discussions: What are the most important social, environmental and economic issues that REDD+ could have a positive impact on?
 - c. Feedback to plenary
6. Goals of Uganda’s country approach to REDD+ safeguards
 - a. considerations for setting the goal and scope of a country approach to safeguards

- b. Initial thoughts on the goals for Uganda's safeguards approach
- c. Group discussion: Clarifying the Cancun safeguards
- d. Plenary discussions: considerations for setting goals for Uganda's safeguards approach and clarifying the Cancun safeguards in the country context

Number of persons attending:	43	
Workshop Chairperson	Ms. Margaret A. Mwebesa	Asst. Commissioner, Forestry/ REDD+ National Focal Point
Workshop Facilitator	Mr. Alex Muhweezi	Technical Advisor REDD+
Workshop presenters	Ms. Elina Vaananen	UNEP/WCMC
	Ms. Lisen Runsten	UNEP/WCMC
	Mr. Xavier Mugumya	Climate Change Coordinator/Alternate REDD+ National Focal Point- NFA
	Sophie Kutegeka	Senior Programme Officer, IUCN
	Aggrey Aguma	World Bank Project, MWE
Workshop Rapporteur	Ms. Olive Kyampaire	National REDD+ Communications/Project Officer
Workshop Registration and Secretarial Services	Ms. Maria Nabukenya	Secretary, FSSD

General Context and Objectives

Uganda's REDD+ process started in 2008 when the Country joined the Forest Carbon Partnership (FCPF). The FCPF is a global financing mechanism that supports developing countries to prepare for their readiness to reduce Green House Gas (GHG) emissions from Deforestation and Forest Degradation and to enhance the role of forests in conservation of biodiversity, sustainable management of forests and enhancement of carbon stocks.

As part of Uganda's Readiness toward implementation of actions that contribute to the mitigation of climate change in the forest sector, a Readiness Preparation Proposal (R-PP) on reducing emissions from deforestation and forest degradation; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks (REDD+) was prepared as Uganda's roadmap to developing the following elements: (a) A national strategy or action plan; (b) A national forest baseline scenario (reference emission level and/or forest reference level) (FREL/FRLs); (c) a national forest monitoring system (NFMS); and (d) a system for providing information on how the safeguards are being addressed and respected throughout the implementation of REDD+ activities. Implementation of Uganda's Readiness Preparation Proposal R-PP is supported by the World Bank's FCPF, the Austrian Development Agency (ADC/ADA), the UN-REDD Programme and Government of Uganda.

The focus of the technical workshop was on the development of a Safeguards Information System (SIS) for REDD+ in Uganda; and understanding how these safeguards will be "addressed and respected" throughout the implementation of REDD+ activities. The SIS, a system for providing information on how the 2010 Cancun safeguards will be "addressed and respected" during implementation of REDD+ activities, is one of the requirements under the UNFCCC for all countries participating in the implementation of REDD+ activities. In 2011, countries confirmed that a SIS must be in place to receive results based finance for REDD+. The 2013 Warsaw REDD+ Framework requires countries to provide the most recent summaries of information on how all the safeguards will have been addressed and respected before they are eligible to receive results-based payments (RBPs). Uganda is therefore expected to develop and provide a summary of safeguard information to the UNFCCC through the National Communications; linking safeguards to both national and international reporting systems.

The SIS workshop aimed at enabling participants to start appreciating what the desired impacts of REDD+ on the social, economic and environment were likely to be. The workshop process included processes of stakeholder sensitization, promotion of benefits of REDD+ activities and minimizing likely negative side of REDD+ activities in order to achieve a balanced social, economic and environmental component for sustainable development. **The workshop further sought to enhance the understanding of participants on how to design a national safeguards information system.** Experts of the UNEP World Conservation Monitoring Centre (UNEP/WCMC) and from the Uganda National REDD+ Secretariat as well as partners (IUCN, MWE World Bank project) made presentations that contributed to the achievement of the workshop objectives. The presentations were followed by question and answer sessions; and interactive discussions on the SIS topics.

The participants included the REDD+ Multi-stakeholder National Technical Committee, and members of the National REDD+ Secretariat, Annex I. The whole process was aimed at supporting the country to design a national safeguards system that will capture and report on the safeguards related to the REDD+ strategy. The overall objective of the workshop was to define and agree on a process and roadmap for developing an integrated system of information on safeguards. Specific objectives included:

- a) To familiarize the National Technical Committee (NTC) members and other partners with technical guidance on requirements for, and how best to use an integrated approach for development of a functional national and sub-national system for multiple benefits, other impacts and governance, as well as actual safeguards.
- b) To validate stakeholder mapping /gap analysis building on the work done during the R-PP formulation.
- c) To identify stakeholders who should be part of the safeguards process.
- d) To identify objectives of the country approach to safeguards and safeguard information system.
- e) To identify desired impacts of REDD+ in Uganda with an expected output of a draft list of priority benefits and likely risks.
- f) To define and agree on process and roadmap for developing an integrated system of information on safeguards.

In his preamble, the facilitator indicated that the workshop was another opportunity to generate safeguards for the REDD+ strategy by participants. To guide this process, he posed the following questions: How do we assess what the safeguards are and how do we derive them? How do we assess the issues that we need safeguards for? How do we ensure that the REDD+ benefits are more than the negatives they cause? He observed that the Uganda R-PP contains some preliminary indications of the REDD+ strategy that the workshop could draw from.

Workshop components



Alex Muhweezi
Workshop Facilitator

The workshop was facilitated by the Technical Advisor to the REDD project in Uganda, Mr. Alex Muhweezi. The team from UNEP-WCMC and the Uganda National REDD+ Secretariat presented throughout the workshop. The alternate focal point for REDD+ Mr. Xavier Mugumya presented on behalf of the Secretariat. In addition, experiences and lessons on safeguards were shared from a World Bank Project implemented by the Ministry of Water and Environment by Mr. Charles Aguma to better understand and put in context the issue of safeguards to our national setting. Ms. Sophie Kutegeka of IUCN shared the five elements, including the gender roadmap, of the Uganda REDD+ Consultation and Participation Plan that are key safeguards of the REDD+ Programme.

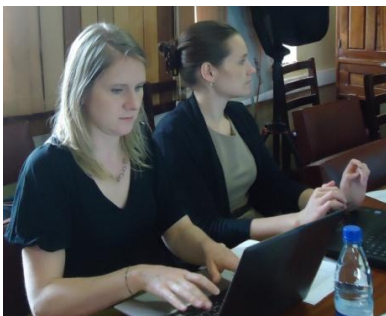
DAY 1

1.0 OPENING REMARKS

The Assistant Commissioner, Forestry Sector Support Department, also serving as the REDD+ National Focal Point, Ms. Margaret A. Mwebesa, represented the Director of Environmental Affairs, Mr. Paul Mafabi to officially open the workshop. She acknowledged and welcomed everybody to the workshop, including two facilitators from UNEP-WCMC, Ms. Elina Vaananen and Ms. Lisen Runsten, to Uganda and particularly to the workshop; with the targeted support from the UN-REDD programme. She noted their expertise on Social and Environmental Strategic Assessments in Safeguards which was needed to better understand the SIS importance during the implementation of the REDD+ Programme. She also thanked the school of Forestry, Geographical and Environmental Sciences for hosting the workshop.

Ms. Mwebesa noted that the Uganda REDD+ preparation proposal process started in 2010 and was approved in 2012, which culminated in the REDD+ Readiness Preparedness Proposal. The R-PP includes, among others, the identification of safeguards against any undesired impacts that are likely to arise in the course of implementing REDD+ activities. She remarked that the purpose of the workshop was to consider these safeguards, and as a country strategize on how they will be used to address any undesired impacts, and also work towards having a Safeguard Information System. The technical workshop on REDD+ Safeguards Information System is therefore intended to define and agree on a process for developing an integrated System of Information on Safeguards.

REDD+ is not only about ensuring that we have forest carbon stocks to mitigate climate change; REDD+ uniqueness lies in its ability to transform livelihoods of vulnerable groups who in many ways depend on the forestry resources. She cited such groups in Uganda to include the Batwa, Benet and Ik; which were deprived of their livelihoods and dignity when the conservation agendas of the time excluded humans from the forest areas without consideration; as well as local communities and women. She noted that it is difficult to reverse damages once they are caused, as exemplified by the present plight of the aforementioned ethnic minorities, a situation REDD+ aims to avoid.



*Lisen Runsten & Elina Vaananen
(UNEP/WCMC)*

Ms. Mwebesa observed that contemporary Environment and Natural Resources Sector experts have a lot of information on lessons learnt through previous projects and initiatives; and there is thus available and good guidance to avoid past mistakes. REDD+ processes include mechanisms to ensure harmony among participating entities and stakeholders and involves protection of human rights, gender considerations as well as biodiversity conservation. The safeguards will ensure that REDD+ will be implemented in an inclusive and transparent manner while respecting the rights of indigenous peoples, ethnic minorities, local

communities, with considerations for biodiversity conservation.

In concluding the remarks, Ms. Mwebesa, told participants that people ought to own the programs, to guarantee their success. The REDD+ process will ensure that its national REDD+ strategy contains a safeguard information system that will protect humanity and biodiversity against any possible risks.

"People ought to own the REDD+ programs to guarantee their success. One way to ensure ownership is to safeguard people against any emerging risks."

2.0 Session 1: Understanding the REDD+ safeguards landscape - Ms. Elina Vaananen

2.1 What are REDD+ safeguards?

An overview of the REDD+ Safeguards landscape given by Ms. Elina Vaananen, included what is understood by REDD+ safeguards and the need to have them. She noted that REDD+ is essentially a mechanism under UNFCCC aimed at putting a financial value on the carbon stored in the forests and providing positive incentives to developing countries to reduce emissions from forested land.

Ms. Vaananen highlighted the components of the REDD+ acronym and indicated the higher activities (the DD) and the lower activities (+) of the REDD+ acronym; noting that **the first "D"** in the acronym was **deforestation** which leads to loss of forest carbon; and one of the ways a country could achieve emissions reduction from deforestation is intensifying agriculture and reducing the drivers that lead to deforestation. The **second activity (second "D")** is **reducing emissions from forest degradation** which is another anthropogenic loss in carbon stock on forest land where the forest becomes thinner and the carbon stocks are also lowered. One potential way of minimizing forest degradation could be putting in place adequate management practices on forests. She noted the third, fourth and fifth activities in **the + activity** of the acronym as being **conservation of carbon stock, sustainable management of forests** and **enhancement of forest carbon stocks** respectively. The third activity preserves forests, hence maintaining carbon stocks e.g., employing forest protection measures; the fourth activity utilization of forest (or resource) that does not exceed the rate of natural growth with consequent emission reduction effect e.g., carrying out reduced impact logging. The **fifth and final activity** includes turning non-forested land into forested land, reforestation as well as allowing natural regeneration to occur.

REDD+ goes beyond carbon and includes multiple benefits, such as providing livelihood opportunities to local communities, that will enable REDD+ actions, in order to support conservation of biodiversity while achieving emissions reduction.

2.1.1 What Countries engaging in REDD+ need to do to meet the safeguards requirements under UNFCCC

REDD+ goes beyond carbon and includes multiple benefits, such as providing livelihood opportunities to local communities, who in turn support conservation of biodiversity that will contribute to

emissions reduction. However, implementation of REDD+ activities may have potential risks including social risks (e.g., not being able to recognize customary rights properly or even undermining them in a negative way); environmental risks (e.g., conversion of natural forests to plantations or displacing deforestation and forest degradation pressure to other areas). Safeguards for REDD+ are therefore intended to reduce such potential risks while enhancing the potential benefits to make sure that the REDD+ mechanism "does no harm but does good" both for people and the environment.

During CoP 16 in 2010, in Cancun Mexico, the Parties of the Convention agreed on a set of seven safeguards that are commonly known as the Cancun Safeguards (Table 1). These safeguards include a range of issues from social, environment and governance which are to be promoted in the course of REDD+ implementation.

Table 1: The UNFCCC Cancun Safeguards

Category	Safeguard	Objectives of the safeguards
Governance	<i>i. Consistency with national objectives and international conventions and agreements</i>	This safeguard potentially aims to ensure consistence with the national objectives (e.g., national forest programs) when implementing REDD+; as well as making sure that the national REDD+ mechanism is in line with the international conventions and agreements that were agreed to; prior to REDD+ mechanism e.g., reforestation through REDD+ could contribute to a national forest policy target or contribute to targets in the national biodiversity strategy.
	<i>ii. Transparent, effective forest governance and sovereignty</i>	In practice it is to ensure that systems for accountability are met.
Social	<i>iii. Respect for knowledge and rights of indigenous peoples and members of the local communities</i>	This safeguard is intended to make sure that REDD+ implementation respects the knowledge and rights of indigenous people and takes into account relevant international obligations, national circumstances and laws and noting that the UN General Assembly (UNGA) adopted the UN Declaration on the Rights of Indigenous Peoples (UNDRIP), for example, avoiding involuntary resettlement of forest-dependent communities.
	<i>iv. Full and effective participation of stakeholders</i>	This safeguard is aimed at ensuring the participation of all stakeholders, in particular, the participation of indigenous people and local communities in the REDD+ actions. For example, the rights of indigenous peoples to free, prior and informed consent (FPIC).
Environmental	<i>v. Natural forest, biological diversity and enhancement of benefits</i>	That REDD+ actions are consistent with the conservation of natural forests and biological diversity, and ensuring that these actions are not used for the conversion of natural forests. Instead, the REDD+ actions are to be used to incentivize the protection and conservation of natural forests and their ecosystem services, as well as enhancing

Category	Safeguard	Objectives of the safeguards
		other social and environmental benefits, such as improving the status of areas of biodiversity importance.
	<i>vi. Address the risks of reversals</i>	If REDD+ actions are vulnerable to institutional failure, emissions reductions achieved may be lost.
	<i>vii. Reduce displacement of emissions</i>	REDD+ actions to tackle demand for new agricultural land rather than shift it from one location to another, whether locally, nationally or internationally.

Source: Presentation by Elina Vaananen 05.05.2015

Group work

In groups of two, participants were requested to discuss and reflect on the safeguard requirements and what safeguards mean to them. A clarification was made that Cancun safeguards as the as the UNFCCC safeguards.

The highlights of participants' discussions included the following: reflections

- Issues of governance should be put into consideration.
- Need to identify the gap/difference between the drivers of deforestation and forest degradation
- Need to ensure that the livelihoods of the people are considered but also the interests of the environment are considered.
- Participation of stakeholders should be enhanced
- Discuss the ways and means of accessing the outcomes of safeguards at national and international level probably through sustainable financing mechanisms

2.1.2 The UNFCCC Safeguards Requirements

There are essentially three main requirements of the UNFCCC Safeguards.

1. REDD+ countries are required to promote and support the Cancun Safeguards throughout REDD+ implementation;
2. A Safeguard Information System (SIS) must be developed to provide information on how the country is addressing and respecting the Cancun safeguards;
3. A Summary of information from the SIS on how the Cancun safeguards are being "addressed and respected" must be prepared and submitted through countries' national communications and voluntarily on the UNFCCC web-based information hub before a country can access Results-Based Payments.

Ms. Vaananen elaborated on the terms "addressed and respected" as used in the context of the UNFCCC safeguards requirements. She explained that the term "**addressed**" refers to arrangements, (including institutions, policies, regulations, strategies, agreements, etc.) that are

relevant to a given safeguard, while "respected" refers to the fact that arrangements (e.g., policies etc.) must be implemented effectively and the difference they make on the ground be noted.

2.2 What is a Safeguard Information System?

The Safeguard Information System was defined as a system for providing information on how the Cancun safeguards are being "addressed and respected" during implementation of REDD+ activities. Ms. Runsten informed participants that result based payments for countries are dependent on the countries having in place (a) the National Strategy/Action Plan, (b) Forest Reference Emission Level/Reference Level, (c) a National Forest Monitoring System, and (d) a Safeguard Information System.

2.2.1 Guiding principles for development of a Safeguard Information System (SIS)

- Should be country-driven and implemented at national level so that there is national ownership and the correct information is included in the system;
- Should be consistent with the Cancun safeguards;
- Should be built on existing systems;
- Should be accessible to all relevant stakeholders;
- Should be updated on a regular basis; and
- Should be transparent and flexible to allow for improvements over time.

Ms. Runsten stressed the use of existing information collecting systems to avoid the construction of the SIS becoming an extremely expensive exercise. She noted that where necessary, some adjustments could be made to the existing information systems to allow new information to be fed into the system. She shared a template for providing safeguards summary information from the safeguard information system (table 2).

What?	Who Provides?	To whom?	When?	Linked to?
How all of the Cancun safeguards are being addressed and respected throughout the implementation of REDD+ activities	Governments	UNFCCC	National Communications to UNFCCC (every 4 years) or voluntarily, via UNFCCC web platform (periodic submission)	Summary required for results based payments

Decisions 12 and 9/CP.19 (Warsaw)

2.2.2 Safeguards information system design

The SIS design requires objectives of the safeguard information system to be described first before embarking on the actual design of the system e.g., whether the information should only reflect the minimum safeguards requirements under the UNFCCC or whether additional information should be included. Secondly, in determining the information needs and structure, consideration should be

made on the type of information needed, efficiency and also the structure of how this should be organized and who should be involved. She noted that information sources should be identified through a detailed review of existing information processes and systems and then where gaps are identified, new information sources be consulted.

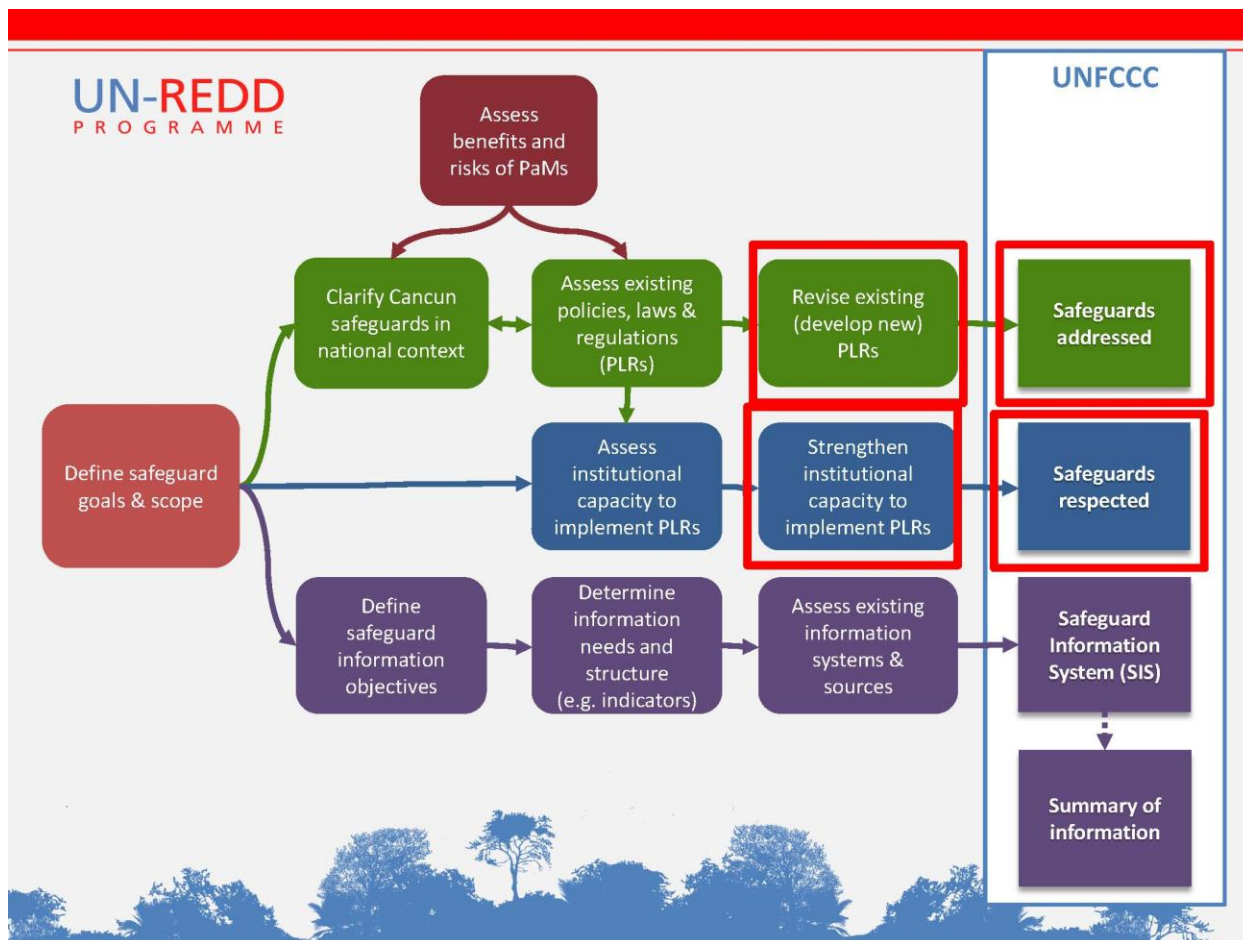


Figure 1: Diagrammatic representation of the system design

2.2.2.1 Determining the objectives of the Safeguards Information System

The potential benefits of expanding the objectives were highlighted as follows:

- Additional information collected based on the expanded objectives can help improve the management of the country's REDD+ process.
- Can be useful beyond the REDD+ process, e.g., information on monitoring would also be useful for forest management and other processes in Uganda related to forest management.
- Renders greater legitimacy of REDD+ leading to increased transparency. This information can interest donors and hence attract more funding.

- Safeguards information can be used to inform decision making at country, regional and local levels (evidence based governance).

2.2.2.2 Determining information needs and data collection processes

The presenter shared a number of guiding steps (indicated below) to be considered in carrying out information needs assessments and data collection processes:

- i. Identification of indicators or other types of information to be collected**
- ii. Identification of methods and information types (e.g. household surveys; participatory approaches to collecting field data)**
- iii. Who will collect data / institutional roles?**
- iv. Frequency of data collection**
- v. Quality assurance / internal evaluation process**
- vi. How will information be stored?**
- vii. Information sharing at UNFCCC, country, and key stakeholder levels**

i. Development of indicators

In her presentation, Ms. Runsten defined an indicator as “a measure based on verifiable data that conveys information about more than itself”. Indicators are one way of providing information on how the Cancun safeguards will be addressed and respected during implementation of the REDD+ activities. Ms. Runsten pointed out that successful indicators have to be scientifically valid, based on available data, produced repeatedly over time, responsive to change, easily understandable, relevant and used. Indicators also need to be Specific, Measurable, Achievable, Relevant and Time bound (SMART).

ii. Identifying information sources

Information may be obtained from a number of sources including National population censuses, National forest inventories, Systems supporting national implementation of other international conventions, e.g., National Biodiversity Strategies & Action Plans (NBSAPs) under the Convention on Biological Diversity (CBD), Sustainable forestry and agricultural commodity standards (including auditing reports), Forest Law Enforcement, Governance and Trade (FLEGT), Voluntary Partnership Agreements (VPA), Timber Legality Assurance Systems (TLAS) and Grievance mechanisms, among others. She mentioned that the relationship between information collected and safeguards information system; (e.g., the net change in forest area over time), could be an indicator of availability of forest resources, progress in forest conservation, intensity of threats to forest ecosystems and conservation status of forest dependent species. The table below illustrates such a relationship.

Example information collected as part of the forest inventory	Potential example use as an indicator as part of a Safeguard Information System
Indicator species or species diversity	The presence or absence of certain species or wildlife abundance could be used as an indicator of biodiversity or forest quality
Household surveys (use, users, beneficiaries)	Could be used as source of indicators of pressure on forest resources/resource use trends/livelihoods, and access to resources
Non-timber forest products (NTFPs)	Presence or absence could be used as an indicator of availability of forest resources or as the potential for enhancing local livelihoods

iii. Participation and communication

Ms. Runsten tasked participants to always critically consider pertinent questions that require decisions to be made in regard to information needs and data collection processes:

1. Who is responsible for developing/collecting/analyzing the data?
2. Which stakeholders will participate in development of SIS and provision of information?
3. Which organization will produce the summaries of information, and what will it include?

She called attention to coordination and cooperation between institutions to ensure a smooth flow of information.

2.3 Country Approaches to Safeguards

In describing country approaches to safeguards. Ms. Runsten revealed that some countries have faced some challenges in regard to safeguards. She noted that while safeguards are country specific; experiences in other countries would help in shaping the development of safeguards in another country such as Uganda. She reiterated the fact that while the requirements of the UNFCCC may be country specific, the country may choose additional "safeguards" to those of the UNFCCC and this is because national circumstances, the kind of systems that exist in a country, the national priorities for REDD+, among others, must be taken in consideration, while employing a step by step approach of developing the safeguards.

2.3.1 Steps to a Country approach to safeguards

Ms. Runsten highlighted a broad framework or structure entailing a series of logical steps on how a country might want to structure their country's approach. She noted that the steps indicated are informed by UN experiences from other countries on safeguards.

Step 1. Define Goals and Scope of a Country Approach

Goals may only be limited to country safeguards covering the UNFCCC minimum requirements, other donor requirements or additional national priorities. In addition, other organizations also could have safeguard requirements that a country may find applicable e.g., World Bank Operational Policies (FCPF), Voluntary Carbon Standard, Bilateral Requirements and Green Climate Fund. The scope of a country approach is determined by activities to be covered by the safeguards approach;

e.g., activities expected to yield results-based payments, all policies and measures in a National Strategy, as well as broader forest and land sectors, among others.

Step 2. Clarify Cancun safeguards in national context

A country should be able to understand the Cancun safeguards and elaborate on them. Understanding of the Cancun safeguards ensures addressing issues of national concern. In addition, a benefits and risks assessment of proposed policies and measures can help determine what benefits and risks the safeguards should cover.

Step 3: Assess existing Policies, Laws, and Regulations

A policy is a strategic, guiding or planning document prepared by a government institution and describes a vision to address a specific issue or theme. A policy is issued by an executive body (e.g., a Ministry) as a legally binding instrument to apply the laws and to provide operational directives.

A law is a legally binding act (which creates rules that can be legally enforced). A law is enacted by a legislative body (e.g., Parliament).

She noted a number of questions that a country might consider while assessing its policies, laws and regulations. e.g.,

- **Are there relevant arrangements including policies, laws, regulations in place that cover the safeguards in a sufficient way?**
- **Do they cover all benefits and risks that have been identified for Uganda or are there gaps in the legal framework?**
- **How effective are the institutional or political arrangements?**
- **Are they in position to ensure that the safeguards are respected; and gaps in policies, laws and regulations are addressed during implementation?**

Importantly, the key questions to consider on Safeguards Information System include:

- i. What information is needed to demonstrate that safeguards are being addressed and respected?
- ii. What is the existing information and systems to demonstrate that safeguards are addressed and respected? What are the gaps?
- iii. What steps are needed to be taken to address these gaps?

3.0 Session 2: Understanding how the safeguards process fits into the overall REDD+ process - Ms. Lisen Runsten

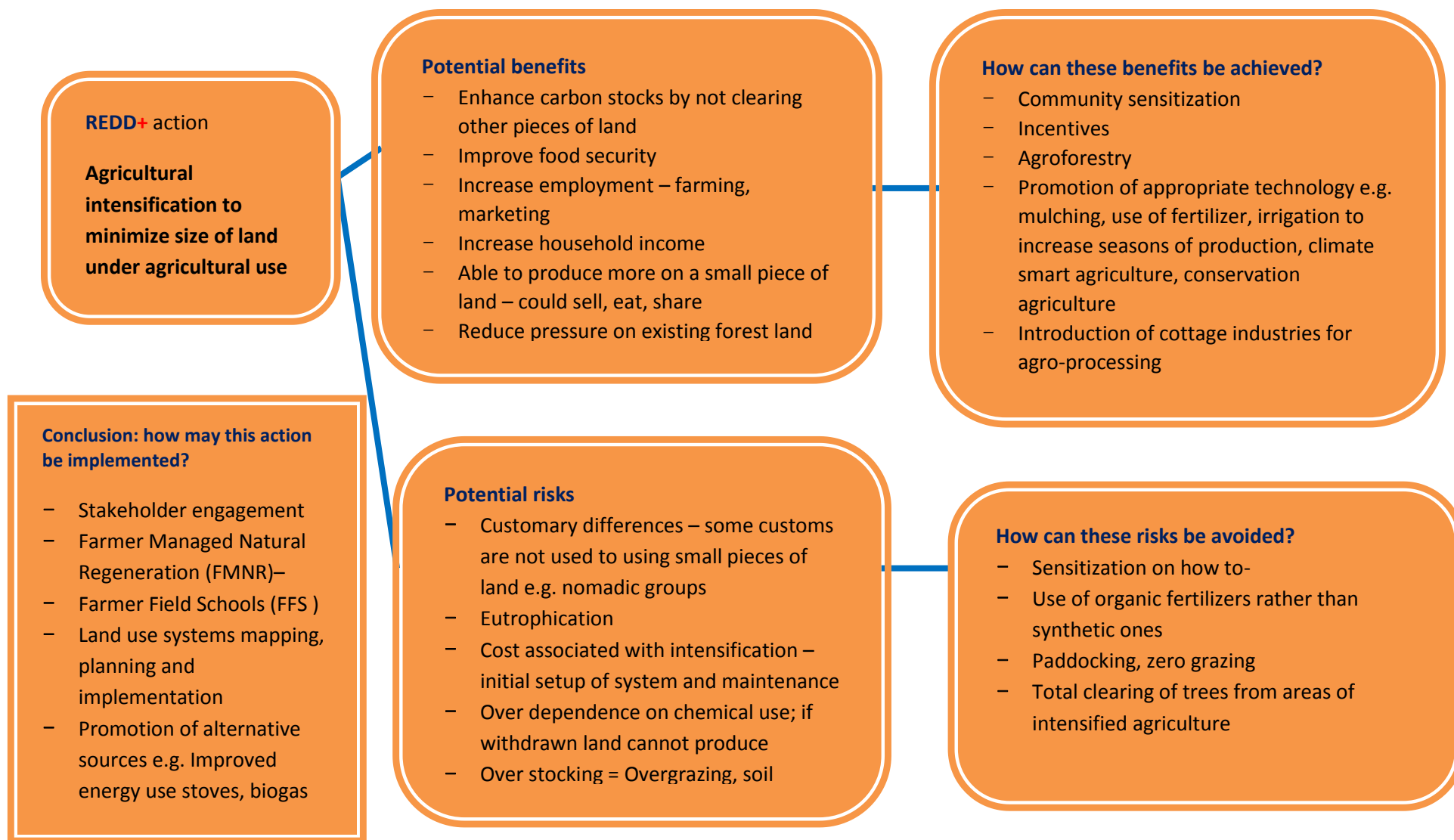
Session 2 was a group discussion aimed at identifying and understanding key linkages between the national strategy process and safeguard process; and the reasons for assessing the potential benefits and risks of draft policies and measures (PaMs). The session leaders, Ms. Vaananen and Ms. Runsten informed participants that in developing a national REDD+ strategy, a number of things such as outlined below must be put into consideration.

- a) A very useful starting point is to start thinking about the drivers and hence the actions needed to address them. Both drivers and the actions proposed to address them feed into the conditions of the safeguards.
- b) A benefit and risk analysis /assessment allows a generation of a draft of policies and measures to implement; and during this process, a couple of things may need to be formulated differently or may be revised. This process is part of the safeguard process, which involves planning to manage the benefits and risks.
- c) A feedback mechanism must be prepared and included.
- d) The benefits and risks assessment is also crucial to link into the clarification of the country's safeguards system. This helps to think through what safeguards should be formulated to be able to address those risks; e.g., looking at plans, policies, laws, institutions and regulations in order to operationalize these safeguards.

The session leaders introduced and led a group discussion to identify key linkages between the national REDD+ strategy process and safeguard process to assess the potential benefits and risks of REDD+ Policies and Measures (PaMs). Three REDD+ actions were discussed and the output of the discussions is presented below (Fig 2.). The three REDD+ actions were: **(1) Regulating charcoal production and trade (2)increasing timber stocks countrywide to reduce pressure to current stock, especially in natural forests, and (3) Agricultural intensification to minimize size of land under agricultural use.** Participants were divided into six groups and they addresses the REDD+ actions as follows: Group 1 and 4 considered action 1; Groups 2 and 5 considered action 2 and Groups 3 and 6 considered REDD+ action 3.

Figure 2. Identifying potential benefits and risks of REDD+ Policies and Measures (PaMs)

Group 1:



REDD+ action

Agricultural intensification to minimize size of land under agricultural use

Potential benefits

- Reduced encroachment on forest reserves
- Increased yields per unit area
- Reduced land demand for agriculture
- Increased income
- Improved nutrition/health
- Access to education because of improved income
- Sustainable forest management

How can these benefits be achieved?

- Mechanization/technology use
- Increased agro-inputs
- Use of improved varieties
- Value addition throughout production chain
- Training and capacity building
- Financial resources
- Specialization and Landuse planning

Conclusion: how may this action be implemented?

- Use of science and technology and sensitization communities

Potential risks

- Acceptability of improved varieties
- Affordability of new technology
- Genetically Modified Organisms (GMOs)
- Population explosion
- Potential risks from Agro-inputs
- Potential risks from chemicals
- lack of markets due to overproduction
- increased unemployment
- increase in land demand
- post harvest losses due to overproduction
- potential increase in emissions
- unplanned families
- possibility of excluding poor/weak becoming landlords
- increased land demand

How can these risks be avoided?

- Encourage agroforestry
- Zoning for specific land uses
- Encourage boundary tree planting
- Continuous sensitization and awareness creation among communities
- Stakeholder engagement political; private sector, NGOs, Districts and communities among others
- Encourage planting of indigenous tree species
- Careful selection of tree species
- Encourage planting of multipurpose of tree species

Group 2:

REDD+ action

Regulating charcoal production and trade

Conclusion: how may this action be implemented?

- Use improved technologies
- Enact supporting laws and policies
- Institutional development of traders
- Establishment of energy woodlots
- Research for suitable tree species for charcoal production
- Implement a tax regime for charcoal trade
- Establish a clear charcoal value chain

Potential benefits

- Efficient utilization of wood resources
- Increased volumes/yields of charcoal
- Improved quality of charcoal
- Sustainable charcoal production
- Reduced carbon emissions
- Reduced deforestation
- increased income through taxing, licensees, and export
- Reduced erosion
- conservation of biodiversity/particular tree species/regeneration of particular tree

Potential risks

- Shifting pressure to firewood extraction
- Threatening livelihoods of people currently involved in charcoal trade
- If technologies don't improve efficiency to charcoal production, costs of living will increase due to increase in costs of alternative fuels
- Increased costs of implementing laws (compliance, monitoring & law enforcement)

How can these benefits be achieved?

- Use improved technologies e.g. charcoal kilns, energy saving stoves
- Establishing energy woodlots
- Formulate and enforce policies and laws and regulations on extraction of charcoal and charcoal trade
- Enact statutory instrument on charcoal taxes
- Form associations of charcoal traders/companies for easy taxing and

How can these risks be avoided?

- Improved technologies for increased production of charcoal
- Formulation of charcoal producers associations
- Provide cheaper alternatives of fuels such as solar, biogas, and briquettes
- Build on existing institutions
- Use participatory approaches (per monitoring and enforcement)
- Put in place laws and popularize them

REDD+ action
Regulating charcoal production and trade

Potential benefits

- Reduce deforestation
- -Increase revenue to the country.
- -Reduce carbon emissions.
- -Catchment benefits (water, biodiversity).
- -Sustainable use of forest resources by forest dependent communities.
- -Better conservation of under seed indigenous species.

How can these benefits be achieved?

- Find alternative affordable sources of fuel.
- Provide subsidized quality social services
- Provide incentives.
- Take enforcements to grass root level.
- Sensitization on sustainable forest management.
- Support planning and incentives.
- Strengthened local institutions
- Enforcement and compliance to regulations.
- Ensure rights of women and other marginalized groups.

Conclusion: how may this action be implemented?

- Identify alternative affordable energy sources
- Strengthen regulation and enforcement through measures
- Ensure that women and other marginalized groups rights are secured

Potential risks

- Loss of income in the entire chain.
- Loss of livelihoods for the most vulnerable
- Displacement of subsistence livelihoods for charcoal production.
- Security of tenure i.e., customary versus titled land.

How can these risks be avoided?

- Provide subsidized quality social services.
- Regulation of acreage offered for charcoal production by management institutions.

Group 3:

REDD+ action

Increasing timber stocks countrywide to reduce pressure to current stock,

Potential benefits

- Sustainable sources of timber
- Source of employment
- Improved livelihoods and income
- Appreciation of the need to plant trees
- Contribute to climate change mitigation
- Biodiversity preservation
- Healthy natural forests
- Regaining initial benefits from the forests e.g. herbs, fruits, food

How can these benefits be achieved?

- Formulate byelaws and ordinances
- Strengthen enforcement of existing laws and regulations
- Strengthen institutional are capacitated
- Empower communities through sensitization
- Provide tree planting materials e.g. seedlings
- Control fires

Conclusion: how may this action be implemented?

- Use a multi sectoral approach

Potential risks

- Competing land use systems i.e., timber versus agriculture
- Loss of biodiversity
- Resistance of communities to tree growing
- Emergency of invasive species like *Lantana camara*

How can these risks be avoided?

- Encourage agroforestry
- Zoning for specific land uses
- Encourage boundary tree planting
- Continuous sensitization and awareness creation among communities
- Stakeholder engagement political; private sector, NGOS, Districts and communities among others

REDD+ action

Increasing timber stocks countrywide to reduce pressure to current stock,

Potential benefits

- Stable timber markets; Guaranteed timber supply.
- Opportunity for dependable new asset class investment.
- Biodiversity conservation
- Attracting foreign direct investment.
- Boost of timber export

How can these benefits be achieved?

- Certifications of timber plantation, grading.
- Implement policies that enable foreign direct investment.
- Implementation of forestry regulations
- Create incentives for private owners with natural forests.

Conclusion: how may this action be implemented?

- Bringing on board private sector to invest land and finances
- Implement good forest governance principles i.e., land, policy, implementation

Potential risks

- Possibility of encroaching on agricultural land.
- Introduction of pollutants from agro inputs used in forestry.
- Increase of land rights abuses i.e., Some individuals to own and buy out poorer land owners.
- Loss of customary rights over access to certain resources.
- Raise many expectations

How can these risks be avoided?

- Land use planning and zoning at village level.
- Create mechanism / platform of grievance management.
- Community benefits mechanism.
- Concerted effort between NEMA and UBOS to ensure agro in-put are in line with environmental protection.
- Sensitization and raising awareness of participants to enable them to make informed decisions.

4.0 Session 3: Guidelines on stakeholder engagement - Sophie Kutegeka (IUCN)

In her presentation, Ms. Kutegeka informed participants that guidelines on Stakeholder Engagement for the REDD+ process build on the UN-REDD/FCPF guidelines. She noted that in 2011, the government of Uganda prepared a robust, inclusive, and elaborate Consultation and Participation (C&P) Plan with four elements: (1) Consultation and Participation plan, (2) Communication and Awareness plan (C&A), (3) Feedback Grievance plan and (4) Redress plan. In addition, the gender road map component of the C & P was also prepared; effectively making the Consultation and Participation plan with five elements.

4.1. Objectives of Uganda's Consultations and Participation Plan

1. REDD+ strategies and implementation framework should be informed by stakeholders' views and contributions.
2. REDD+ implementation progress should be known and monitored by stakeholders.
3. REDD+ benefits should be accessible by stakeholders across sectors and at all levels.
4. REDD+ strategy should contribute towards national development priorities.

4.2 Stakeholder analysis and mapping

Ms. Kutegeka noted that there are different categories of stakeholders including government institutions, local communities, civil society, private sector, academia, the media and all development partners; with each category having its respective roles and interests in the national REDD+ process. She explained that the strategy is very clear on the roles of the different government institutions. The role of government is to recognize and support the integration and implementation of REDD+ in the national processes and policies.

She observed that special interest groups which include women, the vulnerable and marginalized groups, forest dependent communities, and pastoralist/farmer groups are all clearly defined in the C and P, including their expected roles in the REDD+ process. All these groups must understand and know the costs and the benefits involved and their role and stake in the process.

The roles of the international and local NGOs and CBOs are very clear in terms of advocacy, mobilizing and reaching out to the wider stakeholders so that they can all participate in the national REDD+ process. She informed the participants that the private sector were also included because their actions may impact either negatively or positively on the REDD+ process.

4.3 Sequencing and phasing the implementation of the C&P Plan

Ms. Kutegeka explained the three phases involved in this process. The **first phase** is setting up the Consultation and Participation structure where the different categories of stakeholders are mapped and their structure defined. This allows enhancing awareness of national REDD+ issues among stakeholders. The **second phase** is about facilitating the consultations to discuss the key issues emerging from detailed expert assessments on drivers, tenure, REDD+ process institutional structure, MRVs, benefit sharing and SESA, among others. This phase will ensure that all the structures put in place and the different categories of stakeholders identified are involved and

contribute to these processes. The **third phase** is facilitating stakeholder input into the design of the strategies, policies and structures; a level of empowerment where people are aware of the process, of the benefits, of the risks and are contributing to the REDD+ process.

At regional level, the proposed structure in the consultation and participation plan starts at parish level. The different categories of stakeholders to constitute the regional forum are identified so that there is clear representation of the different regions. Each region is expected to have a forum which will then feed into the national process. The national consultative forum which gets issues from the regional fora feeds into the RPP structure with a clear feedback mechanism.

5.0 Session 4: Sharing lessons from the World Bank Water Management and Development Project- Mr. Aguma Aggrey

The World Bank Water Management and Development Project started in 2013. The main objective was to improve integrated water resource planning, management and development and also to improve access to water and sanitation services.

The success of the project has been attributed to the approaches used and they include the following.

1. The Participatory planning and water management zoning approach was used to select priority investments.
2. Improvement of the national water resources monitoring and information systems and the preparation of the Kalagala offset sustainable management plan.
3. Proper institutional and coordination structures involving:
 - a. Procurement and Administration staff
 - b. Water and Environment Sector Working Group within the Ministry of Water and Environment
 - c. National Water and Sewerage Corporation (Board of Trustees)
 - d. Sub components being coordinated and advised by the respective directorates of the MWE and NWSC.
4. Undertaking Environmental and Social Impact Assessments to consider and prioritize appropriate environmental and social safeguards, through an environmental and social management framework. The framework enables categorization of likely risks (moderate impacts and significant impacts) and appropriate safeguards to mitigate such risks.
5. A reporting mechanism in line with the overall projects designed framework monitoring matrix which details results and indicators for each project sub components; such as targets, frequency of data collection, reporting, data source, and methodology.
6. Scheduled World Bank supervision missions to assess project activities.

DAY 2

Day 2 started with a recap of the previous day's deliberations.

6.0 Session 5: Identifying desired impacts of REDD+ in Uganda; and goals of the safeguards approach - Xavier N. Mugumya

In his presentation, Mr. Mugumya described how the REDD+ process in Uganda was initiated and explained that REDD+ is about policy approaches and positive incentives on issues relating to mitigation actions in the forest sector through reducing emissions from deforestation; reducing emissions from forest degradation, conservation of forest carbon stocks, sustainable management of forests, and enhancement of forest carbon stocks. He observed that the REDD+ process requires development of the following elements.



1. A national strategy or action plan;
2. A national forest reference emission level and/or forest reference level;
3. A robust and transparent national forest monitoring system
4. A system for providing information on how the safeguards are being addressed and respected throughout the implementation of the activities

He noted that when developing and implementing national strategies or action plans, Uganda is expected to address drivers of deforestation and forest degradation, land tenure issues, forest governance issues, while considering gender issues as well as safeguards.

6.1 UNFCCC expectations of REDD+ activities

Mr. Mugumya noted the expectations of the UNFCCC from REDD+ countries during implementation of REDD+ activities. He outlined the UNFCCC requirements of the participating countries to be as follows:

- Be consistent with the adaptation needs of the country;
- Be supported by adequate and predictable financial and technology support, including support for capacity building;
- Be results-based;
- Promote sustainable management of forest;
- Contribute to the achievement of the UNFCCC Convention;
- Be country-driven and be considered options available to Parties;
- Be consistent with the objectives of environmental integrity and take into account the multiple functions of forests and other ecosystems;

- Be undertaken in accordance with national development priorities;
- Be consistent with national sustainable development needs and goals;
- Be implemented in the context of sustainable development and reducing poverty, while responding to climate change.

He explained that **Uganda envisions REDD+ to act as a catalyst** to restore the role of forests, trees and forestry sector as an integral part of Uganda's green growth, and to do it in such a way that;

- Deforestation (currently estimated at about 90,000 ha per year) is reduced to the 1990 baseline by 2040;
- Forests are restored so that they can meet environmental, livelihood, economical and (cultural) needs and provide these services in perpetuity;
- Forestry institutions have the capacity to deliver and coordinate with other sectors;
- Institutions linked to drivers of REDD+ cooperate and act to address them.

5.2 Goals of Uganda's country approach to REDD+ safeguards

Mr. Mugumya noted a number of considerations for setting the goal and scope of a country approach to safeguards that include the four elements, i.e., the strategy, the baselines (FERL/FRL), the NFMS and the SIS. He further remarked that the successful implementation of the strategy will deliver both carbon and non-carbon benefits; but cautioned that they may have risks as well, hence the safeguards.

He noted that Uganda's target of the REDD+ process goes beyond carbon to include non-carbon benefits. In order to have the non-carbon benefits, he explained that an integrated approach to safeguards would contribute to delivering towards the arrangement of carbon and non-carbon benefits. He highlighted four elements within the integrated and functional system that are necessary to develop information on safeguards (1) a national safeguards standard, (2) a dedicated social environment and strategic assessment which is the minimum required in order to receive and use the World Bank desk support, (3) identify, map and prioritize biological biodiversity and ecosystem based multiple benefits of REDD+ and (4) to elaborate an integrated safeguards system and architecture that combines all those elements including the ambitions the country may choose to take.

Mr. Mugumya explained several reasons for establishing strong REDD+ safeguards.

- Ensure that there is more equitable distribution of the benefits and costs of REDD+;
- Design REDD+ schemes that will be more sustainable by taking into account wider socio-economic issues and environmental concerns that are likely to be important in addressing the underlying drivers of deforestation;
- Increase investment in REDD+ because safeguards can reduce risk, a key factor in investment decisions;
- Meet the safeguard requirements of many of the international organizations funding (or likely to fund) REDD+;

- Reduce risks, thus helping to deliver social and environmental benefits of REDD+.

5.3 Country approaches to REDD+ safeguards

Three potential approaches to establish REDD+ safeguards in Uganda were outlined. (1) **The complete clarification of the different types of safeguards that Uganda as a country decides to choose.** Mr. Mugumya noted that in addition to the Cancun safeguards, there are other sets of safeguards that must be considered in order to target the different incentive holders. Therefore, it is important that all safeguards be identified and clarified, and a set of criteria and indicators be developed to remove ambiguity. (2) **Conducting a participatory strategic environmental and social assessment (SESA)** and (3) **identify and as much as possible map prioritized biodiversity and ecosystem based multiple benefits of REDD+.**

5.4 Objective of designing a functional SIS

To elaborate an integrated approach for identifying and managing social and environmental risks and benefits that will arise from the implementation of REDD+ activities; in such a way that it is consistent and complies with National, Regional, International and Development Partner (Donor) safeguard frameworks.

5.5 Products of the National Safeguards System

- National REDD+ Safeguards
- National/sub-national system of monitoring and providing information on how safeguards are being addressed and respected during the implementation of REDD+ activities
- An Environmental and Social Monitoring Framework, developed through the Strategic Environmental Social Assessment process
- Spatial information products to facilitate the design of REDD+ actions that can respect the National REDD+ Safeguards and realize multiple benefits
- Elaboration of an Integrated Safeguard Systems architecture including, as necessary, a linkage with the national forest monitoring system (NFMS) and its associated registry steps

6.0 WORKSHOP RECOMMENDATIONS

1. Caution should be taken when looking at prioritizing of safeguards.
2. Mechanisms should be put in place to enhance back and forth interactions (Feedback mechanism).
3. Members were encouraged to love what they are doing and commit to this great cause.
4. Communication should be enhanced. Members were encouraged to communicate when called upon to have their input even if they cannot make it for the meetings due to other commitments.
5. Other stakeholders should be involved as opposed to having work done by the Secretariat alone.

6. To derive the activities of the work plans from the sectors because each of the sectors has a tested approach.
7. Information from initiatives piloting REDD+ should be shared in order to fine tune the safeguards.

ANNEX I: LIST OF PARTICIPANTS

Institution	Name	Gender	E-mail	Categorization Membership
1. UNEP World Conservation Monitoring Centre	Alina	F		Development Partners Membership
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3. CARE International in Uganda	Kandole Annet	F	akandole@co.care.org	FLEGT National Technical Advisory Committee
4. WWF	Martin Asiimwe	M	masiimwe@wwfuganda.org	FLEGT National Technical Advisory Committee
5. WCS	Grace Nangendo	F	nangendo@alumni.itc.nl	Methodological Taskforce
6. Ministry of Agriculture, Animal Industry and Fisheries (MAAIF)	Annunciata Hakuza Nkezza	F	maaifewu@yahoo.co.uk	NTC Membership
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8. Directorate of Environment Affairs (DEA: Department of Environment Sector Support (DESS))	Robert Charles Aguma	M	robertaguma@yahoo.com	NTC Membership's Nominee
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10. NARO -NaFORI	Denis Mujuni	M	d.mujuni@yahoo.com	NTC Membership
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Institution	Name	Gender	E-mail	Categorization Membership
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23. FSSD – MWE	Maria Nabukenya	F	fleriam@yahoo.com	REDD+ Secretariat

Institution	Name	Gender	E-mail	Categorization Membership
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35. Uganda Forestry Association (UFA)	David Walugembe	M		SESA/Safeguards Membership
36. Private Expert	Sheila Kiconco	F	sheilakiconco@yahoo.com	SESA/Safeguards Membership
37. IUCN	Sophie Kutegeka	F	sophie.kutegeka@iucn.org	SESA/Safeguards Membership

Institution	Name	Gender	E-mail	Categorization Membership
38. MAK: College of Agricultural and Environmental Sciences (CAES): Environmental Management: Biodiversity Data Bank	Kellen Aganyira	F	aganyira@chuss.mak.ac.ug	SESA/Safeguards Membership's Nominee
39. MAK: College of Agricultural and Environmental Sciences (CAES): Environmental Management: Biodiversity Data Bank??	Christopher Mawa	M	cmawa@caes.mak.ac.ug	SESA/Safeguards Membership's Nominee
40. MAK: College of Agricultural and Environmental Sciences (CAES): Environmental Management: Biodiversity Data Bank??	Luyima Sharif	M	luyimasharif@gmail.com	SESA/Safeguards Membership's Nominee
41. MAK: College of Agricultural and Environmental Sciences (CAES): Environmental Management: Biodiversity Data Bank??	Ruth Kawesa	F	ruthcaes@mak.ac.ug	SESA/Safeguards Membership's Nominee

Annex II: GROUP SESSIONS

Paragraph 70 encourages developing country parties to contribute to mitigation actions in the forest sector by undertaking the following activities, as deemed appropriate by each party in accordance with their respective capabilities and national circumstances:

- a) Reducing emissions from deforestation
- b) Reducing emissions from forest degradation
- c) Conservation of forest carbon stocks
- d) Sustainable management of forests
- e) Enhancement of forest carbon stocks

In six groups, participants considered different UNFCCC Guidance and Cancun Safeguards in relation to the REDD+ activities referred to in paragraph 70 of the UNFCCC Decision 1/CP.16, so that the safeguards are clarified in the Ugandan context to cover the social, environmental and economic issues of importance in Uganda. Participants were also required to better clarify the Cancun safeguards so that it is possible to collect information on them.

Group 1 and 4 considered the issues of governance and consistency with existing commitments

Group 2 and 5 considered the issues of Stakeholder and National priorities

Group 3 and 6 considered the issues of Environmental Safeguards and Social & Environmental benefits

To understand how Uganda will implement activities as guided by the UNFCCC and in line with the Cancun safeguards, participants were guided by the following questions:

1. How can the Cancun Safeguards be clarified so that they cover the social, environmental and economic issues of importance for Uganda
2. How can the Cancun Safeguards be further clarified (e.g. into indicators) so that it is possible to collect information on them?

Group 1&4: Governance and consistency with existing commitments

How can the Cancun safeguards be clarified so that they cover the social, environmental and economic issues of importance in Uganda

1. Identify the risks for each action of each safeguard, in relation to the country context, institutional mandates and international commitments so that clear actions are developed and integrated in sectoral plans and processes; e.g., are their issues about the safeguards linked to achieving transparent and effective national forest governance structures? What? Who? When? There is need to go beyond just forestry so that the links are clear.

2. Review the current governance set up/structure to assess the issue of transparency and accountability to support achievement of the actions (institutional, regulatory, etc)

How can the Cancun safeguards be further clarified (e.g., into indicators) so that it is possible to collect information on them?

1. Clear commitments both at international and national levels but actions may hinder; e.g., increasing forest cover by way of enhancing carbon stocks through plantations may have negative implications on safeguard e and f; may compromise biological diversity e.g., if it requires conversion to plantations
2. Source of livelihoods for people where the livelihoods are being established
3. Putting in place options
4. Increased forest cover in line with international commitments
5. Increased household incomes as a result of increased restoration activities – this could have negative implications on the biological diversity
6. Increased implementation of the relevant forestry and climate change programmes, policies with full participation
7. Increased compliance to the international commitments, as seen at the national level
8. Strong M and E framework for the forestry sector with effective participation of stakeholders including compliance to international commitments and inter-sectoral linkages.
9. Clear benefit sharing system

Groups 2 & 5: Stakeholders and national priorities

1. The activities referred to in paragraph 70 of this decision should:

f) Be consistent with Parties' national sustainable development needs and goals

REDD+ activities should be consistent with Uganda's national sustainable development needs and goals as reflected in the (and others not mentioned);

- Uganda's constitution
- Uganda's vision 2040
- Uganda National Biodiversity Strategy and Action Plan
- National Forest Policy
- Forest Sector Investment Plan
- National Conservation Master Plan
- National Wetland Policy
- Uganda Wildlife Policy

h) Be consistent with the adaptation needs of the country

- REDD+ activities should be consistent with the climate change adaptation needs of the country. (Adaptations especially to disasters such as landslides and floods, food insecurity and other climate change effects)
- Therefore, as REDD+ activities are implemented, technological, meteorological, land use planning, disease and pest management, alternative livelihood options for forest dependent communities and ensuring food security should be addressed.

i) Be supported by adequate and predictable financial and technology support, including support for capacity building (capacity building involves human resource, technological and financial)

- Need commitment from government for financial support and implementation of laws and policies
- Need commitment from international organizations to provide funds
- There should be a buy-in and commitment to REDD+ by the communities
- There should be capacity building across all stakeholders (from national to grassroots levels)

j) Be result-based;

- There is need to set time bound targets or clear targets (SMART)
- Need means of verification and a clear monitoring plan with technical and financial back stopping
- There should be reporting and feedback mechanisms to all stakeholders

2. When undertaking the activities referred to in paragraph 70 of this decision, the following safeguards should be promoted and supported

c) Respect for knowledge and rights of indigenous people and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the rights of Indigenous People;

Indigenous people are poor and marginalized people whose livelihoods depend on forest resources

- Find out the rights of the indigenous people, how REDD+ is likely to affect them or violate them. Thereafter, ways of avoiding effects should be identified and implemented.
- There should be provision of alternative sources of livelihoods for the indigenous groups of people.
- There should be controlled access to resources that form a central part of the lives of the indigenous people.

- Reasons as to why the indigenous groups of people utilize some resources should be found out before a decision is made on whether to find alternatives to the resources or to control access.

d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;

- Translate information into local languages
- Carry out FPIC

Group 3 & 6: Environmental Safeguards and Social and Environmental Benefits

d) Review the existing legal and institutional framework to see if they are consistent with the Cancun Safeguards.

If yes; adopt and implement.

If not; harmonize to include:

- Incentives
- Strong penalties
- Diversifying economy etc

g) Promote legal timber harvesting (certification)

- Promote use of forest management plans
- Strengthen institutional capacities of the related institutions including MWE, FSSD, NFA, DF (District Forest Officers)
- Avail training in sustainable forest management

k) Promote research and technology development

- Strengthen institutional capacities
- Promote collaborative forest management
- Awareness rising through IEC
- Encourage growing of high value and fast growing trees like the improved (new) muvule
- Popularize afforestation and re-afforestation
- Undertake economic valuation of forests in a bid to have it prioritized by the Government for adequate funding

e) Formulate and implement bye-laws

- Promote collaborative forest management
- Promote research and development
- Review benefits sharing mechanisms
- Promote payment for ecosystem services

f) Promote collaborative forest management to instill ownership among the communities.

- Promote affordable alternatives to forest alternatives e.g. bricks, solar energy, biogas etc
- Government interventions to create subsidies to support the alternative to forest products

g) Strengthen implementation of the legal and institutional frameworks

- Government subsidies on alternatives to forest products
- Promote agroforestry
- Innovations and new skills be promoted among communities

Annex III: Comments, Questions and Clarifications

Questions/ Reactions /comments	Responses/Clarifications
<p>Safeguards Implementation</p> <p>Might any of the Cancun safeguards be more challenging to promote and support?</p> <p>To address the drivers, the economy needs to be addressed too – do the safeguards account for that?</p> <p>There might be trade-offs among the safeguards – how to deal with those?</p> <p>That REDD+ will bring benefits for all stakeholders is not realistic – how to deal with unequal benefit distribution?</p> <p>How to sustain the outcomes of applying the safeguards - e.g. sustainable financing mechanisms and additional resources to keep participation active?</p>	<p>The purpose of the safeguards is to explicitly define negative consequences that should be avoided and positive ones that should be promoted. The country approach to safeguards – in Uganda’s case spelled out in the roadmap, constitute the planning process that will ensure that the preconditions needed for the safeguards to be met are in place. In the process of clarifying the Cancun safeguards for the national context, some challenges and trade-offs will become more evident (the workshop had a short session to give a taste of this process) and ideas for addressing them will emerge by looking at specific examples of actions to address the five REDD+ activities. More difficult tasks will require more thorough planning. It will be useful to keep in contact with peers in other countries that are going through the same process, to share solutions and lessons learned. After implementation has commenced, unforeseen circumstances may appear, and the national safeguards system should be able to capture and address those. Considerations such as fair benefit distribution, economic aspects and sustaining the effect of the safeguards can be addressed in the national safeguards system.</p> <p style="text-align: right;">Comments from UN-REDD</p>
<p>Questions and comments with regards to Safeguard Information Systems (SIS) and the country approach to safeguards</p> <p>Is the SIS expensive or affordable?</p> <p>What are the implications of developing the safeguards system beyond the UNFCCC requirements? What are the considerations for taking this decision?</p> <p>How could two-way information flows be designed between the institutions and stakeholders who will provide information to the government?</p> <p>Will there be feedback to stakeholders on how the information in the SIS is being used?</p> <p>Translate communication products to meaningful languages</p>	<p>The cost of the safeguards information system (SIS) will entirely depend on its scope. If many sources of information and well-functioning institutional structures for collecting and managing the information are already in place, the SIS could be inexpensive. If new data collection initiatives are necessary, and institutional structures are not well functioning, more extensive efforts to create these may be necessary. It is entirely up to each country how ambitious they want to be in developing the SIS.</p> <p>There is no specific guidance from UNFCCC in terms of the type and scope of data required for the SIS, other than that it should provide information on how all of Cancun safeguard elements are being addressed and respected (emphasis added). However, the SIS can be a tool that serves many purposes, and helps the country towards successful forest management. Uganda will be considering the costs and benefits of various SIS design options over the coming year.</p> <p>The UNFCCC text (FCCC/CP/2011/9/Add.2) says that the SIS should “provide transparent and consistent information that is accessible by all relevant stakeholders and updated on a regular basis”, which could be interpreted as a recommendation to make information available in appropriate languages and media.</p>

<p>and use appropriate media when providing information to stakeholders.</p> <p>How can one access funding sources?</p> <p>In Uganda we usually talk about PLR (policies, laws and regulations) PLI - including institutions, How to account for customary law in the policies, laws and regulations that could form the legal basis for the safeguards system?</p> <p>How to ensure enforceability of the national framework when the benefits are coming from the framework at the international level?</p> <p>What is the purpose of the safeguards system from the perspective of the REDD+ Secretariat?</p>	<p>Uganda will enlist existing enforcement arrangements or new ones if needed to meet our motives to attract benefits from different sources. We need to weigh requirements of safeguards against the benefits that these will provide.</p> <p>If we want to optimize the potential incentives, we should list them, and we will be doing that. The national and international incentives will be one source. We will create several options to understand if we should limit ourselves to only the Cancun safeguards, or also capture other safeguards that can give other incentives to our country. At the moments, we want to consider the benefits of these different options.</p>
<p>There is need for clarification on the last vision, which drivers are we referring to?</p>	<p>Noted for consideration by taskforce.</p>
<p>Vision is quite a broad statement in reference to some of the propositions, can we change it to mission instead of vision?</p>	<p>Noted for consideration by taskforce.</p> <p>The vision spelled out now is only the intention, not the final formulation. This discussion is part of this work of preparing a good ground plan. Then get it approved by KCC and ministry of lands. This will help to initiate the NS/AP discussion and breaking the ground for safeguards.</p>
<p>How is REDD+ going to be funded?</p>	<p>The forest department has been losing funding since the 1980s in comparison to other sectors. We want to build on REDD+ to bring to the attention of decision makers the opportunities of the forestry sector to benefit the country and give it back the same status as infrastructure.</p> <p>At the beginning of the century Uganda had 80% forests, and now climate change is taking its toll. Forestry is needed for adaptation to climate change. The forestry sector should be applied equally as other sectors to address the issues of Uganda. We should now work</p>

	<p>together to bring back the same level of prioritization.</p> <p>REDD+ is going to be funded at national level and incentives will be determined at the appropriate time of implementation.</p> <p>The international community agreed that there should be several sources of incentives, contributing to finance, technology and capacity. A market is just one of these incentives. Want a discussion in the next one year of which of these sources to focus on.</p>
What should be done to deforestation taking place every day especially from natural forests, shouldn't that be our focus?	Institutions are doing their mandate but with limitations. There is a lot of good work being done in the sector but the negatives are always talked about.
We are seemingly focusing on government owned forests which cover a smaller area as compared to privately owned forests. How is this fitting into current policy changes?	<p>There is a considerable number of private individuals who have had the opportunity to plant trees. We see this as supporting for REDD+. It is helping forest cover, and reducing the pressure on the natural forest. Planted tree species are intended to be harvested. The country is not focused on carbon only, asking what additional land can be anticipated to be set aside for growth. Within this context we identify areas where plantations are taking place. The incentive is insisting on a management plan, which will include a plantation. When we're preparing a baseline, we will be supporting additional replanting.</p> <p>The policies and incentives target the sector as a whole in which private forest owners are also included.</p>
There is promotion of commercial tree species which will be cut after a while.	<p>The reforestation mechanisms are less than a tenth of the deforestation of the baseline of the 1990 levels. We have to appreciate the contribution of about 100,000ha to reduction of emissions.</p> <p>To do what is required to stop deforestation and restore forests is a huge task - the gap is almost 1:9 currently. We're losing 90 000 ha ever year, but have only planted 90 000 ha in the last 10 years. Ideally we should be replanting everything lost.</p>
Are all safeguards equal; is there provision for revision of safeguards?	<p>It was recommended that the taskforce reflects on these safeguards and gives a guided result.</p> <p>As a country we are not in position to review the CANCUN safeguards.</p>
Is there a mechanism for comparing our interventions with those of others in the region?	Yes, there is a platform for information sharing between countries in the region but does not dictate on the position of others.

<p>Questions and comments with regards to stakeholder engagement:</p> <ul style="list-style-type: none"> • Will there be an assessment of the 2012 stakeholder engagement plan against the UN-REDD/FCPF guidelines? • What are the next steps? • Will there be an assessment of effectiveness of the plan? 	
<p>Comments following presentation by Xavier Mugumya: Preliminary thoughts on desired impacts of REDD+ in Uganda</p> <ul style="list-style-type: none"> • Need to look at the issue of institutions in a deeper way - main source of drivers of deforestation. Look at these two to get something that is measurable and possible to work towards. • Develop practical actions that can be taken 	
<p>Questions and comments:</p> <ul style="list-style-type: none"> • Sustainable management of forests is about policies, markets and institutions. Failures in these lead to unsustainable practices. Consider policies and markets. • How does REDD+ fit into the current processes of amending policies? • How are you intending to conserve the stocks when the species that are being planted are for business, intended to be cut down? 	<p>In the coming year, will be working on understanding what the requirements are for delivering for REDD+ and analyzing existing policies etc. to understand if they support that. If necessary will initiate a dialogue for amendment.</p> <p>There is a considerable number of private individuals who have had the opportunity to plant trees. We see this as supporting REDD+. It is helping forest cover, and reducing the pressure on the natural forest. Planted tree species are intended to be harvested. The country is not focused on carbon only, asking what additional land can be anticipated to be set aside for growth. Within this context we identify areas where plantations are taking place. The incentive is insisting on a management plan, which will include a plantation. When we're preparing a baseline, we will be supporting additional replanting.</p>