A.I.D. EVALUATION SUMMARY - PART I PD-ABM-408

IDENTIFICATION DATA

A.Reporting A.I.D. Unit	B.Was Evaluation Scheduled in Current FY Annual Evaluation Plan?	C. Evaluation Timing
Mission or AID/W Office USAID/Uganda	Yes [X] Slipped [ ] Ad Hoc [ ] Evaluation Plan Submission Date:FY 95 Q 1	Interim [X]Final[ ] Ex Post[ ]Other [ ]

D.Activity or Activities Evaluated (List the following information for project(s) or program(s) evaluated:if not applicable, list title and date of the evaluation report)

Project No.	Project/Program Title	First PROAG or Equivalent (FY)	Most Recent PACD (Mo/Yr)	Planned LOP Cost (000)	Amount Obligated to Date (000)
617-0123 617-0124	Action Program for the Environment	1990 1990	12/98 12/98	$10,000 $20,000	$18,885 $8,000

ACTIONS

E.Action Decisions Approved By Mission or AID/W Office Director	Name of Officer Responsible for Action	Date Action to be Completed
Action(s) Required		
1. Provide grants directly to local NGOs/CBOs.	GMU	3/96
2. Investigate options for turning GMU into foundation.	TR&D/GMU	12/96
3. Increase ICDP emphasis on income generating activities.	GMU	6/95
4. Increase GMU responsibility for grant administration.	GMU/USAID/GOU	3/96
5. Place APM position under institutional contract.	NRMA(USAID)	5/96
6. Focus APM on management planning and information management.	PA(PASA)	7/95
7. Place the CCA under the NEMA District Coordination Unit.	NRMA/TR&D	9/95
8. Narrow CCA responsibilities for greater impact.	NRMA/TR&D	9/95
9. Support evaluation of coverage of protected area system.	PA/TR&D	ongoing
10. Support establishment of coherent UWA management system.	PA/TR&D	ongoing
11. Assist with appropriate statement of collaborative management policy.	PA/TR&D	12/95
12. Initiate protected area research to address priority management problems.	PA/TR&D	12/95
13. Continue support to P.A.M. agencies: UNP, FD, WTI, UIE.	USAID/GOU	ongoing
14. Strengthen linkage between CBOs/NGOs, RC system, and NEMA to promote collaborative environment management planning.	TR&D/GOU	ongoing
15. Develop a UNP extension/community conservation development and education system.	PA/TR&D	ongoing

APPROVALS

F. Date of Mission or AID/W Office Review of Evaluation: (Month) May (Day) 17 (Year) 1995

G. Approvals of Evaluation Summary And Action Decisions:

	Project/Program Officer	Representatives of Borrower/Grantee	Evaluation Officer	Mission or AID/W Office Director
Name (Typed)	Daniel Moore Project Officer	Ben Dramadri P/S, MNR	Susan Fine Evaluation Officer	Donald B. Clark Mission Director
Signature	[signature]	[signature]	Susan F. Fine	[signature]
Date	3/15/96	3/21/96	15 March 1996	27 Mar. '96

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ABSTRACT

H. Evaluation Abstract (Do not exceed the space provided)

Activity Evaluated. The *Action Program for the Environment* (APE) was authorized August 20, 1991 and is scheduled to end December 31, 1998. The program's overall purpose is to assist Uganda's public and private sectors to more effectively and sustainably manage the natural resource base in selected areas, through policy reform and national environmental action planning, and rehabilitation and resource conservation.

Purpose of Evaluation/Methodology Used. This was a mid-term evaluation, carried out between April 17 and May 16, 1995 by a five-person team. The evaluation's purpose was to provide the Mission, the Government of Uganda (GOU) and their collaborators with recommendations to improve program implementation . The evaluation team was provided through two delivery orders (with ISTI and Cargill) under an IQC, with funding from the APE Project.

Findings and Conclusions. Overall, the APE Program has had extremely positive results. The National Environment Action Plan is finished and the Environmental Bill has been passed. Decentralization of environmental management is well underway. Uganda National Parks has increased its area under protection and improved financial accountability. Community participation in park management has begun. The Grants Management Unit (GMU) has been established.

Recommendations:

a) Continue support to establishment of coherent system for managing its wildlife resources and protected areas.

b) Assist with policy statement on collaborative management/community conservation committee composition, role and support.

c) Review GMU project funding strategy to be more responsive to needs and priorities of local communities.

d) Investigate options and models for turning the GMU into a more autonomous, self-sustaining organization.

e) Improve coordination of technical assistance.

f) Focus Assistant Parks Manager SOW on increasing planning capacity and information systems.

g) Place the CCA within the NEMA District Coordination Unit.

h) Commission study to evaluate the protected area system's coverage of Uganda's biodiversity.

i) Continue material/technical support to protected area management agencies.

j) Strengthen linkages between community-based groups, local NGOs, the RC system and NEMA.

k) Develop a UNP extension/community conservation development and education system.

l) Improving communications with program participants.

m) Support protected area research which addresses priority management problems.

COSTS

I.Evaluation Costs

I.Evaluation Team Name	Affiliation	Contract Number OR TDY Person Days	Contract Cost OR TDY Cost (U.S.$)	Source of Funds
Lisa Matt	ISTI	Agric/Food Security IQC Delivery Orders with ISTI and Cargill	$120,000	APE Project
Edward Karch	ISTI			
Lorna Butler	ISTI			
John Clarke	Cargill			
Tom Kangwagye	Makerere University/ISTI			

2. Mission/Office Professional Staff Person-Days (Estimate) 25

3.Borrower/Grantee Professional Staff Person-Days (Estimate) 10

SUMMARY

J.Summary of Evaluation Findings, Conclusions and Recommendations (Try not to exceed the three (3)pages provided
Address the following Items:

- *Purpose of evaluation and methodology used
- *Purpose of activity(ies) evaluated
- *Findings and conclusions (relate to questions)
- *Principal recommendations
- *Lessons learned

Mission or Office	Date This Summary Prepared:	Title And Of Full Evaluation Report:
USAID/Uganda	1/22/96	Action Program for the Environment Mid-Term Evaluation

1. Purpose of Activity

1. Purpose of Activity

The *Action Program for the Environment* (APE) is one of USAID's largest natural resource management projects in Africa. APE was authorized on August 20, 1991 and is scheduled to end December 31, 1998, the current Project Assistance Completion Date (PACD). The program's overall purpose is to assist Uganda's public and private sectors to more effectively and sustainably manage the natural resource base in selected areas, through policy reform and national environmental action planning, and rehabilitation and resource conservation.

To achieve its purpose, APE emphasizes the process of natural resource planning, strengthening of institutions responsible for natural resource management and support for the work of organizations fostering rational, long-term uses of Uganda's natural resource base. APE activities are separated into two complementary program components; the Policy Component and the Rehabilitation and Resource Conservation Component. APE combines both project and non-project assistance (NPA) in program implementation. Funding authorized for APE includes $20 million in project assistance (Project Grant Agreement No. 617-0124) and $10 million in NPA (Program Grant Agreement 617-0123), for an overall total of $30 million. To date, $26,885,000 of this total has been obligated, including $18,885,000 in project assistance funds and $8 million in NPA.

Principal technical assistance to both components of APE is provided through an institutional contract (IC) with Tropical Research and Development, Inc. (TR&D). The TR&D contract is currently in its third year and is scheduled to conclude in September 1995. TR&D provides three long-term technical advisors: (i) the Chief of Party/Chief Technical Advisor (CTA), based within the NEAP Secretariat; (ii) the Community Conservation Advisor (CCA), also within NEAP; and (iii) the GMU Coordinator, based at the GMU Office; plus an additional long-term advisor through a sub-contract with Chemonics, the Chief Financial Advisor (CFA), based at UNP. An additional long-term advisor, the Assistant Parks Manager (APM), is provided to UNP through a Participating Agency Services Agreement (PASA) with the USDA's Office of International Cooperation and Development. RRC activities are implemented by NGOs and other local institutions under cooperative agreements (CAs), grants and local currency project agreements (LCPAs). Mission management support for APE is provided by a Personal Services Contractor (PSC) Project Officer located within USAID/Uganda's Agriculture and Natural Resources Office. Short-term technical assistance has been provided by TR&D (both directly and through sub-contracts with Chemonics and Makerere University Institute of Environment and Natural Resources [MUIENR]), the World Resources Institute (WRI) under the AID/W Environmental Planning and Management Project, Indefinite Quantity Contracts (IQCs), and PASAs. APE also provides equipment and training to support institutions responsible for the environment. Local currency generated from NPA cash grants provides support to the following agencies: NEAP Secretariat; National Environment Information Center (NEIC); MUIENR; UNP; Forestry Department (FD); and the GMU. PL480, as well as other USAID local currency sources, have also been used to support APE activities.

2. Purpose of Evaluation/Methodology Used

This was a mid-term evaluation of the APE Program. The evaluation was carried out over a period of four weeks from April 17 through May 16, 1995. It was made up of a five person team that included a Team Leader/Institutions Specialist, a protected Areas Specialist, A Community Development Specialist, a natural Resources Development Specialist and a Natural Resource/Environmental Policy Specialist. The purpose of the evaluation is to provide the USAID Mission, the Government of Uganda (GOU) and their collaborators with recommendations to improve APE project implementation especially concerning the movement from the NEAP process to the establishment of the national Environment management Act (NEMA). The evaluation team was provided through two delivery orders (with ISTI and Cargill) under the Agriculture and Food Security IQC, with funding from the APE Project.

3. Findings and Conclusions

Overall, the APE Program has had extremely positive results. The national Environmental Action Plan is finished and the Environmental Bill has been passed. Decentralization of environmental management has begun and the results in Kasese district are extremely encouraging and can serve as a model for other work. UNP haw increased their area under protection and financial accountability has increased substantially. Community participation in park management has also begun in a very serious way. Finally, the Grants management Unit (GMU) is established and equipped to handle the full management of rehabilitation and resource conservation projects.

4. Principal Recommendations

a) APE should support the government in establishing a coherent system for managing its wildlife resources and protected areas by helping in ways that ensure the adoption of sound wildlife and protected areas policy and legislation, and to ensure that the future UWA will have the necessary capacity for system and management planning. Technical assistance should be provided.

b) A clear statement of policy concerning PMAC and community conservation committee composition, role and support should be printed and widely distributed by UNP and NEIC. Policy should allow sufficient flexibility so that each park area and its associated communities can tailor the policy to suit their own situations, and to define their own terms of reference. UNP policy should specify the importance of having all key stakeholders involved in occasional reviews and updated of committee guidelines.

c) Review the APE/GMU project funding strategy to give increased attention to policies, priorities, operating procedures and outreach mechanisms that are more responsive to the needs and priorities of local communities. One of these grants should be directed at building the capacity of a decentralized and coordinated NGO/CBO/PVO -local government mechanism for facilitating and development and support of community natural resource management and environmental protection projects which build long-term community organizational capacity. If necessary, technical assistance should be provided to assist the group in the development of its proposal design and strategy.

d) Investigate options and models for gradually turning the GMU into a more autonomous, self-sustaining organization, with a link to NEMA, which would generate both private and public funding to support education, development and research directed to improved natural resource management and environmental protection. Such an organization might not only encourage project development and implementation in tune with established policies and priorities, but also help to facilitate the implementation and evaluation of these projects.

e) Coordination of technical assistance needs to improve between park assistance and the other long-term APE technical assistance. The best way to do this is to place the parks management assistance under the same institutional contract as the rest of the technical assistance.

f) The APM's scope of work should focus on two issues - increasing UNP's management planning capacity, and on developing a system for managing information. If necessary, this component of the LTTA program should be extended. Under management planning, the aim must be to develop an effective Planning Unit in UNP (and later UWA) that will serve as a catalyst to the on-going process of adaptive management.

g) Place the CCA within the NEMA District Coordination Unit. Narrow his responsibilities to ensure a higher level of impact at the subnational level and within NEMA. This could be achieved in one or more of these ways: (i) identify several focus districts to which more attention might be directed, and help train teams from these districts to assist other districts; (ii) develop a close working relationship with the APM to ensure that attention is directed to the community outreach and development aspect of UNP and associated conservation projects, and assist in bridging the gap between MLG and UNP; or, (iii) identify several NEMA community conservation and development assistants to work with the District Coordination Unit.

h) A study should be commissioned to evaluate the protected area system's coverage of Uganda's biodiversity. APE should support such as analysis, using an LTTA program of 18-24 months. The analysis would involve mapping the distributions of: biotic communities; areas of aesthetic value; species of plants and animals that are rare, threatened or endemic to Uganda; and species that are of interest for other reasons. These distribution maps would be compared with the layout of the protected area system, and conclusions drawn as to whether the system might be modified to increase coverage of biodiversity.

i) Continue to give material and technical assistance support to agencies responsible for managing or supporting the management of protected areas. Ways to accomplish this include:

1) Continuing support to UNP, enabling it to further develop or rehabilitate infrastructure.

2) Supporting the FD, enabling it to open new roads in some forest reserve, and maintain existing ones; helping to fund staff training; investigating the value (to local communities living beside forest reserves) of developing exotic species' plantations to reduce the inhabitants dependency on indigenous trees; and offering soft loans to encourage the private sector to take part in plantation programs.

3) The WTC (soon to become WTI) needs to build its capacity as a technical training institution, through curriculum development (study tours and STTA); material support to complete the Centre's building program; supply of vehicles and other equipment; and training for teaching staff. APE should support this program if requested.

4) UIE needs to refurbish its dilapidated buildings; re-equip its laboratories; acquire vehicles; re-establish its library; and find funds to take on selected technical level staff. APE should give support if requested.

5) UWEC has submitted a bid to USAID for support of a three-year development program. But APE should first satisfy itself that the aims of the Centre agree with its own aims, and that they are of sufficiently high priority in comparison with other claims.

j) Strengthen linkages between community-based groups, local NGOs, the RC system and NEMA so that natural resource management planning and decision making become a collaborative reality. Build the capacity of a national and/or district/multi-district body to bring interests together to facilitate the active participation of local communities in planning and decision making. Encourage designs that incorporate participatory methods such as training of small trainer teams who train others, involvement of women and youth in leadership roles, community-based microgrant projects, less visible NGO/CBO participation and the use of traditional social and cultural structures.

k) Develop a UNP extension/community conservation development and education system. Involve UNP field personnel in determining what type of support and training are needed, and which NGOs/CBOs to involve in their particular park areas. Coordinate with the WTC to ensure that new trainees are also trained in community development.

l) APE should explore the possibilities of improving communications with program participants. The current NEAP newsletter might be examined as one way to get information to APE participants.

m) Some protected areas research should be initiated which addresses priority management problems faced by protected area managers, and likewise by subnational implementors of NEAP decentralization. Stakeholders should participate in identifying topics of highest priority.

ATTACHMENTS

K.Attachments (List attachments submitted with this Evaluation Summary:always attach copy of full evaluation report, even if one was submitted earlier;attach studies,surveys,etc,from "on-going" evaluation, if relevant to the evaluation report)

Action Program for the Environment Mid-Term Evaluation

COMMENTS

L.Comments By Mission, AID/W Office and Borrower/Grantee On Full Report

None

XD-ABM-708-A

ACTION PROGRAM FOR THE ENVIRONMENT

MID-TERM EVALUATION

(Project No. 617-0124[PA] 617-0123[NPA])

FINAL REPORT

Prepared for:

USAID/Uganda
under the Agriculture and Food Systems IQC
(Contract No. LAG-4200-I-00-3058-00, Delivery Order #2)

Prepared by:

Lisa M. Matt, Team Leader/Institutions Specialist
Ed Karch, Natural Resource/Environmental Policy Specialist
Lorna M. Butler, Community Development Specialist
J.E. Clarke, Protected Areas Specialist
Tom Kangwagye, Natural Resources Development Specialist

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ACTION PROGRAM FOR THE ENVIRONMENT

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Submitted by:

International Science and Technology Institute, Inc., (ISTI)
Arlington, VA

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LIST OF ACRONYMS

ADES	Assistant District Executive Officer
AFRENA	Agroforestry Research Network for East and Central Africa
AID/W	Agency for International Development in Washington
ANEPP	Agriculture Non-Traditional Export Promotion Program
APE	Action Program for the Environment
API	Analysis of Program Impact
APM	Assistant Parks Manager
AWF	African Wildlife Foundation
BoT	Board of Trustees
CA	Cooperative Agreement
CBO	Community-based Organization
CCA	Community Conservation Advisor
CFA	Chief Financial Advisor
CTA	Chief Technical Advisor
COVOL	Cooperative Office for Voluntary Organizations of Uganda
CPSP	Country Programme Strategic Plan
DANIDA	Danish International Development Agency
DCU	District Coordination Unit
DDP	District Development Plan
DEAP	District Environment Action Plan
DEO	District Environmental Officer
DEP	Department of Environment
DTPC	District Technical Planning Committee
EC	Commission of European Communities/European Union
ELU	Environmental Liaison Unit
ESAMI	Eastern and Southern Africa Management Institute
FD	Forest Department
FFSP	Flora and Fauna Preservation Society
GD	Game Department
GIS	Geographical Information System
GMU	Grants Management Unit
GOU	Government of Uganda
GTZ	Deutsche Gesellschaft fur Technische Zusammenarbeit
IARC	International Agricultural Research Centre
IC	Institutional Contract
ICRAF	International Center for Research in AgroForestry
IGCP	International Gorilla Conservation Program
IQC	Indefinite Quantities Contract
IUCN	International Union for the Conservation of Nature
KANGO	Kasese Non-government Organization
KFW	Kreditanstalt fur Wiederaufbau
KSCDP	Kibale and Semiliki Conservation and Development Project
LCPA	Local Currency Project Agreement
LEC	Local Environmental Committee
LMCCP	Lake Mburo Community Conservation Project
LMNP	Lake Mburo National Park
LTTA	Long-term Technical Assistance

WCU	Wildlife Clubs of Uganda
WLI	World Learning, Inc.
WRI	World Resources Institute
WTC	Wildlife Training College
WTI	Wildlife Training Institute
WWF	World Wide Fund for Nature/World Wildlife Fund

SUMMARY

The *Action Program for the Environment* (APE) is one of United States Agency for International Development's (USAID) largest natural resource management projects in Africa. The program's overall purpose is to assist Uganda's public and private sectors to more effectively and sustainably manage the natural resource base in selected areas, through policy reform national environmental action planning, and rehabilitation and resource conservation.

APE activities are separated into two complementary program components: the **Policy Component** and the **Rehabilitation and Resource Conservation Component**. The program combines both project and non-project assistance in program implementation. To date, $26,885,000 (of a total of $30 million) has been obligated, including $18,885,000 in project assistance funds and $8 million in non-project assistance (NPA).

Principal technical assistance to both components of APE is through an institutional contract with Tropical Research and Development (TR&D). TR&D provides four long-term technical advisors including an Advisor to the National Environmental Action Plan (NEAP) Secretariat, a Community Conservation Advisor at the NEAP Secretariat, a Financial Advisor to Uganda National Parks and a Grants Management Unit Coordinator. An additional long-term advisor, the Assistant Parks Manager is provided to Uganda National Parks (UNP) through a Participating Agency Service Agreement (PASA). Grants Management Unit activities are implemented through Non-government Organizations (NGOs) under various sorts of funding mechanisms. Short-term technical assistance is provided primarily through TR&D but other assistance through other organizations has also occurred. Training and equipment support is also provided to various government institutions. USAID provides a Natural Resource Management Advisor as the APE Project Officer through a personal services contract.

This is a mid-term evaluation of the Action Program for the Environment. The program began in 1991 and is now scheduled to end in 1998. The evaluation was carried out over a period of four weeks from April 17 through May 16, 1995. It was made up of a five person team that included a Team Leader/Institutions Specialist, a Protected Areas Specialist, a Community Development Specialist, a Natural Resources Development Specialist and a Natural Resource/Environmental Policy Specialist. The purpose of the evaluation is to provide the USAID mission, the Government of Uganda (GOU) and their collaborators with recommendations to improve APE project implementation especially concerning the movement from the NEAP process to the establishment of the National Environment Management Act (NEMA).

Overall APE has had extremely positive results. The National Environmental Action Plan is finished and the Environmental Bill has been passed. Decentralization of environmental management has begun and the results in Kasese District are extremely encouraging and can serve as a model for other work. The Uganda National Parks have increased their area under protection and financial accountability has increased substantially. Community participation in park management has also begun in a very serious way. Finally, the Grants Management Unit (GMU) is established and equipped to handle the full management of rehabilitation and resource conservation projects.

A. COMPONENT ONE: POLICY AND INSTITUTIONAL DEVELOPMENT

APE supported the NEAP process with technical assistance and funding of the operating costs of the Secretariat. The major outputs of this work are the National Environmental Action Plan and the Environmental Bill which was just recently passed by the National Assembly. The Environmental Bill

established the NEMA which will coordinate environmental and natural resource management in the country. APE is currently supporting the transition from NEAP to NEMA.

The very fact that the Environmental Bill was passed and NEMA is now being established is testimony to the success of this portion of the project. The development of the National Environmental Action Plan, although donor initiated, involved a wide base of expertise, practitioners, users and those who would be most affected by policy. Major policy and planning documents were produced in a participatory manner and it is these products that will form the basis for environment and natural resource management in Uganda.

1. Decentralization of Environmental Management

One of the central objectives of NEAP has been to assure that environmental and natural resource management policy development includes full public participation in the planning process and in ensuring environmental improvement activities. At the same time, decentralization of natural resource management is part of an effort of the GOU to promote public participation in all sectors of the government. The decentralized local government system being put into place over the last several years provides a framework for improving natural resource management. The long-term technical assistance Community Conservation Advisor was originally assigned to the Department of the Environment (DEP). After a determination of insufficient capacity at the DEP, the advisor was assigned to the NEAP (although not officially).

District development plans are expected to incorporate action plans for environmental monitoring, natural resource management and protection. These are to be formulated in the District Environmental Committee (DEC) in collaboration with the District Technical Planning Committee (DTPC). The capacity to carry through on this will be tied to linkages between the various levels of government which promote people's and NGO's participation in planning, decision making, implementation, and capacity building in environment management.

An analysis of decentralization activities resulted in the following observations:

- While the NEAP appears to open the door to active and participatory partnerships between the government system and the community, there are still many issues to be resolved before elected officials, civil servants and local communities are genuinely able and committed to truly collaborative planning and decision making. Much depends on past experience with participatory processes, the attitude toward sharing control and exactly what is perceived by the concept of "participation."

- NEAP is placing a high level of reliance on one model of participation — that of the local government/resistance council system. If the government changes or if this model introduces strong political bias into the process, it may be difficult to create the desire to participate. Nurturing alternative models for community participation will help to ensure long-term commitment to community priorities, plans and actions.

- Other than through some specific communications with projects, APE has provided relatively little community development support to UNP field personnel. While this may have been as a result of the GMU's contracting for this assistance, stronger collaboration between APE technical assistance and the UNP would seem desirable. This might have occurred naturally had the Assistant Park's Manager been part of TR&D from the onset. The need for coordination between community management of protected areas and NEAP implementation is clear. Just because

NGOs are contracted to develop the cooperative management capacity of the Park Management Advisory Committees (PMACs) does not assure that they will either operate in the best interests of the parks' associated populations nor that PMACs will be able to take advantage of local government resources and services. There needs to be a point person (or position) to ensure that this type of community organizational capacity is developed. There are several ways to do this for example by increasing APE's level of organizational and community development assistance to UNP, by fostering appropriate technical assistance partnerships with contracting NGOs, or by selecting NGOs that have a strong record in both community development and conservation.

- Technical assistance has made a major contribution to development of the framework for the NEAP decentralization process. Support has been given to environmental officer training and job analysis, development of NEAP guidelines for local levels, and a plan for strengthening the capacity of district environmental committee members. Technical assistance contributions are recognized at district levels. This is commendable given the somewhat slow start resulting from technical assistance initially being assigned to the Department of Environment, and then finally being moved to the NEAP. There are now high expectations for continued assistance with NEAP implementation at the sub-national level. It will be important to keep these activities highly focused and to ensure that Ugandans assume an increasing amount of responsibility for determining needs and directions.

- In order to develop the cooperative management capacity of the PMACS to ensure that they represent the interest of the parks' associated populations, an increased level of organizational and community development assistance maybe warranted.

2. Support to Institutions Managing Protected Areas

APE has provided support to the three agencies currently managing protected areas. This includes the Uganda National Parks (Ministry of Tourism, Wildlife and Antiquities [WTWA], the Game Department (GD), and the Forest Department (FD). APE's assistance to the protected areas of Uganda has focussed heavily upon the functions of UNP. The Game Department and the Forest Department received some assistance but to a lesser degree. The purpose of the assistance is to improve management of the protected areas.

UNP has received both project and non-project assistance. They receive project assistance through two technical assistance personnel: a Financial Advisor and a Parks Management Advisor. Financial technical assistance (TA) has been furnished for almost two years. This assistance has improved the overall management of the UNP and the national parks. The advisor, working with the Chief Accountant has introduced computer literacy and the managing of some financial data by computer. He has trained UNP staff, at the central and park level in areas such as budgeting and budget control, helped to devise systems for revenue sharing, offered advice on the new pension system and in general is given much of the credit for UNP's improved fiscal transparency.

The Assistant Park's Manager (APM) has been in Uganda for ten months. His position description calls for him to be a Senior Technical Advisor to USAID and counterpart to the UNP Director. During the last ten months the advisor has traveled extensively and visited all but one of the ten national parks, forming working relationships with a broad range of UNP and project staff. The outputs of the post are less easy to identify than those of the Financial Advisor since most relate to long-term processes that take time to bear fruit. One of his activities has been the participation in the development of park management plans.

The UNP and to a lesser extent the Game Department have received material support. The evaluation team visited four National parks and discussed this assistance with wardens. In general this assistance is greatly appreciated as it seems that USAID is one of the only donors who has provided this type of help. Types of support include purchase of vehicles, fuel, costs of boundary demarcations, construction and some operating expenses. The UNP received assistance to upgrade forest reserves to national parks which was part of the conditions of the program.

The government is moving steadily through a restructuring exercise that will see the merging of UNP and the GD to form the new Uganda Wildlife Authority (UWA). This restructuring gives Uganda a unique and challenging opportunity to plan and develop a logical and coherent system for managing wildlife resources and protected areas. Major issues emerging from this exercise are:

- To ensure that UWA does become a coherent management system;
- To develop an effective management planning capability in UWA;
- To establish an effective information management system within UWA; and
- To identify and develop ways of diversifying and maximizing revenue, so that UWA may become self-sustaining. A major issue that UNP is now facing is the merger with the GD.

B. COMPONENT TWO: REHABILITATION AND RESOURCE CONSERVATION COMPONENT

The Rehabilitation and Resource Conservation (RRC) Component complements the policy component and is managed by the GMU. The GMU is a management unit that oversees the funding of conservation and development activities primarily in areas associated with protected areas. When APE was designed, the GMU was conceived as an umbrella grant to a U.S.-based Private Voluntary Organization (PVO). When Requests for Applications did not result in any candidates that met the criteria, the task was given to the institutional contractor.

The GMU was not operational until 1993 — two years later than anticipated. It is important to note that during this time USAID took on the role of the grants management unit. Project selection criteria outlined in the original Program Assistance Approval Document (PAAD) were used and many of the illustrative subgrants suggested in the design document were funded. The result of this was that when the GMU was established many funds had already been committed as well as precedents set for project preferences and selection.

The technical assistance provided by the institutional contractor is the GMU coordinator. The coordinator has essentially set up the unit from scratch, establishing an office, setting up review criteria and a proposal review process that includes a review committee. The GMU has four key responsibilities: they are the point of contact for all potential and actual implementing organizations of the RRC subgrant activities. The GMU evaluates proposals, makes a determination as to their acceptability and forwards them to USAID for funding consideration. They are the liaison between the implementing organizations and USAID. Finally, the GMU provides financial, technical and administrative oversight of all subgrant activities. Although not foreseen in the original design, USAID has retained financial management responsibilities, including the negotiation of grants or contracts and actual disbursement of funds.

The GMU is doing an excellent job within the framework established for them by USAID's previous management of projects and their retention of major management responsibilities. Deficiencies in USAID

management, however, have caused delays in the review process and the awarding of grants or contracts. To date, no funding has been disbursed to a project actually approved by the GMU. The main reason is that there was no formally recognized USAID/Uganda review process (a requirement under USAID regulations since proposals submitted to USAID are considered "unsolicited proposals"). This has meant that although proposals were reviewed and approved by the GMU there was no mechanism for USAID to proceed. This review process was finally established in February 1995.

APE has funded a large number of activities mainly related to the conservation of protected areas and the development of the areas associated with those protected areas. Most of these projects are now under the management of the GMU. Many of these projects are coming to the end of their funding and negotiating funding for new projects. There are some examples of project activities that are still directly monitored by USAID (International Center for Research in AgroForestry (ICRAF) is one). In all cases, new activities will be initiated through the GMU review and approval process.

This mid-term evaluation was not intended to evaluate the activities under the management of the GMU. However, the evaluation team did talk to as many as the implementing organizations as possible and visited some of the projects.

An analysis of GMU operations and activities resulted in the following observations:

- The delay in the establishment of the GMU has caused a great deal of confusion among NGO project implementors. Project linkages to the GMU and USAID are unclear to many. The GMU is aware of this issue and is taking steps to clarify the situation.

- APE funding of grant activities was largely predetermined from the beginning of the project. There are both advantages and disadvantages to this formula. The advantages are that USAID was able to fund projects and institutions many of which had proven track records and had a high probability of success. However, on the negative side, the approach set precedents for the type of activity that USAID preferred to fund.

- Although the technical criteria established by the GMU and USAID provide useful guidance for project evaluation, the effectiveness of the criteria has been negated by the GMU's inability to set priorities. This is because the GMU, until very recently, did not know their funding levels.

- The GMU review committee represents various technical ministries and USAID. Project implementors feel that they should provide more direct input to committee deliberations.

- There has been no funding of local NGOs. This is partially due to the lack of local currency funding as well as the fact that USAID registration requirements for development assistance dollars are difficult for many NGOs to meet.

- Most project activities do not place much emphasis on individual income generating activities, especially those that deal with issues of marketing farm produce, the value added potential through simple technologies or the development of off-farm small enterprise activities. Projects rely mostly on tourism, revenue sharing and multiple use for income generation.

C. ADMINISTRATION AND MANAGEMENT

The Action Program for the Environment is a large project and relies on the participation of a large number of organizations and multiple types of funding mechanisms. Because of this and especially due

to the long delay in the establishment of a functional GMU, USAID has taken on an excessive management burden that could not be handled by one project officer; hence delays in subgrant approvals and fund disbursements. The technical direction by one person of such an array of activities would also seem difficult.

One example of this circumstance has been expressed by UNP. There seem to have been delays in procurement and the release of quarterly funding. Although part of the problem is that UNP must comply with USAID's recommendations on procurement, cash management and bank reconciliations, UNP believes that there are other problems that might be resolved by joint UNP/USAID action.

Other observations in this area are:

- Some of the conditions were met before the grant agreement was signed. Although NPA was required to set the NEAP process in motion, in the end, the process took over and the momentum carried through the passage of the Environmental Bill. GOU local currency requirements of $4 million were forgiven. This reduced the money available for GMU projects.

- There seems to be difficulty coordinating TR&D technical assistance work and that of the PASA Assistant Parks Manager.

- Although much work has been done in this area, there is not a coordinated monitoring and evaluation system for APE.

- The logframe and objective tree indicators do not reflect the realities of the project.

D. CROSS-CUTTING ISSUES AND RECOMMENDATIONS

1. Decentralization/Community Development

Place the Community Conservation Advisor (CCA) within the NEMA District Coordination Unit. Narrow his responsibilities to ensure a higher level of impact at the sub-national level and within NEMA.

Strengthen linkages between community-based groups, local NGOs, the RC system and NEMA so that natural resource management planning and decision making become a collaborative reality. Build the capacity of a national and/or district/multi-district body to bring interests together to facilitate the active participation of local communities in planning and decision making. This might eventually include a link to GMU projects and their identification.

Develop a UNP extension/community conservation development and education system. Involve UNP field personnel in determining what type of support and training are needed, and which NGOs/Community-based Organizations (CBOs) are involved in their particular park areas. Coordinate with the WTC to ensure that new trainees are also trained in community development.

2. Protected Areas Management

Continue to give material and technical assistance support to agencies responsible for managing or supporting the management of protected areas — UNP and the FD.

Give support to upgrade the Uganda Institute of Ecology (UIE) and Wildlife Training College (WTC), whose functions serve to enhance the future UWA's technical capacity to manage.

APE should support the government in establishing a coherent system for managing its wildlife resources and protected areas through the adoption of sound wildlife and protected areas policy and legislation and building the capacity of the UWA for system and management planning. Long or short-term technical assistance is appropriate.

A clear statement of policy concerning PMAC and community conservation committee composition role and support should be printed and widely distributed by UNP and the National Environment Information Centre (NEIC). Policy should allow flexibility so that each park and the associated communities will be able to accommodate their own situations.

A study should be commissioned to evaluate the protected area system's coverage of Uganda's biodiversity. APE should support such an analysis, using a long-term technical assistance (LTTA) program of 18-24 months.

Research carried out by UIE should be primarily management oriented. Other research institutes should be encouraged to address priority management issues faced by UNP and by sub-national implementers of NEAP decentralization. Stakeholders should participate in identifying topics of highest priority.

3. Criteria and Structure for the Identification and Funding of Projects under APE

Review the APE/GMU project funding strategy to give increased attention to policies, priorities, operating procedures and outreach mechanisms that are more responsive to the needs and priorities of local communities.

One of these grants should be directed to building the capacity of a decentralized and coordinated NGO/CBO/PVO — local government mechanism for facilitating the development and support of community natural resource management and environmental protection projects which build long-term community organizational capacity. If necessary, technical assistance should be provided to assist the group in the development of its proposal design and strategy.

Investigate options and models for gradually turning the GMU into a more autonomous, self-sustaining organization, with a link to NEMA, which would generate both private and public funding to support education, development and research directed to improved natural resource management and environmental protection. Such an organization might not only encourage project development and implementation in tune with established policies and priorities, but also help to facilitate the implementation and evaluation of these projects.

The GMU should place special emphasis on income generating activities other than multiple use, tourism and revenue sharing. Potential projects should contain income generating aspects that will deal with issues of marketing farm produce, value added potential through simple technologies and the development of off-farm small enterprise activities. NGOs who do not have this expertise should collaborate with NGOs that do or USAID projects that are dealing with these issues, or in some cases separate activities for income generation may be warranted.

The GMU should be given the complete responsibility for subgrant administration including the actual subgrant agreements and disbursement of funds. Although the reason for not doing this in the past was the issue of overhead on the subgrant funds and the legality of the contractor managing grant funds, in retrospect, finding a creative solution would have avoided many of the problems of the establishment of the GMU. Finding a solution to this issue now would encourage the sustainable development of the GMU.

4. Administration and Management: Technical Assistance Coordination

Coordination of technical assistance needs to improve between park assistance and the other long-term APE technical assistance. The best way to do this is to place the parks management assistance under the same institutional contract as the rest of the technical assistance.

The APM's scope of work should focus on two issues — increasing UNP's management planning capacity, and on developing a system for managing information. If necessary, this component of the LTTA program should be extended.

5. Future Assistance

The project extension should continue the technical positions for community conservation, finance, parks management and the GMU coordinator through the end of the project.

6. APE Activity Coordination and Information Dissemination

APE should explore the mechanisms for improved project coordination and wider coverage for APE information dissemination. The current NEAP newsletter might be examined as one way to get information to APE participants.

I. INTRODUCTION

The *Action Program for the Environment* (APE) is one of United States Agency for International Development's (USAID) largest natural resource management projects in Africa. APE was authorized on August 20, 1991 and is scheduled to end December 31, 1998, the current Project Assistance Completion Date (PACD). The program's overall purpose is to help Uganda's public and private sectors to more effectively and sustainably manage the natural resource base in selected areas, through policy reform and national environmental action planning, and rehabilitation and resource conservation.

To achieve its purpose, APE emphasizes the process of natural resource planning, strengthening of institutions responsible for natural resource management and support for the work of organizations fostering rational, long-term uses of Uganda's natural resource base. APE activities are separated into two complementary program components, the **Policy Component** and the **Rehabilitation and Resource Conservation Component**. APE combines both project and non-project assistance (NPA) in program implementation. Funding authorized for APE includes $20 million in project assistance (Project Grant Agreement No. 617-0124) and $10 million in NPA (Program Grant Agreement 617-0123), for an overall total of $30 million.[1] To date, $26,885,000 of this total has been obligated, including $18,885,000 in project assistance funds and $8 million in NPA.

A. PROJECT COMPONENTS

1. Policy Component

The Policy Component focuses on the development and implementation of a comprehensive national strategy to address environmental issues through policy, legislative and institutional reform — the National Environmental Action Plan (NEAP). Project assistance supports: (i) technical assistance to NEAP to build national environmental management capacity; (ii) technical assistance to NEAP in community conservation to integrate human concerns into implementation of decentralized natural resource management; and (iii) technical assistance to Uganda National Parks (UNP), the parastatal responsible for most of Uganda's protected areas, in both park and financial management.

NPA conditionalities were designed to: (i) support the ongoing NEAP process; (ii) upgrade the protective status of key protected areas; (iii) establish policy guidelines for community participation in protected area management; (iv) establish policy guidelines for the decentralization of natural resource management; (v) promote privatization of concessions associated with protected areas; and (vi) formally adopt a comprehensive national strategy for environmental management in accordance with NEAP.

2. Rehabilitation and Resource Conservation Component

Complementing the Policy Component is the Rehabilitation and Resource Conservation (RRC) Component that, through a Grants Management Unit (GMU), oversees, supports, and evaluates APE-supported natural resource activities in selected areas. Types of activities supported include integrated conservation and development, ecotourism development, ecological and socioeconomic research, and institutional development. Activities are carried out principally by Private Voluntary Organizations (PVOs) and Non-government Organizations (NGOs).

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[1] An amendment to the APE Program was in preparation at the time of writing this report that will increase project assistance funding to $30 million and decrease NPA funding to $8 million.

3. Program Inputs

Principal technical assistance to both components of APE is provided through an institutional contract (IC) with Tropical Research and Development, Inc. (TR&D). The TR&D contract is currently in its third year and is scheduled to conclude in September 1995. TR&D provides three long-term technical advisors: (i) the Chief of Party/Chief Technical Advisor (CTA), based within the NEAP Secretariat; (ii) the Community Conservation Advisor (CCA), also within NEAP; and (iii) the GMU Coordinator, based at the GMU Office; also, an additional long-term advisor through a subcontract with Chemonics International, the Chief Financial Advisor (CFA), based at UNP. An additional long-term advisor, the Assistant Parks Manager (APM), is provided to UNP through a Participating Agency Services Agreement (PASA) with the USDA's Office of International Cooperation and Development. RRC activities are carried out by NGOs and other local institutions under cooperative agreements (CAs), grants and local currency project agreements (LCPAs).

Mission management support for APE is provided by a Personal Services Contractor (PSC) Project Officer located within USAID/Uganda's Agriculture and Natural Resources Office. Short-term technical assistance has been provided by TR&D, both directly and through subcontracts with Chemonics and Makerere University Institute of Environment and Natural Resources [MUIENR], the World Resources Institute (WRI) under the Agency for International Development in Washington (AID/W) Environmental Planning and Management Project, Indefinite Quantity Contracts (IQCs), and PASAs. APE also provides equipment and training to support institutions responsible for the environment.

Local currency generated from NPA cash grants provides support to the following agencies: NEAP Secretariat; National Environment Information Center (NEIC), MUIENR, UNP, Forestry Department (FD) and the GMU. PL-480, as well as other USAID local currency sources, have also been used to support APE activities.

B. PURPOSE OF THE EVALUATION

Overall, the purpose of the evaluation is to provide the USAID Mission, the Government of Uganda (GOU) and their collaborators with recommendations to improve APE project implementation, especially the movement from the NEAP process to the establishment of a National Environmental Management Act (NEMA). Evaluation findings may also be used as a basis for longer-term Mission planning. More specifically the evaluation will: (i) assess issues that may limit the effectiveness of the project; (ii) assess the progress that the project has made toward achieving the project objectives; (iii) examine key management issues including the role of USAID/Kampala; and, (iv) make recommendations for the future.

C. TEAM COMPOSITION AND METHODOLOGY

The Evaluation Team was composed of five people: a Team Leader/Institutions Specialist, a Community Development Specialist, a Protected Areas Specialist, a Natural Resource/Environmental Policy Specialist and a Ugandan Natural Resource Development Specialist who worked in close collaboration especially with the Protected Areas Specialist (See Annex C for the Evaluation Team's Scope of Work). Except for the Protected Areas Specialist, who arrived one week later, the Team arrived in Uganda on April 17, 1995, and spent four weeks in Uganda. The first week the Team spent reviewing project documentation. Based on this and preliminary research and discussions with key program personnel, the Team developed a workplan that included a proposed schedule, a report outline and a summary of key contacts and sources of information.

Besides the many interviews with key individuals in the NEAP process, the team also spoke to as many NGOs financed under APE as possible, technical assistance and other people involved in activities related to the NEAP process and APE. The team spent four days in the field. They were divided into two groups: one that traveled to Kasese District and another that traveled to Kabale District. Meetings were held with District officials, NGOs carrying out projects under the GMU or other funding mechanisms, national park officials and local communities. A draft report was submitted to USAID one week before the team's departure. A meeting was held with key players in the APE program and opinions on the evaluation's conclusions and recommendations were submitted for incorporation into the final report.

II. PROJECT AND PROGRAM COMPONENTS: BACKGROUND AND STATUS

A. POLICY AND INSTITUTIONAL DEVELOPMENT COMPONENT

1. National Environmental Action Plan/NEAP: National Level

The following is a summary of accomplishments and remaining tasks of the NEAP/NEMA support component of the Action Program for the Environment. The work done under this component is exemplary. Most of the credit for this accomplishment is due to the teamwork of the technical assistance (TA) personnel, the Secretariat staff, and above all to the GOU and the dedicated Ugandans who participated in the NEAP process. This teamwork will have to continue in order to carry out perhaps the most difficult next phase. This next phase is the implementation of new policies and application of new legislation.

a. Why NEAP?

NEAP is a World Bank requirement which must be met before a country can qualify for a loan. The Word Bank wants to insure that adequate safeguards are in place for the environment before money is loaned to the country. The process is adapted to individual country needs. Various donors are usually asked to help with financing and assisting in the NEAP process. USAID has cooperated in this process in several countries and funds a NEAP liaison office in the World Bank in Washington, D.C. The funding of the NEAP process in Uganda was included in APE as one component of the design.

b. The NEAP Process

The NEAP process had already started in Uganda before APE had begun. During a diagnostic phase (November 1991 - December 1993), USAID was the lead donor in helping the NEAP Secretariat develop issues and topic papers on a variety of environmental problems in the country. Subsequent efforts focussed on developing policy, legislative and institutional reforms. Concept papers on the National Environment Management Policy, the National Environment Management Institutional Framework, and the Environmental Bill were completed and submitted to the Cabinet in December 1993. In January 1994, in a full Cabinet meeting chaired by the President, the National Environment Management Policy, the Environmental Bill 1993 and the Institutional Framework were approved with only minor modifications. The Environmental Bill provides for the establishment of the NEMA to coordinate environmental and natural resource management in the country. This bill passed in the legislature on April 26, 1995 and as a result the NEAP process has now passed into the implementation stage.

c. Was the NEAP Process Participatory?

The NEAP framework is a World Bank method and is simply a framework for organizing the work. The NEAP process and content are Ugandan. They represent Ugandan concerns, Ugandan analysis of Ugandan problems with proposed Ugandan solutions.

Wide bases of expertise, practitioners, users, and those to be most affected by the policy were consulted in the NEAP process. Many direct participants from a variety of backgrounds served on committees and task forces to prepare the NEAP. The process as designed, was participatory. The overall advisory committee is made up of 31 people including 6-10 women from 18 different institutions from government, donors, international agencies, NGOs, the private sector, trade associations and academia. The various numbers and composition have changed from time to time during the process.

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This group, in consultation, determined the major environmental problems in Uganda. These problems were then addressed by eight task forces each made up of 6-10 members, again representing expertise within the fields under discussion and users and interested parties from a broad spectrum of institutional and private associations. The findings of these groups were then vetted regionally in workshops with even wider ranges of backgrounds represented. These ranged from professors to farmers, fishermen, brick makers, and so forth.

The NEAP was then made up from these task force recommendations. The National Plan was then vetted to a National workshop with 450 participants ranging from the President to fishermen, farmers, brick makers, and so forth.

A study was commissioned by the NEAP Secretariat addressing the level of awareness, consensus, broad appeal, and common agenda. This rapid appraisal showed involvement in the process to be high. Now that the NEAP umbrella is in place through NEMA, the process can be localized and adapted to fit local needs, and in so doing, endeavor to make the local process of adoption and adaption participatory.

d. NEAP Outputs and Technical Assistance

The NEAP has been completed. All major analytical and planning documents resulting from the NEAP process, including the State of the Environment Report, the Environmental Investment Program, the National Environmental Management Policy, the Environmental Management Institutional Framework and the NEAP itself, have been revised and completed to reflect National Resistance Council (NRC)-NEAP negotiations. Now that the Bill is passed, these documents will form the basis for sustainable environmental and natural resource management in Uganda. There is now movement from a planning phase to implementation.

Although the process of application of the NEAP could not begin officially until the Environmental Bill had been passed, work has already begun for the decentralization of the Plan. Lessons from other countries have shown that beginning implementation activities early is necessary to maintain momentum. Baseline information on the Department of Environment (DEP) was obtained which identified fundamental administrative and institutional limitations on DEP's capacity for analysis and monitoring and the necessity to concentrate decentralization activities under NEAP/NEMA. An analysis of tasks envisioned for District Environmental Officers (DEOs) under the NEAP decentralization initiative was undertaken, and job descriptions for the DEOs were completed. A training needs assessment for DEOs was developed and a training program initiated. Six pilot districts[2] were identified to test institutional linkages between NEAP, the proposed NEMA and the subnational level. TR&D in collaboration with WRI, under a USAID/Kampala buy-in, produced two documents entitled *Guidelines for Environmental Management at District Level* and *From Crisis Management to Strategic Planning for Sustainable Development: Subcounty/Town Planning Procedure and Process Guidelines*.

NEAP has developed guidelines for the districts to incorporate gender concerns in the district planning process. These guidelines focus on: (i) methods to increase women's participation in the planning process; (ii) ways to disaggregate the environmental information system by gender; and, (iii) provide additional methodologies to ensure that women's role in natural resource management is properly analyzed in the District Development Plan (DDP) and the District Environment Action Plan (DEAP). Other guidelines for bylaws, tax incentives and environmental impact assessments were also completed and one for environmental education will soon be completed.

[2] See Annex H for a description of these districts.

Building on previous efforts, NEAP will continue to develop procedures for local environmental committees in the subcounties. Working in collaboration with APE and the Ministry of Local Government (MLG), draft guidelines for subcounty planning will be completed by May 1995. Final guidelines will be completed after the development of the Kasese District Development Plan as this will provide further ideas on processes needed to enable subcounties to develop their own plans. This will occur throughout the period of the bridging funding and will eventually be an integral part of NEMA's functions. All environmental regulations, procedures and policies produced at the national level will be distributed to the districts by the Secretariat as they become available.

The TR&D contract team leader has provided the technical assistance for the NEAP process, and coordination of actions with the Uganda Secretariat team that has resulted in the successful completion of the NEAP process. The indicators of performance for this position are smooth functioning of both the contract and the NEAP process. The success of the NEAP process is evident. The smooth operation of the contract team is also evident.

e. The Future of NEMA

Delays in passage of the Bill and resulting delays in the establishment of the NEMA have made the transition from NEAP planning to NEAP implementation difficult. The first draft of the Bill was completed in June 1994 and the final passage did not occur until April 1995.

Given this situation and the Ministry's desire not to lose the enthusiasm and momentum generated by the NEAP process, the Ministry requested that USAID/Uganda continue supporting a small NEAP/NEMA Transition Secretariat until September 1995 or until the World Bank credit becomes available in order to work on three key areas: (i) continued lobbying for passage of the Bill; (ii) continued support for decentralization of natural resource management; and (iii) establishment of Environmental Liaison Units. The Ministry also requested continued support for the National Environment Information Center (NEIC) and MUIENR according to their original workplan and approved budget.

The future establishment of NEMA is detailed in their workplan and includes the following steps:

- Establishment of the Management Board. The transition Secretariat will help the Minister in identifying at least three qualified candidates for each position. Identification of candidates will take place during month two. The Minister nominates the Management Board consisting of representatives from: the Ministry of Natural Resources (MNR) (one); the Ministry of Agriculture, Animal Industries and Fisheries (MAAIF) (one); the Ministry of Finance and Economic Planning (MFEP) (one); academic and research institutions (two); local NGOs (two), and the private sector (two).
- First Policy Committee Meeting.
- Management Board in place.
- NEMA Executive and Deputy Director Advertising/Recruitment.
- First Management Board meeting.
- Minister appoints Executive Director.
- Second Policy Committee meeting.
- Executive and Deputy Director hired and on board.
- Key NEMA staff Advertising/Recruitment.

- Executive Director short-lists key NEMA staff.
- Second Management Board meeting.
- Key NEMA staff on board.
- Establish NEMA Units and Divisions/Develop Unit/Division. Workplans.
- NEMA staff training needs assessment.
- NEMA staff training plan developed.
- NEMA management training and team building.
- Environment Liaison Unit (ELU) establishment and training.

While NEMA will be charged with monitoring, planning and coordination of environmental/natural resource matters, implementation will be the responsibility of the relevant line ministries. Thus the development of strong links between these ministries and NEMA is critical if effective coordination is to be achieved. In this context, one of NEMA's first tasks will be to establish a small ELU, composed of two to three individuals recruited from existing staff, in line ministries concerned with environmental management. Ministries include: MNR; MLG: MAAIF; the Ministry of Land, Housing and Urban Development; and the Ministry of Trade and Industry.

Once NEMA is established, it will have a District Coordination Unit (DCU) within the office of the Deputy Director. The DCU's responsibilities will be to coordinate NEAP implementation activities in all districts and help each division of NEMA in their contacts with the districts.

NEAP will commence the groundwork toward the establishment of the DCU by developing operating procedures. These procedures will include both in-house operations, linkages with other NEMA divisions and a schedule for specific NEMA activities in all of the districts. Although the DCU will be providing general support to all districts, it will focus on pilot districts to assist implementation of specific activities. Activities to be conducted in all districts include distribution of guidelines and general environmental information, NEAP publications and technical notices. Assistance to pilot districts for specific activities will include development of organizational structures (i.e., District Technical Planning Committees [DTPC], and a District Development Committee [DDC]), the environmental information system, and bylaws.

The operating procedures will also indicate criteria the districts must fulfill to receive NEMA assistance for these specific activities. If NEMA chooses to change the original NEAP pilot districts this will also be reflected in the operating procedures.

f. NEMA/NEIC

NEIC will continue to provide information support required for environmental management including implementation of the Action Plan. This support will also continue following the establishment of NEMA.

Local government statutes and government decentralization policy will mean that decisions regarding utilization of natural resources will be made at the districts. This calls for availability of accurate and up-to-date information at that level to support the decision-making process. DEAPs are technical reports that discuss the status of natural resources in the district and the implications of their utilization trends on the environment and development. They therefore provide an essential input in the development of district development plans. During the bridging period, profiles for four districts are to be completed,

namely, Mbale, Kabale, Tororo and Kasese. So far a draft has been produced for Mbale and activities to collect primary data on Kabale are nearing completion. Work has also commenced on Tororo and is expected to go on concurrently with that on Kasese. The exercise is undertaken in collaboration with sector departments at the districts, whose role is to collect primary data on their respective sectors using the subcounty as the smallest reference unit.

Two students are already undergoing specialized training, one on land degradation studies and another on the environmental impact of agricultural policies. The aim is to improve district decision-making capacity in the preparation of the DEAP. The training is a two-year program with the second year mainly devoted to practical activities of preparing the profiles themselves. The Center continues to provide technical guidance and material support as part of its collaboration with MUIENR.

The NEIC has been involved in several activities aimed at providing information to users and it will continue to do so in fulfillment of its original mandate. In this regard, a State of Environment Report (SOE) has been completed and wide circulation has been achieved both locally and internationally. Building on the information provided by this document, work has begun to extract a statistical compendium. The compendium will be published separately and will supplement the information contained in the SOE report to satisfy the different requirements of details by different users. The Center in collaboration with Uganda Television (UTV) educational broadcasting is also in the process of developing audio visual themes on various issues raised in the report. This will target the young audience and adults who may not have the opportunity to read the report.

The Center has initiated a process of building up capacity at sectors which generate environment information in order to promote information exchange among the sectors themselves and with the Center. Seventeen sectors and organizations are so far involved and have started assessing the information available in their various archives, the format in which they are stored and how current they are. These are the initial steps towards establishing an environment information network in the country.

Similarly work has also started on strengthening data and information management capacities at the district. Besides supporting the decentralization process, strong information management at districts would provide the vertical linkages in environment information network. To this end, NEIC plans to work closely with the NEAP decentralization group and DEOs in three pilot districts to develop and implement the program for decentralization of environmental information. A comprehensive user query service is also being developed at the Center. This is being supported by the establishment of the INFOTERRA focal point at the Center to handle user query and response worldwide.

The Center continues to participate actively in the regional program for eastern Africa aimed at assessing the potential for resource mapping using Synthetic Aperture Radar (SAR) satellite based technology.

g. Monitoring and Evaluation

APE supports the monitoring and evaluation (M&E) of both the Policy and the Rehabilitation and Resource Conservation Components. The M&E plan emphasizes people level impacts and responds to the Mission's Strategic Objective #2, "to stabilize biodiversity in target areas." The four primary outcomes called for are:

- An improved policy and institutional framework that promotes sustainable natural resource use;
- Increased ecotourism through private organizations, and local community groups in particular;
- Strengthened incentives for local participation in the management of protected areas; and

- The establishment of an improved basis for management of selected protected areas.

In addition to evaluating the impact of the APE directly, the national information and monitoring system is under construction. Specific efforts focus on:

- Assistance to NEAP with the development of an internal M&E plan. Many of the elements will carry over into the NEMA internal M&E plan.
- Through the efforts of NEIC on the National Environmental Information System — strengthening existing district and subdistrict data collection systems, as well as a framework for linkage with NEMA and NEIC.
- Assistance to MUIENR in establishing and maintaining the Biodiversity Data Bank.
- Assistance to UNP for an in-park M&E system.
- An M&E system for the GMU and subgrantees.

Future activities planned include:

- Assistance to NEMA with further refinement of its internal M&E system, including: policy and investment program impact legislation; environmental information; environmental standards; environmental assessment and oversight; environmental education; the human resources development; operational linkages with line ministries; and, operational linkages with district level institutions.
- Assistance to NEMA in the establishment of the district information system through NEIC on a pilot basis until the World Bank Capacity Building Project becomes available.
- The development of guidelines by GMU for core indicators and common methods for collection and management of subgrant generated data. Once the system is operational the GMU will feed relevant data to NEIC.
- Assistance to UNP with the development of an in-park ecological monitoring system that can be used at the ranger level.

2. Bridging NEAP/NEMA: Transition to Subnational Levels

The NEAP/NEMA Secretariat will assist the districts to establish the environmental planning structures included within the action plan (NEAP). This will include assisting the districts to translate national policies and actions at the community level, eventually to be compiled into a DEAP. In particular, assistance to subnational activities will focus on the continued development of guidelines for specific subjects of environmental management, training of the Local Environmental Committees (LEC), DTPC, and DEOs, development of DDPs and DEAPs in selected districts and general support to the DEOs. While the District Council is expected to provide the long-term vision of what the district will look like in the future, the district sectoral departments and subcounties are expected to collaborate to achieve the common goal. The LEC and DTPC are of central importance in this process.[3] Work will continue in the original pilot districts chosen by NEAP with a few modifications. First, since Kasese has expressed the most interest for NEAP assistance in developing a DEAP and a DDP that incorporates environmental concerns, NEAP will place considerable emphasis on assisting Kasese to develop a DDP/DEAP as a pilot exercise. Mbale and Kabale will continue receiving assistance as they have PCVs and have committed

[3] See Annex G for further elaboration on Decentralization.

to recruiting DEOs. Arua and Mbarara will receive team-building workshops during the time frame of the bridging proposal. Tororo has been added as a pilot district and will also take part in a team-building workshop.

a. Further Development of District Environmental Management System

The relationship between central government agencies and the districts has changed as a result of the decentralization of authority to the districts. The central level will provide policies and technical advice to the districts, who have the responsibility for planning and implementation. Central level agencies can no longer dictate to the districts, rather they should provide policy, direction and advice. During NEAP district consultations, their requests for assistance have been reflective of this change in authority. Districts have requested NEAP to provide guidelines for environmental management and technical assistance in implementing these guidelines. At the same time, districts expect autonomy from the central level.

In this changing context, NEAP/NEMA will continue to provide guidelines and technical support to the districts. As the current NEAP decentralization guidelines only give direction to the districts for environmental management, they will likely go through more revisions as the districts move towards implementation, and developing their own preferences for management structures. Several possible revisions are foreseen by NEAP during the next year.

The Ministry of Public Service in liaison with the MLG is conducting district reviews to restructure district level civil service. This will create district sectoral departments. The guidelines will be revised to allow for appropriate links between these new departments and the structures already put in place.

The MLG's Decentralization Secretariat is currently working on district planning guidelines. NEAP will coordinate with the Decentralization Secretariat to ensure that planning methodologies contained in the guidelines follow those proposed by the MLG. Once MLG's planning guidelines are finalized, the guidelines for environmental management may be revised to more fully reflect their contents. The first completed revision is expected by June 1995.

b. Assistance to the Districts to Develop DDPs and DEAPs

NEMA will assist the Districts in developing a DEAP and a DDP. A planning workshop will be conducted in Kasese in approximately May/June 1995 to develop the framework for the DDP and DEAP. The final DDP and DEAP will be completed by August 1995 following sectoral input into the plan and will be submitted for approval and funding in September 1995. Drawing on the Kasese experience, other districts are expected to receive similar assistance.

Within each relevant ministry there will be an ELU to ensure that environmental policies are fully integrated into all ministry development policy and programs; to ensure that environmental concerns are considered in all activities; to provide technical advice to the districts; and to assure that activities contribute to both a healthy environment and improvements in people's lives. The ELU will assist NEMA in district level coordination.

c. Support to District Environmental Officers

Activities during the bridging period will concentrate on the provision of training and technical support to the DEOs as well as assistance in establishing their offices in those pilot districts that have already recruited DEOs.

3. Local Level: Decentralization of Environmental Management

a. The Situation: Policy and Institutional Development

One of the central objectives of NEAP is to assure that environmental and natural resource management policy development includes full public participation in the planning process and in all ensuing environmental improvement activities. The intent of the policy is to include an increased level of public understanding, awareness and appreciation of the linkages between environment and development. At the same time, decentralization of natural resource management is part of the effort of the GOU to promote public participation in all sectors of government. The decentralized local government system, being implemented over the past three years by the GOU, is seen as a framework for improving natural resource management.

The APE Evaluation Team visited Kasese and Kabale Districts where they met with government officials and civil servants, committee representatives, and community residents. While the numbers of contacts were necessarily small and time was limited, the team did observe a considerable difference between the two districts. This is understandable given the manner in which participating pilot districts were identified. Had they been selected based on their interest in participating, chances are some of them would be expressing more "readiness" for decentralized planning. The Evaluation Team sensed there was considerable variation among officials and districts concerning perceptions of the degree and type of local community participation that was anticipated in the environmental planning and implementation process. This also carried over to their visions of the type of community capacity that was ultimately wanted, and how they hoped to go about developing this capacity in the future. Given the fact that participatory planning is a totally new concept in Uganda, it will take time for everyone to understand the opportunities associated with decentralization, and possible ways of making it all happen. Kasese District officials had a better idea of the potential that existed for involvement of local communities, for example, one Assistant District Executive Officer (ADES) stated, "The vision of NEAP is good... it is to get grassroots input into the process. The PRA (participatory rural appraisal) which was done is a good mechanism to hear from the people.... we must train them about environmental problems and what to do about them...and problem identification..."

On the other hand, in Kabale District officials seemed to view local community participation in planning as a foreign idea. Neither did most district officials have any familiarity with NEAP and future plans for NEMA. One notable exception was the newly selected Environmental Officer, who seemed to understand that community participation in environmental matters was essential and he has started to contact the surrounding communities. However, the Environmental Officer will have great difficulties if he is the only one who accepts community participation as an integral part of the planning process. At the community level, it may take longer for these new ideas and possibilities to filter down, simply due to the greater distance in communications. There would, therefore, be value in working in both district and community levels simultaneously, beginning where there is a "teachable moment" based on readiness.

b. Linkages Between District and Local Levels

District development plans are expected to incorporate action plans for environmental monitoring, natural resource management and protection. These will be formulated in the LEC, in collaboration with the DTPC. There is an expectation that the capacity to carry through on this will be tied to linkages between the various levels of government which promote: people's and NGOs participation in planning, decision

making and implementation; the mobilization of human and other resources; and local capacity building in environmental management.

In Kasese it is clear that district decision makers are looking to NGOs as one of the partners in this process. In fact, the process was started with a series of sensitization (awareness-building) workshops at the subcounty level, and with the conduct of participatory rural appraisals (PRAs) in local communities. Following an intensive training process in March, 1995, a ten-member team began to assess the needs and priorities of parish-level communities using informal interactive exercises, (e.g., time lines, seasonal calendars, time budgets, ranking techniques). The team was composed of DTPC members (e.g., Economist, Environmental Officer, Culture Officer, Health Visitor, Agricultural Officer, Planner, Council Clerk), and NGO representatives (e.g., Women Council, Appropriate Technology/Rural Development, Red Cross). In the subcounty of Karusandara, for example, a one week assessment took place with the following issues being identified by communities as important: land tenure, agriculture and land use, infrastructure, health, education and environment (i.e., land degradation, disappearance of trees, land slippage, floods, reduced grazing). A total of five PRAs will be completed in Kasese District to put together a DEAP.

PRAs are now viewed as the primary method of involving communities in environmental planning. While they can be very helpful for encouraging community participation, and for obtaining a "sense" of people's priorities, it may be important not to put total reliance on one approach, nor to overdo its use. This approach can consume a lot of time and resources, and result in much data. It can also build up people's expectations concerning action. Therefore, PRA trainers and other leaders may want to give careful consideration to the reason for data collection, and the way in which it will be used. There are a variety of ways to encourage people's participation — depending on one's objectives, resources and time available.[4]

The Kasese ADESs commented that they hoped to get the LECs operational in all subcounties in order to identify environmental problems, and when they were able to get technical people on staff, the committees should be able to direct them to the worst problems, help monitor and oversee local problems, and educate parish residents and leaders using a "small trainer team" approach. It was noted that there might be problems implementing the LECs' work; for example, the Resistance Councils (RCs) may want to dominate the process, perhaps not seeing the value of including NGOs and other government people on the committee, therefore the RCs would need to be educated on the roles of the LECs, their value, and the importance of achieving a balanced committee membership. Kasese District officials placed a high level of importance on building community awareness at all levels. One person said: "environment is a new concept in the area..... all key players must be involved ..... there is a readiness now as too many floods and land slides have destroyed people, their lands and their crops. "

In Kasese District the Evaluation Team met with residents from a village that participated in the PRA process. When asked how they felt about this method of obtaining their views and concerns, they commented that if their views are really heard, or used, the activity will have been useful. They liked the idea that district level people came to talk to them directly, as opposed to the reverse. They said that when their problems are taken by their elected representatives to the parish, then to the subcounty, then to the district, they are not sure their ideas are reported accurately, if at all. In their opinion, there is a problem of too many levels through which information has to pass.

A DEO is to be employed in every district to coordinate, train and assist district personnel in improving district capabilities in environmental management. This person is seen as key to improving the district's

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[4] See Annex I for a more detailed discussion of local capacity building through participation.

capacity to plan and implement environmental programs which not only maintain and improve the environment, but also lead to better community economic and social development. Essentially, the role of this person is comparable to that of an "environmental/community development extension agent" in that the individual's responsibility will be to promote community participation in the design, implementation, monitoring and evaluation of environmental activities. This individual is seen as the link between the districts and the ministries. His or her role will be to assist NEMA to gather environmental information, develop public education programs, build the capacity of local government at subcounty and parish levels with regard to environmental planning and problem solving, work with the LEC, and liaise with the DTPC. Only in a few districts are DEOs in place. The DEOs in Kasese and Kabale have been in place for approximately four months. In other districts recruitment is in process. Three districts (Kasese, Kabale, Mbale) have Peace Corps Volunteers (PCV) assigned to work with the DEO.

At the local level (Subcounty/RC III) NEAP has recommended there be a LEC which would function as a local planning unit. This level of government has an infrastructure in place and is a legal corporate body. It has some technical personnel who are trained at a slightly lesser level than those at the district level, the capacity to initiate bylaws and to collect and retain taxes, and is represented at the district level. Although the subcounty process has barely started, suggested LEC membership includes subcounty MLG members, the subcounty Chief, and four other representatives who may come from NGOs, government, extension, grassroots organizations or farmers' associations. Total LEC membership should be limited to nine. Subcounties' plans are to be based on information collected at lower levels, and on the active participation of local people and groups. The potential does exist for active and broad community participation in the planning process. Whether this actually occurs will depend on the kind of training and encouragement given to local leaders and civil servants, and on their access to resources to carry out some of their priority plans.

c. Community Participation

According to NEMA, community participation will be encouraged in the following ways:

- Through normal government representation in the DTPC, LEC and RC;
- By placing natural resource management responsibility in the hands of communities, through their own natural resource plans which would be supported by local bylaws;
- Through the LEC's and DEO's active solicitation of organizations' and individuals' views;
- By posting implementation plans/costs in public areas and/or by holding public hearings to discuss plans;
- By educating the public on environmental issues, their rights and responsibilities; and,
- By ensuring the public has sufficient incentive to participate in environmental planning and other activities.

NEAP has recommended certain guidelines for ensuring that gender differences in resource utilization be considered in district and subdistrict environmental planning and information collection. These include the active representation of women at all phases and levels of the planning process; the collection and analysis of environmental data by gender; the assurance that DDPs will adequately address women's issues and roles in natural resource management as a result of District Development Committee (DDC) and District Resistance Council (DRC) oversight; and that all plans aggregate the potential impacts of proposed activities by gender. There are still relatively few women in district and organizational leadership positions, and to date, there are none hired as DEOs. Will there be women recruited for

positions in NEMA? Special efforts are needed to identify, recruit and train women for some of these positions in order to establish more role models, and to more effectively meet the needs of women in the society. Technical assistance has been somewhat dominated by males as well.

NEAP sees the public assuming a role in environmental impact assessment beginning in the early stages and continuing throughout. At the district level this will be accomplished through the LEC's and DTPC's provision of local expertise and assistance in setting up *scoping meetings* between the public, the developer and the environmental impact team. These meetings would include: (i) a participatory identification of significant environmental issues associated with a particular development project; (ii) the identification of individuals and institutions to be involved in the assessment, and types of expertise needed to complete the assessment; (iii) a participatory reassessment of the project design and consideration of alternatives to lessen environmental impacts; and (iv) a plan for how the assessment will be conducted.

While the NEAP appears to open the door to active and participatory partnerships between the government system and the community, there are still many issues to be resolved before elected officials, civil servants and local communities are genuinely committed to truly collaborative planning and decision making, program implementation and monitoring and evaluation. Much will depend on people's past experiences with participatory processes, their attitudes toward the sharing of control, and exactly what they see as "participation." For example, when the Evaluation Team visited the two Districts of Kasese and Kabale, there was some indication that it may be difficult for some district officials and government staff to allow community people and groups to take on the necessary responsibilities that will be necessary to build commitment and capacity for carrying through with their own plans. On the other hand, local people and community-based organizations (CBOs) appear to be willing and ready to learn how to take on more responsibility, and to do so with a minimum of outside resources.

Training for politicians and local leaders will be especially important. Where there is potential for local NGOs to assist in the process, they too should receive training and support. A "train-the-trainers" model may be effective for building independence rather than dependence. Training that helps everyone see the positive contributions that can be made through broad involvement, in contrast to the potential threat to authority, will be important. While decentralization is intended to lead to improved government services, this is unlikely to happen without a broad buy-in from many different interest groups. By enhancing community ownership in the process, and allowing more people to understand how priorities are established, residents are more likely to be happier with services even though they may be limited.

As committees are established (LECs, DTPCs, ministerial liaison committees), and positions are in place (DEOs, other key civil servants), informal workshops might be organized to help these individuals and groups clarify their functions, define their roles and responsibilities, and then lay out a plan of work that can be accomplished within a reasonable amount of time. Short-term accomplishments will be important for maintaining enthusiasm, as will resources to do the most important things. Since the process is new, there may be some "bureaucratic trouble shooting" with which technical assistance can help, such as ensuring there are needed office facilities and transport for the DEOs.

Some technical assistance might also be directed to helping with the development of a district NGO/CBO/PVO-local government mechanism (comparable to a district level NARM Forum chapter). Even though there may well be a place for an international NGO to organize this type of body, technical assistance will probably be important to stimulate group leadership and maturity so they can facilitate local level awareness, planning, and eventually, activities. They will benefit from guidance in defining their linkages to local government and the private sector, and they will need to clarify their roles and responsibilities so they are not overlapping or conflicting with others' roles.

d. Technical Assistance to Decentralization/Community Conservation

In approximately December 1992 APE began to provide technical assistance to NEAP in community conservation through the Community Conservation Advisor (CCA) position. This position was intended to integrate human concerns into the implementation of decentralized natural resource management. Initially, the CCA was assigned to the DEP. However, since the mandate for NEAP was not part of this department, nor did DEP have the capacity to assist with the NEAP process, the position was later informally reassigned to NEAP as the link between the districts and NEMA. Several months later this input was further strengthened through the temporary secondment of a Decentralization Specialist from the MLG Decentralization Secretariat to help with the development of guidelines for local governments' and other groups' application of NEAP at subnational levels. The PCVs are also hired to assist district/subcounty officials as well as DEOs with NEAP implementation interventions. Principle areas of technical assistance that pertain more directly to the long-term decentralization of NEAP and building the needed capacity to do this are described below.

(i) Diagnosis of DEP Capacity and Needs

An initial review of DEP capacity and needs was conducted as part of a workshop for environmental officers. The outcomes indicated that there were major institutional problems in the department, and that there was little capacity to implement the NEAP. Most environmental officers were assigned to projects, and the remainder had little means of carrying out the department's mandate to monitor, control and decrease environmental degradation. A task analysis for environmental officers was conducted, and through the regionalization working group, questionnaires were sent to each district to identify priority problems and needs; and interviews were conducted in five districts to determine the state of environmental management and support needs. A self-evaluation training needs assessment was carried out among environmental officers.

(ii) Development of Environmental Officer Training Program

Job descriptions for environmental officers were drafted, shared with environmental officers, and refined through a workshop process. A training program was designed for the DEP to increase environmental officers' capabilities in providing environmental planning assistance, and to facilitate the NEAP process at the district level. Models for regionalization of NEAP were developed for the institutional framework. As new environmental officers are recruited by the Districts they will be trained by NEAP and APE technical assistance. This will be a very important activity since these are new positions, and they will be key to NEAP implementation. The job of the DEO is a difficult one in that the individuals must see themselves as facilitators or "enablers." It is a position where they need to make others look good, and allow others to take responsibility. Technical assistance could assist a lot here, in cooperation with the appropriate local government supervisor, in helping the DEOs establish priorities, draw up a plan of work, determine how their work will be evaluated (by constituents), and ensure that there is an interactive annual review of their work. Mechanisms will need to be identified to recognize the DEOs and their team members for their contributions. There is always a danger that individual accomplishments will be lost when team efforts are valued.

DEOs can be trained to assume the role of "trainer" by working with them to model the type of training workshops that might be carried out by other people at subcounty or parish levels. Their training should always contain lessons in both *content* and *process*. Content refers to specific technical background, for example pertaining to environmental monitoring, conservation practices, agroforestry interventions, how to conduct a focus group or PRA wealth ranking exercise, and so forth. Process refers to participatory training methods such as techniques to give trainees practical experience in forming open-ended questions,

leading a focus group, and helping a small group analyze their own data. They should be able to train other small teams on how to train the next level of trainees.

(iii) Development of NEAP Guidelines/Strategies for Local Levels

Mbarara, Mbale, Kampala, Kasese, Arua and Kabale Districts are APE's "focus" districts. Each has a different agroecological, sociopolitical, cultural and economic situation. Some are eager to implement the NEAP; others appear to be less interested. It may be worthwhile to put greater priority on responding to the needs of those districts and communities that are interested and ready to proceed. Where some districts are able to advance with committee identification, definition of roles, engaging in participatory planning processes, and so on, why not consider having a district trainer team go to another district to assist them with their process. A "sister district" concept might evolve and serve as a continuing support mechanism. Brief descriptions of each district can be found in Annex H.

A district activities unit was established through NEAP/APE to develop guidelines to assist the districts in developing DEAPs which, in turn, would be integrated into DDPs. With the Statute serving as a framework, the NEAP/Ministry of Local Development (MLD) Decentralization Specialist and the NEAP/APE Community Conservation Specialist have worked closely with various national and subnational ministry and NGO representatives to develop guidelines for decentralizing natural resource management. This process has involved a variety of activities including such things as the development of bylaws; seminars and workshops in gender and environment sensitization, monitoring and evaluation, team building, and participatory community planning techniques.

The guidelines document, now in draft form, provides guidelines to district officials and committee members on ways to ensure that there is "participatory decision making, transparency, accountability and sustainability in the entire development process (NEAP 1994:2)."

(iv) Capacity Development for District Environmental Committee Members

LECs have been formed in the focus districts and at various levels of operation. The Kabale DEC is active and has produced a draft environmental plan. The Kasese LEC has taken steps to explain the decentralization process and the role of the LEC to subcounties. The Kasese MLG has voted funds to the LECs. Mbale, Mbarara and Arua have formed committees but as yet they are not functional. Kampala will have an environmental unit, with technical support from NEAP, in the office of the town planner. Based on the NEAP, the DECs will include representatives of NGOs and line officers as ex-officio committee members. There are differing views in the districts concerning the composition and value of the LECs. In Kasese District officials are in favor of having nonpolitical representatives on the LEC, however in Kabale, officials do not want to create another planning committee for environment, let alone invite nonpolitical people to join the planning process.

The process of identifying basic training needs for members of LECs has started and will continue into year three. The team, with the assistance of the GMU training coordinator, has contacted district executive secretaries and RC chairman in four pilot districts concerning training needs of LEC and DTPC members. A training needs assessment was conducted as part of the team building workshops for line officers and councilors in three districts. A training program is being written for pilot districts implementation. The training resulted in district commitments to the recruitment of DEOs and DTPC members, and to the provision of facilities for their collaborative activities.

WRI provided assistance in developing subcounty planning processes and guidelines. Suggested procedures provide for strengthening the links between the subcounty, village and district levels. Once

target areas are identified, subcounty and parish level training will begin in such things as bylaw formulation, information systems and organizational development. The planning process will include projects appropriate to local communities, as identified by the communities themselves.

B. SUPPORT TO INSTITUTIONS MANAGING PROTECTED AREAS

APE has provided support to the three agencies currently managing protected areas — Uganda National Parks (UNP), the Game Department (GD) and The Forest Department (FD).[5] APE's assistance focused heavily upon the functions of UNP. The Game Department and Forest Department received some assistance but to a lesser degree. In general the purpose of the assistance was improved management of the protected areas.

There were several instances where the Team found that recipients of support (particularly material support) from USAID were unclear as to whether or not it came from APE. Instances occurred in both UNP and the FD. One Warden asked for this to be clarified when future support is given. In most cases, the Team has assumed that examples quoted by recipients fell under the APE umbrella, and has cited them accordingly.

1. APE'S Support for the Protected Area System

a. Long-Term Technical Assistance

APE supports UNP with two long-term technical assistance (LTTA) posts; a Chief Financial Advisor (CFA) and an Assistant Parks' Manager (APM).

(i) Chief Financial Advisor

Two incumbents held this position, with an intervening gap of about three months. Their counterpart was and is UNP's Chief Accountant. The view at UNP headquarters is that this assistance came at a most opportune time — for financial control was weak and considerable amounts of revenue were being lost through theft. The Team was told that, through this component of LTTA, APE has introduced innovative ideas (including computer technology) and increased efficiency. As a result, UNP now enjoys tighter financial control, fewer opportunities for theft, has an improved accounting system and improved accountability.

Wardens-in-charge and Chief Wardens, interviewed in the field, also praised the new system used for collecting entrance fees at park gates, which ensures that receipt books are accounted for and not misused, with the result that previous losses in revenue have been brought under control.

In short, this component of LTTA has generated several beneficial outputs of short- and long-term importance to UNP and the future Uganda Wildlife Authority (UWA). Some of these outputs include:

- The introduction of computer literacy (MS-DOS, Lotus 123 and dBase VI) to finance personnel — a program that is continuing — and the introduction of computerized spread sheets for storing, managing, retrieving and reporting financial data.

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[5] For a introduction to these three managing agencies please see Annex F.

- Training in financial management at the Eastern and Southern African Management Institute (ESAMI). Four finance personnel have already been trained, and seven are due to start during 1995.

- The Chief Accountant and three colleagues, plus the CFA, visited Kenya National Parks and Tanzania National Parks to compare their financial operations with those of UNP.

- A finance management workshop in June 1993, was attended by senior headquarters staff and Wardens (Downing, 1993).

- Gate guards from selected national parks attended workshops in January 1994 and 1995. Gate Guards are responsible for handling money collected at park entrances.

- A workshop, attended also by representatives of donor agencies, was held in July 1994. The topic was means of improving sources of revenue.

- Awareness of the need for budgeting and budgetary control was heightened within UNP headquarters and spread into the parks, where it had not before existed. Previously, all annual budgeting had been processed by the Chief Accountant. As a result of APE, primary budgeting can now be phased across to Wardens, who will then pass their submissions to headquarters for scrutiny, editing and incorporation into the final UNP budget. This gives Wardens a greater say and sense of responsibility in the management of their parks.

- UNP is now able to establish properly managed trust accounts for the National Social Security Fund, revenue sharing, union dues and the Commercial Transaction Levy; putting an end to the chaos that is said to have reigned prior to APE.

- The CFA has made input into UNP's extant revenue sharing system; has advised on park tariffs for 1996; advised on the new pension system; helped in standardizing UNP concession agreements; and assisted in smoothing the way toward the merger into UWA.

- A new position of Internal Auditor has been created and filled.

The Team considers this component of LTTA to have been successful in bringing UNP's financial accounting under systematic control, at a time when this was badly needed. Future work of the CFA will continue to solidify the gains already made at the UNP and deal with the additional challenges of the merger with the Game Department. Of particular importance is the need for UNP (and the future UWA) to account for different sources of donor funding. The UNP will be receiving larger amounts of donor funding from a range of sources. Since each donor has their own requirements, UNP will need to establish a system to meet these. Other assistance, probably through short-term consultants, includes the need for a comprehensive personnel policy that lays down levels of qualifications for different staff grades, criteria for promotion and procedures for exercising disciplinary action and rights of appeal.

(ii) Assistant Parks' Manager

Under his terms of reference the APM is to be a senior technical advisor to USAID in Uganda, and serve as "a counterpart to the Director" of UNP. In this capacity, he is "to advise the Director on constraints and opportunities associated with the management of Uganda's national parks." UNP believes that this was an appropriate appointment, particularly with UWA imminent and the Director's role becoming increasingly complex and demanding.

At the time of the review mission, APM had been at post for ten months. During this time, he had traveled extensively and visited all but one of the ten national parks, and had formed working relationships with a broad range of UNP and project staff. The outputs of the post are less easy to identify than those of CFA, for most relate to long-term processes that take time to bear fruit. At the time of the review mission, the APM had:

- Reviewed available management plans, and established a basic planning library. This activity has confirmed the need for stronger planning capacity within UWA, so as to ensure consistency of approach and to speed up planning.
- Held discussions on park planning and management with Wardens and others, during APM's field visits.
- Worked on UNP's construction budget for highest priority parks, and on a systematic process for planning, design and construction.
- Chaired a committee on the design of a national conservation trust.
- Produced a comprehensive memorandum on radio systems for the guidance of headquarters and senior field personnel.
- Contributed to two UWA merger workshops.
- Became a member of the Ugandan delegation to the forum, Africa 2000, sponsored by International Union for the Conservation of Nature (IUCN).
- Helped the development of revised information leaflets.
- Contributed to environmental impact assessment guidelines for concession developments.
- Helped analyze and suggest improvements to the failing trekking operation for visitors to Rwenzori National Park.
- Reviewed earlier training needs' assessments, and identified specific training needs for his counterparts.

The APM's reports seen by the Team are clear and systematic, and contain useful and relevant details. Wardens at parks visited by the Team reported that the APM had made positive contributions — especially in providing advice on construction and management planning. The Rwenzori Mountains Conservation and Development Project (RMCDC) also reported constructive contributions from the APM. He had contributed to management planning and provided advice on (and support to) improving park visitor services. However, in Queen Elizabeth National Park, the Team found that the Chief Warden and Acting Chief Research Officer of the Uganda Institute of Ecology (UIE) were unclear as to the APM's role, even though he had visited the park on at least four occasions and carried out specific tasks there.

In his scope of work, the APM is to "serve as a counterpart to the Director of Uganda National Parks (UNP)," and be an advisor to the Director on specified matters. This arrangement is unusual in that TAs are more commonly assigned local counterparts to work with them, and these local counterparts are then trained by the TAs to fill specific roles at the end of the technical assistance program. Although the scope of work calls for an element of on-the-job training in management planning, the Team believes that

this does not go far enough. As there are clearly high priorities for establishing a Planning Unit and an effective information management system within the new UWA, the Team feels that the APM's scope of work ought to be more closely focused upon these objectives, rather than act as advisor to an already experienced Director. UNP needs to create positions and recruit for counterparts as appropriate.

The title "Assistant Parks Manager" seems inappropriate. The Team believes that "Chief Planning Advisor" would be more fitting.

b. Short-Term Technical Assistance

Several reports, relevant to the management of protected areas, were produced through short-term consultancies. (See Annex D for a complete list of STTA reports produced). UNP found these reports appropriate and useful. In particular, it acknowledged that STTA support served significantly to enhance UNP's capacity in dealing with concessions. At field level, Wardens and Chief Wardens rated the workshops under park revenue and financial management to have been especially useful.

c. Material Support

There are many instances of material support to UNP, and some to the GD and FD. Those cited below, based upon interviews with Team members, can only be illustrative as only four of the national parks were visited.

UNP is grateful for the material support received through APE. It stresses that USAID is one of the few major donors to have shown a willingness to give direct support to field management, and that this support was most appropriate, having come at a time when the national parks system had been greatly expanded. Material support has included funds to enhance law enforcement; support for developing infrastructure; and the provision of motor vehicles, computer systems and software.

Some notable examples of material support in Queen Elizabeth National Park include:

- USh7,000,000 to purchase fuel and hire temporary labor for improving existing, and opening new, motorable tracks;
- USh70,000,000 to purchase a Land Rover for carrying visitors in Chambura Gorge in order to generate revenue, and to purchase two outboard engines;
- With CARE the implementing agent, USh75,000,000 to overhaul the park's 42-seat launch, which produced what was virtually a brand new vessel and to rehabilitate the electricity at Mweya;

And in Bwindi Impenetrable National Park:

- USh3,000,000 to park ranger patrols, which covered costs of boundary demarcation, patrol rations and fuel for transport;
- USh130,000,000 for construction of buildings at the park headquarters, and three patrol outposts.

The GD was also the recipient of material support to further the work of the Uganda Wildlife Education Centre (UWEC) at Entebbe. Details of support appear in the section below that describe the Centre.

Support to the FD comprised USh100,000,000 to be spent on assisting management in selected prime forest reserves that were rated as being rich in biodiversity and under adverse pressures. The selected reserves were: Budongo, Mabira, Kasyoha Kitoma, Kalinzu and South Busoga. Fifteen percent of the support was used to purchase marking hammers and to acquire supplies for the herbarium at FD headquarters.

d. Training

Limited APE support for training in the wildlife and protected area sector has been included above in the sections dealing with LTTA (Chief Financial Advisor), under which training in financial matters was organized; and under Material Support, where USh2,571,900 was provided to cover training in management techniques for the Warden in charge of the UWEC at Entebbe.

The UWEC, based at Entebbe, is funded by the Uganda Wildlife Education Trust (created through $50,000 USAID PL-480 emergency funding), and managed by a Warden seconded from the GD. The Trust was created to provide much needed management for the Entebbe Zoo, and to facilitate fund-raising and revenue generation, which would be used to develop the zoo as an environmental education center and tourist attraction. In response to a request for support, USAID has already provided local currency as follows:

- USh20,379,190 for topographical survey and moat excavation;
- USh2,571,900 to provide training in management techniques for the Warden in charge of the Center; and
- USh37,891,748 as a bridging fund for the Center's account, to cover animal feed, water, veterinary supplies, telephone bills and stationery and to enable outstanding bills to be settled.

The UWEC has prepared a proposal for further support (UWEC, 1995), which seeks three years of operational, technical and capital support. The aims are to enable the Trust to develop its programs and the institutional self-sufficiency that it needs to assure the UWEC of long-term viability. The support, together with that provided by government and other donors, will provide the Trust with the technical and financial assistance that it will require to strengthen the Center's management, meet staff training needs, renovate some facilities and design and construct others.

The sum requested of USAID is US$1,120,500 out of a total budget of US$2,615,500.

The Centre states that it intends to play a pivotal role with respect to tourism development and environmental education. The extent to which these functions help address the overall purposes of APE needs to be evaluated, and compared with those of others such as: support for continued park infrastructure development, research, training and technical assistance.

e. Other Assistance

(i) Makerere University Institute of Environment and Natural Resources

MUIENR provides information, planning and training support required for environmental management including implementation of the Action Plan. The long-term goal of MUIENR is to develop both human and infrastructure capacity to generate and collate information on environmental matters, and to

disseminate that information, especially to government agencies and NGOs, but also to individuals and the public, especially through training.

The Center serves as a repository for environmental literature, including, but not limited to works done in Uganda. The repository collects as far as is possible all environmental reports, proposals and other documents (including for government and NGOs). Bridging funds for the pre NEMA period will be used to assist the Center in the acquisition of more books and reports and support for the librarian and library assistant.

The laboratory trains Ugandans and others in Geographical Information System (GIS) and Remote Sensing skills, especially in their applications for land-use planning and biodata analyses. The laboratory has been able to increase the work stations from the original two, to six, with a target of ten stations. In addition, a uninterrupted power supply (UPS), digitizer and A3 color printer have been procured, enabling the lab to have a capacity to print maps. Bridging support has provided laboratory supplies, maintenance of existing computers, and the preparation and publishing of training manuals. MUIENR is also currently managing the Kibale Forest Project and the Makerere Biological Field Center in Kibale.

Because of its infancy, MUIENR's established positions (on the University payroll) remain limited while the program has expanded. Additional personnel have been employed to close the gap. Some of the bridging funds were used to support these personnel to continue the development and evaluation of environmental indicators for the district profiles.

(ii) Makerere University Institute of Social Research (MISR) Rehabilitation

The project, supported through the Agriculture Non-Traditional Export Promotion Program (ANEPP) and PL-480 funds, began in 1990 and, through several USAID funding extensions, and joint World Bank - USAID/local currency support, is now supported through June, 1996. The objectives of the project include land tenure research, technical input to the Land Tenure Reform Law, and institutional support to the MISR. Research has been carried out on land disputes, common property issues, land markets and buffer zones (in association with protected areas). Findings are fed into policy development through an interministerial land policy subcommittee and into various projects, for example, DTC/CARE, Lake Mburo Community Conservation, and Agroforestry Research Network for East and Central Africa (AFRENA).

f. Non-Project Assistance

There were three sets of conditions precedent to disbursements for the non-project assistance portion of APE. These included (i) the establishment of a NEAP steering committee, the selection of the NEAP coordinator, establishment of the NEAP Secretariat with a staff and task forces; (ii) the designation of Bwindi and Rwenzori Forest Reserves as National Parks and the increased conservation status of Kibale, Semliki and Mount Elgon Forest Reserves as well as a plan from the Ministry of Tourism, Wildlife and Antiquities on how and when it will open park concessions, including tourist accomodations to the private sector; and (iii) completion of the NEAP and official adoption of the NEAP.

Assistance was provided for the upgrading of forest reserves to national parks. UNP regarded this very favorably, as it added five areas to the national park system and increased its size by some 46 percent. The removal of forest reserves from control of FD to UNP may, however, have been counter productive to inter-agency relationships and to management. The FD claimed that the areas could have been better conserved under a joint management venture, in which the FD would have been responsible for the forests. This example illustrates that UNP, with growing responsibilities and insuffiicent resources needs

to look for alternative management systems, which could include interagency collaborative management and community based management.

There is much confusion on the part of some USAID documents on what privatization means. Within UNP, certain concessions provide for tourists services such as meals, lodging, tours, launch trips, guide services, etc., which were formerly an integral part of the UNP operations. These services are now being privatized through concessions contracts. At present 14 contracts have been completed. This is the privatization called for in the Program Grant Agreement. There will be services for tourists that are established by the private sector outside national park boundaries. These may be part of APE through the GMU but are not part of the grant to UNP.

2. Observations

In July 1996, UNP and GD are due to merge into a single entity — Uganda Wildlife Authority (UWA) - which will have parastatal status, be subject to the authority of a new Board of Trustees (BoT) and have the MTWA as its parent ministry (Anon., 1994). The process has already begun with the aim of achieving a smooth transition. The GD's responsibilities for protected areas will shortly be transferred to UNP control as part of the three stage procedure leading to the new UWA. Some of the issues related to this are described below.

a. Financial Resources

UNP currently has three major sources of recurrent income (Ziegler, 1994). These, together with estimated figures for the 1994/95 financial year are:

- Government's allocation — USh300 million
- APE's grant — USh125 million
- Revenue earned — USh866 million

Revenue earned, which accounts for 67 percent of total recurrent income, is highly dependent upon tourism; and the major components of tourism that contribute to revenue are:

- Park entrance fees — 33 percent
- Primate viewing (a source of income of relatively recent origin) — 29 percent
- Concession fees — 11 percent
- Launch hire — 10 percent

UNP's dependence upon revenue earned through tourism will become increasingly important should USAID support be withdrawn or if the annual government allocation is reduced.

Revenue generated from tourism is not spread evenly across the park system. Three parks in particular — Queen Elizabeth, Murchison Falls and Bwindi Impenetrable — account for almost 80 percent of total tourism revenue, and they are the only parks where tourism revenue exceeds operational expenditure.

UNP and the new UWA will face four major challenges: how to maximize revenue from existing sources; how to enhance the revenue generating potential of parks that currently operate at a financial deficit; finding ways of offering a wider range of revenue-earning activities to a broader range of visitors;

and how to diversify revenue sources so as to lower dependence upon tourism — an activity that can be highly susceptible to influences that lie beyond UWA's ability to control.

These challenges will have to be met in the face of several constraints: poor park infrastructure; poor staff housing and low pay (which adversely affect recruitment and staff morale); inadequate manpower and technical capacity; and lack of business experience — to name but a few. Considerable capital expenditure must be made to address these issues; and training programs should be accelerated to strengthen UWA's operational capacity. Coupled with these constraints is the merger of UNP and GD, which may force the new agency's financial resources to be spread over a broader mandate.

With the expansion of the national parks as demanded in the PGA, and conversion of those forest reserves for which the PGA demanded forest park status to national parks as well, the absorptive capacity of the UNP to manage has been exceeded. USAID must increase the institutional capacity to manage what it has created. UNP must in turn explore alternative management formulas for a coordinated protected area system using limited resources. These could include increased community involvement in management and joint management systems with other government agencies.

b. Information Management

APE seems not to have played a formal role in this context, and the subject does not appear in the APM's terms of reference although some of his intended outputs are components of an information system. This, however, is a field that needs to be developed further.

Information (or data) may be gathered, recorded, stored, analyzed and forwarded in reports to other management levels where the process may be repeated. At the lowest level, Ranger Patrols gather and record information such as encounters with law-breakers, signs of law-breaking, observations on plant and animal occurrence and weather. Research Assistants may gather data on such phenomena as range quality, tree density, animal numbers and distribution, climatic change, stream flow and public perceptions of protected areas — the latter from both local inhabitants and tourists. Accountants gather information on fees collected from different classes of visitors — by day, by month and by year — and from other sources; and they record expenditure. These packets of information are forwarded along the line to Wardens, to Research Officers, to Chief Accountants, to the Director, and even beyond. At each stage they are (or should be) analyzed and stored, and may be summarized or reordered for onward transmission.

The means of transmission is the report (Clarke & Bell, 1984a). Reports may be prepared at the end of a patrol, or weekly, monthly, quarterly or annually, or at the end of a specific project or program. They are prepared at all levels for submission to supervisory levels above. The reports should bear data that provide feedback by which progress is assessed in relation to objectives set out in system or management plans and work programs. The data should cover all facets of UNP's activities. Correctly designed activities, standardized methods of reporting on them and the methods of systematically evaluating reports are essential features of a control system operating on an adaptive management basis.

Control of the overall information management system should be the function of a unit within UWA — perhaps its Monitoring or Research Unit. The Team feels that APE should focus attention on this subject.

c. Wildlife Training College

The Wildlife Training College (WTC) at Katwe, Queen Elizabeth National Park, has received no APE support. The WTC is a unit within the MTWA, which offers training towards two-year certificates in

wildlife management for up to 30 students at a time. Intakes of new students take place at two-year intervals. It also offers in-service training courses of up to three weeks for officers of UNP and GD. Its Principal and Deputy Principal are presently seconded from the GD. They are the only permanent members of staff, the other 10 instructors working on a part-time basis. The college presently occupies temporary quarters.

A Bill to establish the College as a legal entity has been drafted and has yet to be submitted to the Cabinet. The bill calls for the College to become the WTI, to be a semi-autonomous unit within UWA headed by a Director and able to solicit donor support directly. The College is presently working in conjunction with the African Wildlife Foundation (AWF) to develop a curriculum that will come into operation after the UWA merger.

There are four ways in which APE could support the development of the new WTI: curriculum development; infrastructure development; supply of equipment; and training and professional development. The types of support needed are outlined below.

- **Curriculum development.** Study tours of other relevant institutes (e.g., the College of African Wildlife Management at Mweka, Tanzania, or the Botswana Wildlife Training Institute at Maun) to discover how their curricula are organized, for selected members of WTC and others if needed. STTA — three to four weeks, using a skilled natural resource manager experienced in curriculum development. The products would be a workshop and report.

- **Infrastructure development.** Completion of the WTI construction program. Design and costing are complete. The total estimated cost is USh930,000,000. The works comprise: two dormitory blocks; a classroom/library/administration block; a laboratory/museum block; 17 junior staff houses; eight senior staff houses; and a mechanical/carpentry/plumbing workshop. To date, USh23,000,000 has been allocated and used to start construction of one dormitory block, now 60 percent complete.

- **Supply of equipment.** Vehicles, especially load-carrying vehicles to transport students to the field; camping and mountaineering gear; computer systems and software for training and administrative purposes; and library books.

- **Training and professional development.** Details depend upon the outcome of curriculum development. The number of core members of staff will be of the order of six to ten; and it seems likely that teaching staff will have to be co-opted as required to teach, for example, surveying, building, range mensuration and capture/translocation techniques. The likely method will be to select suitable graduates, and give them post-graduate training in wildlife management at, for example, Mweka.

The Team recommends that APE support be given to developing the capacity of the new WTI to turn out technically competent personnel for the UWA. At the same time, it also recommends that the possibility of joint training programs with the existing Nyabyeya Forest College be investigated.

d. Research

A sound base of management-orientated research is a fundamental requirement of any conservation agency. Wildlife and protected area research should be an integral component of the management process. Research priorities should be related to management requirements; and management itself should be designed to test the theories upon which it is based (Bell, 1984).

The Uganda Institute of Ecology (UIE) is the research wing of UNP. It is located at Mweya in Queen Elizabeth National Park. The UIE has fallen upon hard times, and its infrastructure is in a dilapidated state. APE support has, so far, passed it by. None of the vehicles or computer systems acquired by UNP from APE reached the UIE. This should be remedied by channeling APE support directly into rebuilding the capacity of UIE to function as a research center. The most pressing needs are to provide material support to make good the years of neglect. Specific areas include: building rehabilitation; laboratory equipment; vehicles; and reestablishing the library.

Certain technical level posts need to be filled — especially those of librarian, computer technician, laboratory assistants, museum curator and storekeeper. Men and women are available locally to fill these posts. Only the funds to pay them are required.

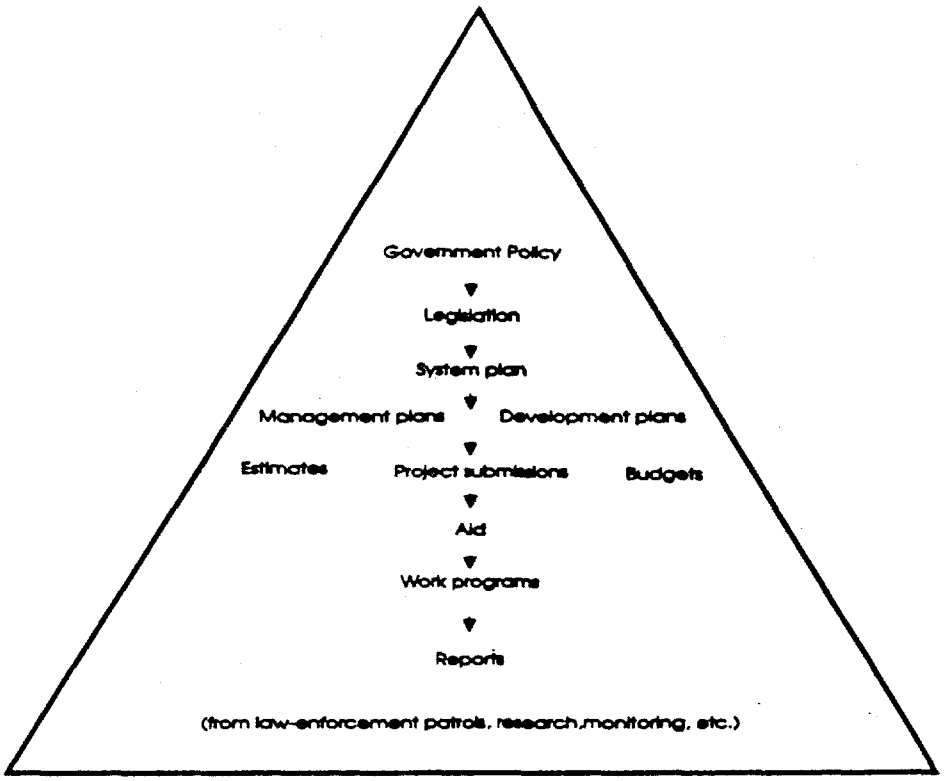
e. Operational Control System for UWA

The implications of UNP and the GD's merger into UWA were discussed at a policy workshop in Kampala during November 1994 (Anon., 1994). Recommendations emanating from the workshop recognized and addressed the need for new policy and legislation, and a clear design for the structure and operations of the new Authority; and laid out a three-stage program leading to the merger — or "restructuring" as it is now known.

Since then the matter has been taken further, with production of a draft organizational and policy outline by the MTWA (MTWA, 1994, The Restructuring of Uganda National Parks and the Game Department: A Draft Organizational Policy Outline). A time table of events leading to the final establishment of the UWA has also been drawn up. This work has been supported by the Commission of European Communities (EC) through the STABEX 1991 Wildlife Support Project for Uganda. The draft organizational and policy outline is a document that is being distributed to potential donors and universities. The chief potential donors are the EC, World Bank, USAID and Kreditanstalt fur Wiederaufbau (KFW) with Deutsche Gesellschaft fur Technische Zusammenarbeit (GTZ).

MTWA also plans to produce a "Uganda Blue Book" spelling out the needs for developing a long-term wildlife resources and protected area management program. This would also be made available to potential donors.

The forthcoming merger of UNP and GD gives an opportunity for making a fresh start to developing a coherent system for managing wildlife resources and protected areas in Uganda. Any conservation agency's activities are controlled by an interlocking set of components (Clarke & Bell, 1984a), which form the basis of a coherent organizational system. These components form a hierarchy, in which changes in one component may necessitate alterations to others. The principal components are as follows.



Together, these components form a control system with objectives; plans for pursuing objectives; the means of doing so; and channels for reporting progress towards objectives and evaluating the effectiveness of different activities. In essence, they represent the components of a negative feedback control system, which embodies the concept of adaptive management. From what the Team has been able to learn, a systematic procedure for developing such a coherent organizational structure appears to be well under way.

The Team recommends that APE support and assist the restructuring process, by helping ensure that the new UWA will have adequate management planning capacity and a system of information management to serve as an effective feedback system that can aid decision making.

(i) Policy

MTWA (1994) contains a "statement of purpose" and an outline of policies. Work on defining policy is about to get under way and is expected to be completed during 1995.

(ii) Legislation

Steps have already been taken to draft new consolidated wildlife and protected areas legislation, using local and outside expertise. The time table of events calls for the Bill to be submitted to the Cabinet for approval in November 1995.

(iii) System Plan

MTWA (1994) makes no mention as such of a system plan although the restructuring program clearly aims at establishing a coherent control system, with clearly defined objectives and the means of achieving them.

A system plan is, in essence, a document that would set out in detail the long-term (for example, 20 to 25 years) objectives of UWA and the means of pursuing them. It would be based upon policy and legislation; and is, in effect, the Authority's operating manual which ensures long-term consistency. The system plan would addresses all of UWA's activities, and provide a basis for long-range forward planning.

Without a system plan the Authority would be susceptible to *ad hoc* decisions and opportunistic judgments and to inconsistent management over time.

Another important value of a system plan is to provide the basis for informed public scrutiny and debate. It would also permit UWA to integrate more effectively with other agencies; provide a mechanism for control of the Authority's various activities; improve efficiency; and assist in fund-raising.

APE should also participate in helping to draw up an explicit system plan, using LTTA or STTA or both.

(iv) Management Plans

MTWA plans to mount a park planning workshop, with the goal of preparing a planning master plan. APE should get involved with this.

Management plans are akin to the system plan (to which they must conform) but at the level of individual protected areas, or of specific functions such as research or problem animal control. A management plan is UNP's operating manual for a specific area or function, whose purpose is to spell out objectives, specify targets and ensure consistent management over the declared time span — usually in the order of five years.

The Team examined examples of existing Ugandan management plans and draft management plans that are undergoing preparation. UNP regards the older plans, prepared during the 1980s, as being professionally produced but unsuitable as management manuals for Wardens-in-charge. They are one-man enterprises that, although useful as sources of information, used little input from potential beneficiaries or losers. The Team concurs with this view.

The plans under preparation are participatory, lay down specific quantifiable targets, and contain clearly defined zonation systems. They contain statements of why each park exists, what it contains, analyses of problems, research priorities, and strategies for management. In short, they look like operational manuals. Their preparation, however, appears to be excessively time consuming — in some cases, it was reported, over two years. Formation of a well-staffed Planning Unit in UWA may solve this problem. Planning officers' responsibilities would be to act as catalysts, guiding (and speeding) each planning process to its conclusion, and compiling the finished plans. This must not, of course, detract from the participatory approach to management planning that has already been established.

The Team recommends that APE should get actively involved with developing UNP's management planning capability, using its existing LTTA and by adding STTA support if needed.

f. Coverage of the Protected Area System

The protected area system, for which UNP will shortly (and UWA ultimately) be responsible, comprises national parks, game reserves, game sanctuaries and controlled hunting areas. Some rationalization is expected to occur, so as to eliminate areas that, due to human settlement or for other reasons, no longer have a role to play in protecting biodiversity or supporting tourism or other activities.

A recommendation of the merger policy workshop (Anon., 1994) was that, during Stage 1 of the merger process, MTWA would commit itself to surveying Uganda's wildlife estate. The purpose was "to develop comprehensive objectives, functions and policy statements from which draft legislation will be created." And for Stage 2, a further recommendation was to survey the resources in, and encroachment upon, protected areas with a view to defining "the limits of the wildlife estate, and hence define priorities."

In the opinion of the Team, another important issue would be to assess the extent to which geographical coverage of the protected area system fulfill its function as a conserver of biodiversity; and whether changes should be sought to improve its effectiveness.

What are the purposes of Uganda's protected area system in the pursuit of protecting biodiversity? In the absence of a policy statement, there can be no definitive answer. But suppose that the purposes are (and they will probably not be too different):

- To preserve selected examples of as many of Uganda's biotic communities and their physical environments as possible;
- To protect selected areas of aesthetic beauty or of special interest;
- To preserve viable populations of all rare, threatened and endemic species of wild plants and animals; and
- To preserve viable populations of all species of wild plants and animals that are of special interest for other reasons.

Other purposes may also be defined: for example, those relating to the archaeological, historical, educational, scientific, cultural and economic values of the system — but this discussion is concerned with biodiversity.

To establish how well the system fulfills its role as a conserver of biodiversity would involve:

- Mapping the distribution of Uganda's biotic communities;
- Identifying, selecting, locating and mapping areas of aesthetic beauty or special interest;
- Identifying which plants and animals are either rare, threatened or endemic, and mapping their distributions;
- Identifying plants and animals that are of special interest for other reasons, and mapping their distribution;
- Comparing mapped data, as noted in the above four bullets, with a map of the protected area system;

- Identifying where gaps in coverage occur; and,

- Producing recommendations for alternatives to the system to fill any gaps — bearing in mind that land in some gaps may already be alienated.

MTWA agree that such an analysis has high priority although it has no immediate plans to commission one. A somewhat similar study is to be carried out but on a much more limited scale, covering the Karamoja region only. It is to be conducted by the MUIENR.

A nationwide assessment, similar to those made in Malawi (Clarke & Bell, 1985) or in Oman (Clarke *et al.*, 1986) could be supported by APE through an LTTA program of 18-24 months.

g. Forest Reserves

One of the most notable effects of APE (under non-project assistance) was the stripping of the FD of six forest parks and their transfer to UNP. Thus, the FD was also stripped of its immediate revenue potential from protected areas, as these were the most exploitable protected areas for ecotourism. Of the remaining forest estate, approximately 70 percent is managed for catchment protection with only limited revenue and almost no ecotourism potential unless some infrastructure development takes place. Previous infrastructure development in the six forest parks, largely financed through EC and World Bank forestry rehabilitation projects, was transferred to UNP, and the prospects of new funding are limited.

The FD pioneered much of the local community participation work in forest parks and reserves in Uganda and is still active in this area in spite of reduction in domain. The Department's approach is less of a revenue sharing approach and more of an opportunity for revenue generation approach. Small local economic operators are favored over large tour operators and they tend to export earnings from the local communities and import workers from outside.

The remaining FD domain along with that of the GD were ear-marked for decentralization under Schedule 7 of the decentralization process. This would have reduced the FD to a small technical advisory and regulatory bureau with no practical forestry function. It was decided that the forest patrimony was of national significance and that central management was necessary for many of the reserves until that time when local communities can manage those forests of local importance on a sustainable basis. As large areas are managed as areas to protect non-local values such as downstream watershed quality and biodiversity values of international importance, many of these forest reserves should remain under national management.

In light of the above, sufficient personnel, equipment, and infrastructure should be retained at the national level to insure the sustainability of the national forest patrimony.

Under the two-tiered plan approved on 7 April 1995 those forests of local interest will be transferred to local authorities to be managed under a local management plan which includes the proviso that use must be sustainable, that land use can not be changed, that the plan will be approved by the Commissioner of Forests and that the plan will be adhered to by the community. Local authorities may hire their own forestry personnel or call on the support of FD personnel for technical assistance.

FD officials report that the grant received from APE has had an immediate effect in better control of illicit cutting and transport of timber through the certification program activated by the purchase of branding hammers for log marking. Other activities financed by the grant include: bridging funds for Budongo Forest adjacent to Murchison Falls NP; funding of Peace Corps forestry volunteer activities;

the establishment of Strict Nature Reserve protective status in Mabira Forest and some visitor infrastructure in this important forest located near Kampala and Jinja; and the rehabilitation of encroached areas in South Busoga Forest.

h. International Cooperation

Six of Uganda's national parks border neighboring countries. Mgahinga Gorilla (with Rwanda), Queen Elizabeth, Rwenzori and Bwindi Impenetrable (with Zaire), Kidepo Valley (with Sudan) and Mount Elgon (with Kenya). Cooperative programs between Uganda and these neighbors should be encouraged — to exchange information, initiate joint research projects, reinforce law-enforcement, facilitate animal movements across borders and promote cross-border tourism.

3. Priorities for Future APE Support

Overall priorities for UNP and UWA are, in descending order:

i. Establishing policy;

ii. Producing new consolidated legislation;

iii. Setting up a Planning Unit and establishing criteria for management planning;

iv. Setting up a system of monitoring and information management;

v. Analyzing coverage of the protected area system and making recommendations for amendments to it;

vi. Upgrading WTC (at least to the extent of defining its new curriculum);

vii. Rehabilitating UIE; and,

viii. Producing a UWA system plan.

It appears that numbers i and ii are being handled by MTWA (with EC support), as well as defining criteria for management planning under iii.

APE can assist with i and ii through the existing APM and possibly by supplying STTA although EC seems to have taken care of this.

APE can certainly play a major role in supporting iii through the APM in his focus (which we have recommended) on developing a Planning Unit in UNP; and, possibly, through additional STTA.

Under iv, we have also recommended that this be an area for APM to focus on. However, it may be that additional STTA (or even LTTA) might be needed.

Under v, we were told that UNP and MUIENR lack the capacity to handle such an exercise at present although it has high priority. APE could support it through LTTA.

Support under vi and vii would be by a mixture of material support for building infrastructure, and STTA for curriculum development at WTC.

Under viii, the development of a system plan would best be handled through LTTA.

An important issue here is that there should be donor coordination, managed by MTWA, to ensure that support is applied in a cost-effective manner, and to avoid areas of conflict, overlap or both. The forum of quarterly meetings of donors at UNP (which the Team was told once took place) should be reintroduced but in MTWA. We were told that such coordination is, in fact, scheduled to take place.

C. REHABILITATION AND RESOURCE CONSERVATION COMPONENT (PROTECTED AREAS)

The RRC Component complements the Policy Component, through integrated conservation and development activities (ICD) administered by the GMU. When APE was designed, the GMU was conceived as an umbrella grant to a U.S.-based PVO. The PVO was meant to administer three types of grants: macro, mini and micro defined according to monetary size of the grant.[6] USAID issued two rounds of Requests for Applications (RFAs) but failed to identify a PVO that met the requirements and might have a reasonable chance of success in launching and managing the GMU. Because of this, USAID amended the TR&D technical assistance to include the establishment of the GMU.

The GMU was not operational until 1993, two years later than anticipated. It is important to note that during this time USAID took on the role of the GMU. Project selection criteria outlined in the original PAAD were used and many of the illustrative subgrants suggested in the design document were funded. The result of this was that when the GMU was actually established, many of the funds had already been committed and precedents set for project preferences and selection. It is highly possible that if the GMU was established early on, more precise priorities or different ones might have been established.

1. Grants Management Unit Operations and Management

The GMU is headed by a technical assistance GMU Coordinator. In addition, the GMU staff consists of a Deputy Coordinator, an accountant, a training officer, an M&E specialist and various administrative and support staff. Operating expenses are paid with local currency funding and average $9,000 per month.

a. GMU Role

The GMU has recently written a statement to explain its role which is currently under the GMU Review Committee consideration. This statement outlines the roles and responsibilities of the GMU in terms of the management of the RRC activities and defines its relationship with implementing organizations. This is required especially since USAID formerly directly managed many of the activities now under the management of the GMU. The GMU has four key responsibilities. First of all, it is the point of contact for all potential and actual implementing organizations of the RRC subgrant activities. Secondly, the GMU evaluates proposals, makes a determination as to their acceptability and forwards them to USAID for funding consideration. Thirdly, the GMU is the liaison between the implementing organization and USAID. Finally, the GMU provides financial, technical and administrative oversight of all subgrant activities.

b. Review Criteria

The GMU has developed proposal review criteria and a proposal review process. In general, activities funded under GMU are meant to complement and reinforce the changing national environmental policy

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[6] Defined as follows: Macro — greater than $25,000; Mini — average size of $6,000 but < $25,000; and Micro — one time grants not to exceed $1,000.

framework. The proposal review criteria have very specific administrative requirements. The most important of these are: the requirement to be legally recognized by Ugandan law (usually meaning registered as a NGO with USAID), the approval of the appropriate Government of Uganda authority prior to submission to the GMU, demonstration of adequate administrative and financial management systems, a 25 percent counterpart contribution and the establishment of an evaluation and monitoring system that will comply with overall GMU guidelines. The following represent the criteria the Project Review Committee uses in assessing projects:

- **Technical feasibility**. Does the proposed intervention contribute to the goals of the project? Does the implementing agency have the technical expertise to carry out the project?
- **Programmatic Issues**. Does the project address priority conservation and development issues in Uganda? Is the project consistent with APE and overall GOU objectives?
- **Sustainability Issues**. Is the project ecologically and economically sustainable? Has the budget provided appropriate funding and is it in line with GOU and USAID practices?
- **Implementation**. Does the implementing agency have the technical expertise to carry out the project? Is the implementation plan realistic? Are the position descriptions and personnel proposed appropriate? Is the implementor coordinating with local NGOs in the areas of project intervention? Has the local community been involved in the design of the activity? Are women or other disadvantaged groups taken into consideration?
- **Monitoring and Evaluation**. Is there a monitoring and evaluation plan? Are the indicators appropriate?
- **Budget Issues**. Is the budget realistic and adequate to meet the proposed objectives of the project?

c. **Review Process**

The proposal review and awarding of grants involves a three step process: (i) initial review by the GMU staff; (ii) review by the proposal review committee; and (iii) a final review and funding determination by USAID.

The initial review by the GMU staff determines whether the proposal meets the minimum criteria according to review criteria for presentation to the review committee. Staff reviews are done by the Coordinator, the Deputy, the Training Officer and Financial Management Officer. Given the Deputy Coordinator position vacancy, it is clear that the Coordinator has the burden of the initial review process. The initial review process may include any number of steps. An important one seems to be discussions with NGOs in order help them focus their proposals and improve the quality of their analysis and presentation. Proposals that are deemed acceptable are then forwarded to the review committee. In all cases, whether the proposal is forwarded or not, the applicant is informed in writing of the GMU review outcome.

The Project Review committee meets at least once a month, on the first Thursday of the month, to review newly submitted or pending projects. The Committee is comprised of four core members and additional members who review and comment on the technical and programmatic aspects of the project. The core members include the GMU Coordinator, a USAID representative (the Natural Resource Management Advisor/APE Project Officer), a designate of the Permanent Secretary of the Ministry of Finance and Economic Planning and the Permanent Secretary of the MNR. Other members who generally attend the meetings and provide input into the projects are representatives of the WTWA, UNP, and the MLU.

Depending on the complexity of the proposal, outside reviewers from other competent technical agencies and institutions may be asked to review proposals and attend committee meetings to provide input.

As originally envisioned, the four core members would be designated as voting members and other representatives would attend to provide input. In practice, the committee has evolved into a seven member body with each member participating equally in the review of the project. The voting issue has not arisen as the Committee has easily reached consensus on the projects before it. The Project Review Committee generally meets 2-3 times on a specific project before approval.

Proposals recommended for funding by the review committee are forwarded to the USAID/Kampala Mission for review. Approval by the GMU Review Committee is no assurance that the activity will be funded. The USAID mission Review Committee has one week to review and comment on a pending proposal. If there are comments or questions, the GMU staff and/or the Project Review Committee must work with the NGO in question to respond to the concerns of USAID. Once the USAID review committee has approved the project, the administrative paperwork to proceed with issuing a CA, or Grant, Project Implementation Letter or LCPA to fund the activity begins. The time period required from proposal submission to the actual CA is probably six months if there are no substantial technical questions surrounding the project.

d. Monitoring and Evaluation

Soon after the initial establishment of the GMU in October 1993, the GMU staff began to tackle the question of the monitoring and evaluation of GMU activities. A short-term consultant was employed for this. The system examined has two components: one, a system for diagnosing and monitoring project impacts on peripheral populations and another for monitoring the biophysical status inside protected areas. The latter has been the task of UNP and should be an integral part of the park management plans. The GMU monitoring system that was designed looked especially at impacts of the specific interventions on the local population by examining the economic behavior of populations that exert pressure on protected areas. The design of the system was followed by two M&E workshops. One was intended to build consensus for the M&E system designed and the other was co-sponsored with CARE and was an overall introduction to monitoring and evaluation systems.

The monitoring and evaluation system designed by the GMU was received with some reluctance from some of the NGOs and notably CARE, which was meant to be the system's first implementor. The major complaint was that the system was too focused on the collection of economic data and that the data would be difficult, time consuming and expensive to collect. As a result of this reaction, the GMU is trying a somewhat more participatory method of M&E development. A second consultant recently worked with the GMU training officer and several project managers to develop M&E guidelines rather than a definite M&E system. These guidelines and "core" indicators are meant to provide the basis for each GMU funded activity to establish their individualized M&E system.

An implementation plan for the installation of M&E systems has been established that includes interactions between the various NGOs, involvement of District level officials, more training in M&E activities, and on-site visits by GMU staff to help projects with problems or unforeseen circumstances. The six-month plan will culminate in GMU analysis of results, assuring that the process continues. A parallel activity will be initiated for the NEMA so that the GMU and NEMA may be integrated systems.

Some project staff are still skeptical that an M&E system for GMU activities will be accepted by NGOs, even with additional training and follow-up assistance. Clearly NGOs must find the M&E system useful in order to favor its implementation. However, there is some feeling that opposition to M&E that will

feed into a government monitoring system (Districts-NEIC-NEMA) is fundamentally contrary to the very nature of NGOs and that NGOs have not had to live up to the impact standards of other projects.

Included in GMU responsibilities is the more intensive oversight of RRC subgrant activities. This involves input into workplans, participation in evaluations, taking part in project steering committees, reviewing and approving any subgrants given by GMU activity implementors, and participation in the definition of short-term technical assistance and selection of candidates. The GMU is also responsible for monitoring administrative and financial aspects of the project which includes financial reviews from time to time to ensure the proper use of funding.

e. Technical Assistance/Training

USAID has provided long-term technical assistance through the TR&D contracted GMU Coordinator since October 1993. In addition, short-term technical assistance has been provided to the GMU particularly for monitoring and evaluation. The GMU Coordinator is charged with the overall management and operations of the GMU. As such, he provides technical assistance to staff members and particular implementing or potential implementing NGOs. A good deal of time is spent with NGOs who have submitted or wish to submit proposals for GMU consideration. The Coordinator has spent a good deal of time with the various NGOs helping them to focus and generally improve their applications.

There have been a number of training activities for implementing NGOs. Examples include a financial management workshop which many found extremely helpful and two workshops on monitoring and evaluation. More in this area are definitely planned. The training section of the GMU also participated in training done by the Community Conservation Advisor and helped to do the training needs assessment for the DEOs. The most recent workshop is one directed at the development of community-based tourism activities which involves local groups and individuals who run small businesses geared toward tourists. The GMU sees this sort of activity as a type of activity that will continue, striving to involve more local groups.

f. Observations

(i) The Role of the Grants Management Unit and Communication:

The GMU was originally seen as a very important part of APE. In fact, early on in the design process this was to be USAID's major contribution to the country's environmental program. Nevertheless, it has taken several years to get the GMU up and running. There are several reasons for this. First, USAID was unable to find an NGO that they felt could competently manage this aspect of the project. Only two NGOs submitted proposals and these were deemed insufficient mainly because a discussion of linkages with APE, other NGOs and other integrated conservation and development activities was absent in each proposal. The decision to award the contract to TR&D took an additional period of time.

After the arrival of the TR&D technical assistance for the GMU (two years into the project), excellent progress was made to establish the project selection criteria, the project review committee and to commence project proposal reviews. At one point USAID expressed concern that the Project Review Committee was dealing with proposals at a much slower rate than originally foreseen. Lengthy committee deliberations might be somewhat understandable given that the review committee was just starting and some time was probably needed to streamline the way in which the committee worked. However, even though the GMU has approved projects and forwarded them to USAID, to date no project has received USAID funding through the GMU process. The main reason for this has been the lack of a formally recognized USAID/Uganda review process for the GMU's unsolicited proposals. This has

meant that although proposals were reviewed and approved by the GMU, there was no way for USAID to proceed. This review process was finally established in February 1995.

Whether the delays in the establishment of the GMU are justified or not is difficult to ascertain. But the more GMU establishment and the complete proposal approval process (including USAID's approval) was delayed, the more difficult it has become to establish project activities under the GMU's management. One of the original intentions of the GMU was to reduce USAID's management responsibility. Another purpose was also to presumably bring Ugandans into the project development and selection process. The delays in establishing the GMU has meant a greatly increased management burden for the USAID mission and has meant that for at least two years, Ugandans had little input to project development and selection.

USAID's management burden has been increased in three major ways. First, since USAID wanted project activities to go forward, various NGOs continued to be funded directly by USAID. This was at times in excess of ten projects. This has of course required the management responsibility that is now expected of the GMU, including substantive involvement in project decisions. Secondly, the original vision of the GMU would have given complete management responsibilities to the implementing NGO. This would have also included financial management. When the decision was made to award TR&D the contract for the establishment of the grants management unit, USAID decided to retain the responsibility for all financial management which includes the disbursement of funds to grantees. Although the GMU is responsible for the technical management and financial management/administrative oversight of the subgrants, USAID has still retained substantial management responsibilities. Finally, the delay in the establishment of the GMU has caused a great deal of confusion among NGO project implementors. Project linkages to the GMU and USAID are unclear to many. This results in inappropriate requests to USAID, which is, at a minimum, a waste of time for both USAID and the NGO.

Communications between project implementors and the GMU and the GMU and USAID is extremely important. Implementing NGOs have mentioned their frustration with communication weaknesses. Typically the GMU project implementors are located in fairly remote areas and visits to Kampala are costly and infrequent. In addition to clarification of the GMU role and USAID role in project selection and monitoring, some NGOs have expressed interest in receiving more information on APE (workplans, reports, etc.) in general, and especially information from the NEAP (soon to be NEMA) and related activities financed by USAID. The GMU Coordinator seems to be sensitive to these concerns. He has drafted a document that clearly spells out the role of the GMU and USAID in the proposal process and in project management. This will be reviewed at the next Project Review committee meeting in May and upon approval will be distributed to GMU collaborators. In general the communications between the GMU and the NGOs implementing projects[7] has improved in the last year. The approach has been to keep NGOs informed as much as possible, even in cases where there is no clear cut resolution to project issues.

(ii) Proposal Review Process, Priorities and GMU Administration

APE funding of grant activities was largely predetermined from the beginning of the project. Most grants given before the establishment of the GMU were either previously funded by USAID (i.e. DTC/CARE) or were discussed in the PAAD. There are both advantages and disadvantages to this formula. The advantages are that USAID was able to fund projects and institutions — many of which had proven track records and had a high probability of success. However, on the negative side, this approach limited the future role of the GMU by setting precedents for the type of activity that USAID preferred to fund. Although the projects reflected USAID policy or perhaps personal preferences, projects funded before

[7] The majority of NGOs with proposals pending at the GMU have on-going USAID financed activities.

the establishment of the GMU may not have reflected GOU priorities since there was limited participation by Ugandans in project selection. Because there were no local NGOs funded by USAID under APE prior to the GMU establishment, this effectively excluded them for funding after GMU creation.[8]

Although the technical criteria established by the GMU and USAID provide useful guidance for project evaluation, the effectiveness of criteria has been negated by GMU's inability to set priorities. This stems from the GMU's lack of a subgrant budget. Until recently the GMU did not know how much money would be available to fund projects. As previously stated, the GMU does not make funding determinations. This is done by USAID. However, funding information is necessary in order for the GMU to set priorities as an integral part of project review and selection. For example, if the GMU knows that there is a three year budget of $10 million, this plays an important part in determining which activities are forwarded to USAID for funding. This unfortunate circumstance existed until this last year, when, at the insistence of technical assistance the issue was resolved. The GMU is now aware of their funding levels and more efficient project selection can be made.

(iii) GMU Review Committee: Capacity and Composition

As previously mentioned, the GMU Project Review Committee is composed of four core members, the GMU Coordinator, a USAID representative and representatives from the Permanent Secretary of the Ministry of Finance and Economic Planning, the Permanent Secretary of the MNR, and the Permanent Secretary of the MLG. Two other members are representatives of the WTWA and UNP. Discussions with various committee members reveal varying degrees of comprehension concerning the GMU operations, project criteria and the project review process. Although this committee may be representative of the technical disciplines required to evaluate project proposals, NGOs complain that the committee only represents the "bureaucrat" point of view. Often what a bureaucrat may deem expedient or efficient may not serve the purpose of the proposed project. A situation where the GMU project review committee suggested placing revenue sharing funds in the Bwindi Trust was an example cited. In this case, although it may have seemed efficient not to have two separate administrations for the two revenue sources, project personnel felt that doing so would dilute the impact of revenue sharing. That is people would have much more trouble understanding that revenue sharing was revenue earned from the park. For this reason, NGOs strongly favor participation in committee meetings — particularly when the meetings concern the specific context of the project being presented as well as special interest groups such as women.

(iv) Funding and Participation of Local NGOs

One of the primary reasons that local NGOs have not been funded is due to the local PVO registration requirements to receive development assistance funding. Currently, all of the GMU's subgrant funding is dollar development assistance funds. Those organizations receiving these funds must meet USAID financial management standards. Although local currency funding of projects was foreseen, there are none available. This is because USAID reduced their counterpart obligation from the government of Uganda. Although this adjustment is in line with other donors, it has meant that local currency funding is scarce and that local NGOs have no access to GMU funding sources.

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[8] See following section on funding and participation of local NGOs.

2. GMU Projects

a. Project Descriptions

The following is a brief summary of projects that are related to APE or have been directly funded by the program. Many of these projects are coming to the end of their financing and are currently negotiating funding for new projects. In some cases the project activities are still directly monitored by USAID (ICRAF is one example). In all cases new activities will be initiated through the GMU review and approval process.

(i) PVO-NGO/NRMS Project/World Learning, Inc. (WLI)

The project began in 1989 as the PVO-NGO/NRMS Project, for the purpose of creating broad natural resource management issues, needs and opportunities awareness, and enhancing PVO/NGO commitment to, and capacity in natural resource management. They have been funded by USAID/Uganda. WLI is in the process of revising a 2-3 year proposal which would move the project into a second phase directed to strengthening the capacity of the NARM Forum. This is a relatively new semi-autonomous network of approximately 60-75 local NGOs and CBOs with the potential of facilitating national and subnational natural resource management and environmental planning and action. Through the project, WLI proposes to build the capacity of the NARM Forum through various training and institutional support activities, which would in turn foster improved natural resources planning and collaboration among local NGOs and CBOs. Through the establishment of district chapters, the forum would serve as a link between the NEAP (and NEMA) and communities to strengthen local planning, identify resources to support forum and community activities, build forum management capacity for eventual autonomy, and coordinate project technical assistance, etc. Forum membership would work together to determine directions, priorities and strategies for operation and implementation.

(ii) Support of the Agroforestry Research Network for East and Central Africa (AFRENA)/ICRAF

The AFRENA has been supported by USAID since 1986, and, in addition to Uganda, has included members in Burundi, Kenya and Rwanda. Financial support has been provided by USAID local currency grants, regional AID Missions, and other international donors. The network approach, involving National Agricultural Research Organizations (NAROs) as host institutions, has been promoted in agroforestry, as well as other sectors, to promote greater partner efficiency in carrying out collaborative research and in sharing results. Generally agroforestry research in the country has a short history, particularly at the farm level.

The 1992 evaluation of the program pointed out the need to strengthen the program to make it more responsive to farmers' traditional uses of trees, NGOs' experiences with agroforestry, and by improved linkages with regional agroforestry research. Recommendations suggested there was a need to refine methods of research planning, priority setting, resource allocation, and reporting, and to strengthen linkages with national and regional research teams, USAID and the International Agricultural Research Centres (IARCs). While this activity is not currently under the management of the GMU, it is the logical administrative home for this type of activity.

(iii) International Gorilla Conservation Program (IGCP)/WWF/AWF/FFSP

This project is implemented by the World Wide Fund for Nature /African Wildlife Fund and Flora and Fauna Preservation Society (FFSP). The project was funded with PL-480 Title II funds and has applied

to the GM for future funding. The project has been located in the Bwindi Impenetrable Forest with the objective of ensuring the long-term conservation of the mountain gorillas in their natural habitat. The pending project proposal will continue to develop ecotourism in Bwindi as well as Mgahinga. Key activities are infrastructure improvements including trails, the continuation of a revenue sharing program for parks as well as training to rangers, guides and trackers.

(iv) Mgahinga and Bwindi Impenetrable Forest Conservation Trust (MBIFCT) Trust Administration Unit (TAU)

The trust administration unit (TAU) of the Mgahinga and Bwindi Impenetrable Forest Conservation trust will be charged with primary responsibility for monitoring day-to-day operations of the MBIFCT. The MBIFCT has been set up by the GOU and the World Bank/Global Environment Fund to provide a stream of funds and assistance to local communities and to demonstrate tangible benefits from the conservation of Mgahinga and Bwindi. Additional activities will include financing for research in and around the parks and support for improved park management. The GEF grant of $4 million to MBIFCT is intended to operate as an endowment in which community, research and park management benefits are disbursed in perpetuity. The trust will fund three types of activities: community development projects (including income generating activities), research projects and park management projects. GMU financing will provide the trust with the personnel and operating expenses for the first two years of the trust. The TAU will be the liaison between the Trust's advisory and decision making bodies and the various communities, groups and individuals who will request and/or receive Trust financing for conservation related activities.

(v) The Shea Nut Project/COVOL

This project and group has not previously been funded by USAID and is the only project thus far that does not involve assistance to a national park or an area surrounding a national park. COVOL is a U.S.-based PVO who works solely in Uganda. The Shea Nut Project addresses the dichotomy between destructive and non-destructive uses of the shea-butter tree, which is central to the question of woodland conservation in Otuke County (Lira). Because of pressures on the land, the area of savanna woodland is declining. The project will focus on issues of local conservation, including the utility of non-destructive products of the local woodland. Because shea butter is the most economically significant non-wood product of savanna woodland in the target county, the improvement of shea processing technology will directly reinforce the trees' non-destructive economic utility, thus discouraging the cutting of trees for short-term gain even though the Shea tree has great economic value. In sum, this combined with a conservation and extension education program aims to conserve the *Butyrospermum* woodland through improving the productivity and profitability of an existing source of women-controlled income.

(vi) Kibale Forest Conservation and Management Project/Wildlife Conservation Society

A 1992 agreement between USAID and Wildlife Conservation Society continued and expanded conservation, research and training activities in Kibale National Park (formerly Kibale Forest), and continued assistance to the GOU in Kibale Forest conservation and management. Project activities included research, monitoring and training; improved forestry management; forest utilization through tourism and other appropriate practices; outreach to local communities; and institutional capacity development. A December 1994 evaluation of the project had an ambitious agenda to develop Kibale Forest/Kibale National Park management capacity, and to continue the development of the Makerere University Biological Field Station (MUBFS), one of the leading African institutions for research and training in forest biodiversity conservation and management. The project encountered conflicts among cooperating institutions and personnel and funding inefficiencies; however it did achieve substantial infrastructure development at MUBFS, an increased level of applied research and training at the station,

in- and out-of-park tourism development which showed some economic benefits to local communities, and increased local support for forest conservation. Outreach and extension activities have since been handed over to IUCN (The World Conservation Union) Kibale and Semuliki Conservation and Development Project (KSCDP), currently administered under the Department of Environmental Protection. There is currently a positive working relationship between Kibale National Park and KSCDP, and both have a strong interest in community outreach activities.

(vii) Rwenzori Mountains Conservation and Development Project/World Wildlife Fund

WWF/CD&P began in 1990 with the objective of working with the Rwenzori Mountains National Park and its surrounding communities to devise a scientifically-based conservation strategy for the Park in response to local needs. The project is promoting rural development activities (e.g., agroforestry, tree nurseries, on-farm beekeeping, ecotourism) and conservation awareness with the hope that these activities will reduce local communities' demands on the natural resources of the park. While the primary goal is park conservation, the project puts considerable emphasis on improving the relations between the Bakonjo communities outside the park, which once had free access to the area's natural resources, and the Uganda National Parks. Several of the activities being promoted have potential for short run economic benefit, e.g., beekeeping and use of improved cooking stoves. Others, such as soil block manufacture (brick making) and agroforestry, may accrue medium-term benefits. If crop yields can be maintained through improved soil fertility and conservation, this could also have long range income earning potential.

The project has focused its efforts on the development of five pilot parishes, forming Parish Conservation and Development Committees, hiring and training five teams (one male, one female per team) of extension workers, the development of interim park bylaws, outlining a park management plan, and helping to organize a tour operators' association. The first phase of the project ended in March, 1993, with an extension taking the grant to August 31, 1994. Since then, the project has scaled-down its activities to correspond with reduced, and rather insecure, USAID funding. During the time of the Evaluation Team's visit, WWF had started to terminate staff and operations due to funding unavailability. USAID has recently made funding available, retroactive to October, 1994. The coming phase will include a small grants component, in collaboration with the PMAC (Parks Management Advisory Committee), to establish a parks mechanism for revenue-sharing; development of improved in-park and out-park relationships; re-examination of the needs and priorities of women in the communities surrounding the park; and assistance to communities with ecotourism.

(viii) Development Through Conservation/Mgahinga Management and Other Interventions/CARE

CARE's Development Through Conservation Project has been in progress since 1988 and focusses on areas around Bwindi and the Mgahinga Forests. While DTC has both conservation and development objectives, the ultimate goal of the project is seen in terms of sustainable development, reflecting the view that protected areas are only viable in the longer term if they are in the genuine economic interest of the local community and of the host country. The project supports both in-park and out-park activities. The project supports "multiple use," a somewhat controversial program enabling the utilization by local communities of certain non-timber forest products. Also very important in terms of benefits to communities around the parks is the new tourism revenue sharing program and the Mgahinga/Bwindi Trust. Both will provide funds for small scale community development projects. Other activities include technical assistance for improved park management and the promotion of improved agronomic practices, tree planting and soil conservation. Although DTC has been supported by USAID, their first proposal to use the GMU proposal review structure has been a request for additional funds to do additional

activities around Bwindi and also to take on in- and out-park activities in Mgahinga that were formally carried out by German technical assistance. Normal activities are funded through March 1996. CARE/DTC is currently in the process of proposal development for a third phase.

(ix) Entebbe Zoo/Uganda Wildlife Education Center

The Uganda Wildlife Education Center (UWEC) is currently funded by the Uganda Wildlife Education Trust. Current activities involve using the zoo as an environmental education tool and a tourist attraction. APE has already provided funding for a variety of activities including, infrastructure improvement, Warden training and operating expenses. A proposal requesting funding for similar activities has been approved by the GMU and forwarded to USAID for funding.

(x) Support for Community Conservation Activities Around Lake Mburo National Park/AWF

USAID has been funding activities for the Lake Mburo National Park since 1991. Past support included the Lake Mburo National Park (LMNP) Habitat Project, the LMNP Boundary Marking Project and the LMNP Management Planning Project. The Swedish International Development Agency (SIDA) was the primary donor for the Lake Mburo Community Conservation Project (LMCCP). USAID provided PL-480 funding from April 1994 through September 1994. This funding was used to achieve three objectives: the election of the LMNP Management Advisory Committee and assistance to meetings of this committee, the implementation of a sound and accountable revenue sharing program and the establishment of resource use zones and appropriate park and community structures to manage them. A proposal and funding request is currently pending at the GMU. This phase of the project will expand LMNP's community conservation program by building on the experiences of the first phase; assist in the development of a Park Management Advisory Committee (PMAC) and parish level conservation committees; advise on the development of benefit sharing mechanisms, expand support to community initiated projects, work with other community projects in the area and work with the Lake Mburo fishery to promote both conservation of fish stocks and the well being of the fishing community. Additional activities include assistance to establish a UNP Community Conservation Service, assistance to research in land use systems around LMNP that are compatible with protected area management objectives and the establishment of an effective monitoring and evaluation system that could be of use to UNP and other protected areas.

b. District/Community Linkages

There appears to be considerable interest among both international NGOs, local NGOs and CBOs in natural resource management and environmental protection. With this comes a degree of frustration in that projects supported, or potentially supported, through APE/GMU have included few local level activities. The only place where this is beginning is through UNP and international project activities with PMACs (Park Management Advisory Committees), and these are in very early stages of development. The area of most obvious potential seems to lie with the PVO-NGO/NRMS Project, originally created for the purpose of enhancing natural resource management awareness, and building PVO/NGO capacity in natural resource management.

(i) NARM Forum

Originally supported under USAID PL-480 funds, WLI has been receiving USAID bridging funds until such time as a decision is made concerning a possible follow-on project. If supported, the proposal would move the project into a second phase directed to strengthening the capacity of the NARM Forum. This

is a relatively new semi-autonomous network of approximately 75 local NGOs and CBOs with the potential of facilitating national and subnational natural resource management and environmental planning and action. The project representative, through WLI, was also a participant in the NEAP process on the Livestock/Rangeland Management Task Force, although the representative was not brought in to the process until the process was well underway, and as a result, did not feel that the NGO/PVO voice was very strong.

Through the project, WLI proposes to build the capacity of the NARM Forum through various training and institutional support activities, which would in turn foster improved natural resources planning and collaboration among local NGOs and CBOs. Through the establishment of district chapters, the forum would serve as a link between the NEAP (and NEMA) and communities to strengthen local planning, identify resources to support forum and community activities, build forum management capacity for eventual autonomy, coordinate project technical assistance, etc. Forum membership would work together to determine directions, priorities and strategies for operation and implementation.

There is an obvious need for a collaborative NGO/PVO body to take leadership for natural resource management and environmental protection. There appear to be a growing number of local and community organizations working in this field. The exact number of local NGOs with this interest is unclear although WLI suggests there are approximately 78 now associated with the NARM Forum (the PVO-NGO/NARMS project began with 39 international and national NGOs and CBOs in 1989). Phase I activities have stimulated national and local level interest through a range of training activities, district PRA activities, buffer zone management workshops for park area users and authorities, and field programs and activities aimed at strengthening NGO/PVO capacity in natural resource management.

An evaluation of the project was conducted in February 1995. Among other things it recognized that the creation of the NARM Forum was a very positive achievement. It was also credited with increasing NGO/CBO awareness and commitment to natural resource management action, and to the identification of NGO/CBO development needs, priorities and potential solutions through a participatory appraisal process. It was recommended that the project be continued but that its activities should be focused on strengthening the NARM.

WLI is currently revising their proposal to the GMU to respond to the recommendations of the evaluation. WLI seems very committed to encouraging participants to define their own directions, needs, capacities and priorities. In general, the NARM Forum is seen as a mechanism for assessing and building local NGOs'/CBOs' management capacity; as an environmental policy advocacy tool; as a communications forum for NGOs/CBOs on natural resources management and environmental issues; as a means of information exchange and collaboration; and, as a tool for funding generation for local natural resource management projects.

The vision for the forum is still somewhat unclear as are its capacity building priorities.

Since the network has been in place for a number of years, WLI should now have a reasonably good sense of what the priority capacity building needs are in this regard. WLI should be encouraged to clarify these priorities, and to identify areas of needed technical assistance in order to build the organization's national level capacity. This might include such areas as leadership development, especially for women, natural resource/environmental conflict mediation, training trainers, participatory needs assessment (over and above PRA methods), monitoring and evaluation, financial management, organizational development for chapters, policy analysis and lobbying for community concerns, and promoting grassroots groups' abilities' to organize, etc.

(ii) District Chapters of the NARM Forum

Through the NARM Forum, WLI is proposing to facilitate the formation and development of autonomous district chapters in the NEAP/APE pilot districts. The concept of a collaborative subnational NGO/CBO body focused on natural resource management seems to be a viable one, and one that people in Kasese District are already beginning to operationalize. A group called Kasese Non-government Organization (KANGO) has recently been formed by 18 different local organizations. The Evaluation Team met with several members of KANGO. We learned that the organization is in place but not fully operational. Members have taken part in community PRA activities as part of the environmental action planning process. Those members with whom we visited felt that the organization might have the potential to take on some of the following responsibilities:

- Identification and allocation of funding to support community-based natural resource projects.
- Facilitation of NGO/CBO communications and information sharing; identification of local problems, needs and priorities.
- Monitoring gender-related and broader community impacts of project activities.
- Assessment of the capacities, resources and priorities of district level NGOs, and maintenance of a data bank about these groups.
- Ensuring cooperation between district levels of government, NGOs/CBOs, and local communities (through representation of the LEC, DTPC and DDC).
- Identification and training of village level "natural resource management extension workers" for promoting village-to-village awareness and education.
- Capacity building for CBOs through training, mentoring, and so forth.
- Assistance in assuring that community needs and priorities in natural resource management and environmental protection are being addressed.

In Kasese there appears to be a good deal of consensus among government authorities, civil servants and NGOs/CBOs concerning the value and need for KANGO. What is not yet clear is how KANGO and the MLG system would interface when and if technical assistance were obtained to carry out local projects. There is considerable debate about whether funds should come directly to the district, then be reallocated to KANGO, or whether they should come directly to KANGO, then KANGO would merely keep the district informed as to its grants and related activities. It was apparent to the Team that there is an open climate for exchanging ideas on this subject in Kasese District. Apparently no other district has advanced quite this far in implementing a district NARM Forum chapter. APE/NEMA could assist districts to build a level of trust and communication between MLG and the NGO/CBO/PVO sector. This could begin by identifying joint projects upon which they could collaborate. In Kabale District CARE/DTC has developed linkages with district officials and meets on a regular basis with them to inform them of project activities and progress. There are however, few formal linkages between MLG and local NGOs/CBOs.

In Kabarole District, WWF/Rwenzori Mountains Conservation and Development Project is putting considerable emphasis on improving the relations between the Bakonjo communities outside the park, which once had free access to the area's natural resources, and the UNP. The project has formed Parish

Conservation and Development Committees to strengthen the working relations between the Bakonjo communities adjacent to the park, and UNPs. While the ultimate goal is park conservation, the committees are seen as a means of identifying community needs from the park, and in developing a mutually acceptable management plan for establishing multiple use policies for this particular park. The Evaluation Team met with several parish/village members and it was apparent that they felt that WWF was assisting them in their negotiations with the park and with the PMAC. In this particular park area, the Bakonjo do not perceive the PMAC as representing park users, nor were they convinced that they had a voice in the local government system. The approach of WWF has been to follow the traditional organizational structure of the Bakonjo people, encouraging planning through "ridge committees" rather than establishing a new structure. Further investigation of this issue required more time than the Team had available.

c. Technical Assistance to GMU Projects

(i) Community Conservation

Technical assistance has been provided to some GMU field projects and to NGOs to facilitate district environmental management coordination and collaboration. Some of this has been accomplished through the team building and other workshops, and meetings with GMU-funded NGOs to discuss district environmental management systems and guidelines. WLI, for example, was very positive about the interaction they have had with APE/NEAP, including the information shared on NEAP decentralization. They see this as a valuable resource which will contribute to future NARM Forum capacity building. While there has been some similar communication with WWF, including participation of an APE team member on the project's evaluation project, WWF would like to see an increased level of APE assistance with their community development work in multiple-use zones (see Technical Assistance to Protected Areas).

Generally, APE support to the projects has been limited given the many other demands on their time and resources. When the primary project managers are international NGOs, or fairly well established organizations, it does not seem realistic to expect APE to provide much more than relevant coordination and policy-related information. On the other hand, stronger linkages between APE and the international NGOs might help to ensure that there is coordination between MLG and district project activities. It might also be important for the GMU to reconsider their selection of NGO contractors to facilitate a better blend of conservation and community development interests.

The primary means whereby the APE has interacted with NGOs and PVOs has been in association with the international NGOs which are funded through the GMU, and through district level contacts with local NGOs that have been part of the development planning process. Generally these interactions appear to be stronger with international and local NGOs as opposed to community-based and local NGOs.

(ii) Technical Assistance in Protected Areas

The APM's Job Description included responsibility for facilitating the participation of local communities in the management planning process. This included finding opportunities for local communities to obtain direct and indirect financial benefits from the sustainable management of the parks, e.g., revenue-sharing. This was to include finding imaginative solutions appropriate and acceptable to local communities through consensus building. Solutions were to be consistent with national policy directions and constraints. There is no workplan, nor sufficient information in reports, to indicate how the APM attempted to accomplish these job responsibilities, however in the APM's first six month report (April, 1995) it is noted that the responsibility for "local communities" was "dropped in priority because UNP already is very committed

to it ..... to address it would be redundant." The proposed amount of time to be spent is five percent. There was no indication of how the APM came to this conclusion, although it may be safe to assume that the information came from UNP officials, not from discussions with park user communities.

The APE/NEAP CCA participated in the mid-term evaluation of the WWF/Rwenzori Conservation and Development Project. This activity provided the opportunity to assist in development of the PMACs, and in clarifying the role of the decentralization process in strengthening community input to UNP. In association with this activity, a paper was prepared for UNP use on in-park monitoring activities that link in-park monitoring indicators with out-park indicators. Assistance was given UNP in planning the Third Workshop on the Conservation and Management of Afro-montane Forests (September 1994) in which community participation in protected area management was the central theme. This workshop reached people from nine countries. The CCA also participated in the UNP revenue sharing workshop at which the district environmental management guidelines were presented, and revenue sharing opportunities associated with decentralization were discussed.

Other than through some specific communications with projects, APE has provided relatively little community development support to UNP field personnel. Given the GMU's contracts with international NGOs, and the availability of the APM, this is understandable. However, in order to develop the cooperative management capacity of the PMACS, and to ensure that they represent the particular interests and population groups associated with park use and authority, an increased level of organizational and community development assistance is warranted. If no one is overseeing the situation, the whole issue may be neglected. This will do little for long-term capacity building. Technical assistance could be directed to the development of a UNP extension/community outreach service. One NGO suggested that APE increase its support to both projects and the UNP in the following activities: Multiple-use zones; the PMACs; UNP's revenue sharing program; project/park work with community conservation-related initiatives and organizational capacity building, including women in development; park staff training; and community involvement in the provision of in-park tourist services and facilities.

(iii) The Park Management Advisory Committee

The primary role of the Parks Management Advisory Committees (PMACs) is to promote participatory park management. Their activities include such things as:

- Identifying issues, problems and opportunities pertinent to both parks and associated communities;
- Establishing community priorities for park resource use, protection and management;
- Recommending strategies (bylaws) for the park management plan; and,
- Advising the UNP on park planning and management, and contributing to periodic up-dates on park management plans.

While PMACs were devised as a means of involving local communities in assisting UNP with park management, their actual composition seems to vary. In general they are to include UNP representatives as well as local stakeholders, (e.g., RC authorities, community leaders, local NGOs, CBOs, and other resource users).

The Kibale National Park PMAC consists of 22 elected parish (RC I) representatives — all of which are male. The post of vice-chairperson has been reserved for a woman as have three other positions yet to be filled. The majority of the members are Batoro subsistence farmers, laborers and small traders. None

are politicians. All are forest or park users. The Lake Mburo National Park PMAC consists of 13 members elected from the parishes. Only one member is a woman. Our discussions in Fort Portal with the Rwenzori Mountains Conservation and Development Project Joint Forest Management Committee representatives felt that the PMAC in their district was part of the RC system, and that it did not represent park users. In their opinion, the Bakonjo people who have historically been users of the park resources, are not represented on the committee. They felt that the UNP has a blanket policy for all parks, and that this policy is not appropriate for all parks. They recommended that each park should be viewed as a unique environment with its own social, economic and cultural needs.

The Evaluation Team met with representatives of the Lake Mburo National Park PMAC, a group that is approximately one year old. We were told that the park management plan had been developed before the PMAC had been established, therefore the members had not seen the plan. PMAC representatives expressed the need for training so they could help other community members see the benefits from the park. They expressed interest in discussions and visits with similar park management advisory groups outside their area. They stated: "To train the committee, the chairman, and so on ....you need to increase the capacity of the committee — not the politicians....The PMAC must link with other local communities. It is too small on its own. The PMAC has no legal status so it can't argue with the district."

One of the UNP Wardens felt that the local conservation committees should be encouraged to take on more responsibility for park management. He stated, "local people are willing to learn but they need leadership. The new body...UWA ...could help build the capacity of the committees, with the help of NEAP and the Forest Department." The same person recommended that USAID technical assistance should help facilitate the capacity building of the PMACs, as well as contribute to the parks' community development activities. He suggested the identification of park "focus areas," for example a wetlands area, a unique forest habitat, an so on. Then the associated communities should be examined holistically with regard to their own unique society, politics, history, culture and ecosystem relationships.

d. Income Generating Components of GMU Activities

Although the premise of APE is that protected areas are only viable in the longer term if they are in the genuine economic interest of the local community and of the host country, there is a limited focus on off- and on-farm income generation in the majority of GMU projects. From the farmer's point of view, their livelihood is assured from three different sources.

The first is from hunting and gathering in the form of meat and forest products. This has been reduced in most areas by reduction and destruction of the wildland resources. In those few areas remaining, most of these opportunities have been recently cut off by the transfer of much of the wildlands administration to UNP as requested by USAID. UNP operates under a different mandate and under a different set of laws. Human use of the parks is restricted to tourism, management activities, and in some cases research. The gathering aspect of rural life is being explored in the multiple use zones in Bwindi Park. Sustainable gathering is permitted under close supervision. This would continue with efforts to domesticate and farm those "gathering" resources that can be established outside of the park such as beekeeping, medicine gardens, bamboo growing, and cultivation of plants to provide crafts materials, etc.

The second source of livelihood is subsistence agriculture in the form of food. This is being supported by the extension activities of AFRENA/ICRAF in the Kabale area. Other project activities in this area are not apparent.

The third source is cash agriculture and other nonagricultural sources of income in the form of cash. The only project activity observed in this area is in the "sharing" of Parks revenues. This is only indirect as it is earmarked for community social infrastructure and doesn't enter the farmer's pocket. It is debatable that this sharing of receipts to communities will have much effect on the reduction of illegal forest use. The forest is used by individuals and not by communities. A few individuals will be directly employed by the Parks and some local ecotourism is just beginning to be developed.

It is obvious that the limited amount of income generation creation by the project will not long detract the inhabitants of the areas associated with the national parks from the forest. If it is an absolute necessity that humans be excluded from the forest for the protection of the biodiversity values, then much more attention must be paid to the **individual** income generation activities in the buffer zones. Specific attempts to raise agricultural yields will not be sufficient. Increased production is not income unless it is marketed. More emphasis should be placed on marketing and diversification of income opportunities for increasing the numbers of people outside of the park if the resource values inside the park are to be preserved. The concept of law enforcement with a guard behind each tree soon becomes economically impossible. It is far more economically efficient to provide external opportunities to substitute for hunting and gathering.

III. ADMINISTRATION AND MANAGEMENT

The APE is a large project in terms of funding and relies on the participation of a large number of organizations and multiple types of funding mechanisms. Implementing organizations include the following:

Organization(s)	Funding
1. Ministry of Finance and Economic Planning (MFEP)	Grant Agreement
2. Ministry of Natural Resources (MNR), Forest Department (FD)	Local Currency Project Agreement (LCPA)
3. Ministry of Natural Resources, NEAP Secretariat	LCPA
4. Ministry of Tourism, Wildlife and Antiquities (MTWA), Uganda National Parks (UNP), Peace Corps	LCPA
5. Tropical Research and Development (TR&D): Subcontracts with: Chemonics International and Makerere University Institute of Environment and Natural Resources (MUIENR)	Institutional Contract ST Contract for Kibale Forest
6. World Resources Institute (WRI)	Centrally funded Cooperative Agreement (CA)
7. United States Department of Agriculture (USDA) Office of International Cooperation and Development	PASA
8. CARE International	Grant
9. Wildlife Conservation Society (WCS)	CA (now terminated)
10. World Wildlife Fund (WWF)	CA
11. Land Tenure Center	CA
12. World Learning	Previous CA Proposal under Review and Preparation
13. African Wildlife Fund (AWF)	Funding Pending
14. International Gorilla Conservation Program (IGCP)	Funding Pending
15. COVOL	Funding Pending
16. Uganda Wildlife Education Center/Entebbe Zoo	LCPA/PIL

Organization(s)	Funding
17. Agricultural Cooperative Development International (ACDI)	Pending Proposal Revision Pending Funding
18. International Center for Research in AgroForestry (ICRAF)	LCPA (one year funding remaining)
19. Makerere University Institute of Environment and Natural Resources (MUIENR)/NRABM	LCPA
20. USAID/Natural Resources Advisor/APE Project Officer	Personal Services Contract (PSC)
21. Bwindi Trust and Administrator	PIL
22. MISR	LCPA
23. East Africa Wildlife	USAID Registration Pending/Proposal Receipt and Review Pending

A. PROGRAM MANAGEMENT

Because of the number of institutions involved in APE, the various funding mechanisms, and the 2-3 year delay in the establishment of a functional GMU in particular, USAID has taken on an excessive management burden that could not adequately be done by one Personal Services Project Officer. Hence delays have occurred in the establishment of the GMU, subgrant approvals, and fund disbursements. Additionally, the technical direction of some of the subgrants and activities funded through local currency can be deemed as somewhat lacking.

One example of this is the circumstances described by UNP. UNP expressed concern with two issues. First of all, they feel that there were inordinately long delays in the procurement of material support. According to their reports a whole year elapsed between orders for vehicles. Secondly, there seem to be problems with the release of quarterly funding. UNP states that it took the first quarterly payments seven months to arrive and the second payment took eight months. However, a November 1994 report from USAID/Kampala pointed out that further advances of funds are dependent on UNP complying with USAID's recommendations on procurement, cash management and bank reconciliations. UNP believes that the problems are exacerbated by procurement orders and applications for quarterly release of funds having to go through the lead ministry, the MNR, which is not UNP's parent ministry; and which introduces the potential for delay. USAID and UNP need to jointly find solutions to administrative snags so that project progress may proceed.

Since the GMU is now operational, the majority of project management will be shifted to them. GMU will be responsible for the technical management and financial/administrative oversight of the subgrant activities, while the Mission is responsible for all financial management which includes the disbursement of funds to grantees. All projects that have had funding prior to the GMU should now come under the responsibility of the GMU. Although there are questions concerning overhead rates for subgrant funds, it would most likely have been more efficient to have given the entire responsibility of the GMU subgrants, including fund disbursement to TR&D. If future subgrant funding is foreseen, this option should once again be considered.

USAID does not liaise with one ministry for the management of APE. There are three lead ministries that include Finance, Natural Resources and Tourism. Although this does not seem to have caused any administrative problems for the project, some quarters of the Ugandan government feel that this allows USAID tremendous leeway to address issues to whomever they see appropriate — which then leaves other ministries uninformed.

B. INPUTS/OUTPUTS

1. Non-Project Assistance (NPA)

All conditionalities under APE 617-0123 were established on August 20, 1991.

The first $3 million tranche conditions were the establishment of the NEAP steering committee, the selection of the NEAP Coordinator and Secretariat with a staff and task forces in place. This condition was met in July 1992.

The second tranche of $5 million was conditioned upon the transfer of forests to parks and privatization of concessions. This was disbursed in July 1994.

The final tranche of the dollar grant of $2 million US dollars was conditioned on the formal adoption of the National Environmental Action Plan. This was met in April 1995.

The grant agreement calls for the GOU to provide $10,000,000 in local currency to activities. These disbursements are made in direct relation to USAID sector cash grants following the "GOU meeting of conditions precedent." To date GOU has disbursed $3 million in local currency into the APE special account. The GOU is up to date on its local currency contribution. A final $1 million will be due once the GOU is formally informed of the 110 Waiver.[9] The deposit of the $1 million will fulfill all GOU obligations in terms of local currency contributions.

The grant agreement calls for the GOU to contribute $995,000 in-kind services to the implementation of APE. While this has not been specifically accounted for, GOU collaboration, participation and contribution in APE has been outstanding. The in-kind contribution is therefore assumed to be on-target. APE should have an accounting of this to assure that indeed the in-kind contribution is on target.

While the NPA contributed to the stability of biodiversity in selected areas, the NPA could have been more effective by asking for cooperative management of protected areas. This would allow Ugandans to come up with the method and design for increased protection rather than USAID dictating management responsibility transfers from one agency to another within the government to accomplish protected area status changes.

Some of the conditionalities were met before the grant agreement was signed indicating events were moving faster than USAID administrative procedures, or even more policy change could have been leveraged for the same money. The last tranche was for the adoption of the NEAP and was probably the most effectively worded of any of the conditionalities. However, considering the enthusiasm exhibited by the Ugandans for the NEAP process, the conditionality was ultimately a bit redundant. Although NPA

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[9] A 110 waiver to reduce the host-country contribution from 25 percent to a more reasonable range was requested by the mission. The mission's rationale for this was that the mechanism through which local currency was to have been generated (petroleum sales to the private sector) was no longer possible due to the liberalization of financial markets. In addition, generation of local currency from the GOU budget was not justified given normal levels of GOU direct budgetary support to donor-funded projects.

was required to set the NEAP process in motion, in the end the process took over and the momentum carried right through to the passage of the bill. The forgiving of local currency requirements reduced the money available for RRC/GMU activities by $4 million. This was a big reduction in a very important component of the APE.

2. Tropical Research and Development (TR&D) Contract

This institutional contract initially provided for three technical assistance personnel: the NEAP Chief Technical Advisor and Chief of Party, the Community Conservation Advisor, the Chief Financial Advisor as well as 23 months of short-term technical assistance. In general, the contractor has supplied competent technical assistance for the long-term positions. The original Financial Advisor was replaced for personal rather than technical reasons and he was replaced within three months, an acceptable period to recruit and place an advisor in the field. The two other advisors have been in the field since the beginning of the contract.

There have been two substantial changes to the original contract. The first was the modification of the technical assistance team's scope of work and the second was the addition of the responsibility for the establishment of the GMU which includes the addition of one technical assistance advisor. The primary reason for the modification of the scope of work was the introduction of assistance to NEMA rather than to the NEAP Secretariat, in order to emphasize assistance by the Community Conservation Advisor to the district environmental management system, and to insert work by the financial advisor on the implications of the UNP-GD merger. The addition of the GMU responsibility was a result of the failure to find a US-based PVO to do the work. TR&D provided one GMU Coordinator for one year and the current Coordinator has been in the position since October 1994. The current Coordinator overlapped with the out-going advisor which meant there was no hiatus in the GMU slot.

TR&D has provided a substantial amount of technical assistance including an Assistant Parks Manager (due to delays in bringing on board the PASA employee) for seven months and eight months of technical assistance for the Kibale Forest Bridge Project. Short-term technical assistance is listed in Annex D. Short-term technical assistance has been supplied on most elements of the project. In general the technical assistance has been seen as competent and very useful. Examining the TR&D contract and the scope of work, there have been no major omissions in the contractors responsibilities and products. Workplans have been produced and followed and reports submitted in a timely fashion.

3. PASA

Long-term technical assistance for APE has been provided through two contractual mechanisms: the TR&D institutional contract (with three advisors: policy, community conservation and financial) and the USDA Participating Service Agreement (employing one advisor: parks management). Under this arrangement, both TR&D and the PASA employee are required to report directly to USAID. Although inclusion of the parks advisor in the institutional contract was considered, the final decision was to employ a parks advisor through a PASA. One of the primary reasons for this decision was the availability of resources (short-term and otherwise) through the U.S. Parks Service. The project has not drawn on these resources for assistance to the project and if necessary, the project could still do so without hiring the parks advisor through a PASA.

Coordination of technical assistance activities has been difficult. This may be due to several reasons. First of all, administrative delays resulted in the late arrival of the APM. Secondly, the APM's workplans are developed quite apart from TR&D's workplan. The APM is supervised by USAID directly

and there is no administrative link between TR&D and the PASA employee. The TR&D technical assistance team is coordinated by their Chief of Party. The APM is supervised by USAID.

Coordination of technical assistance needs to improve between park assistance and the other long-term APE technical assistance. The best way to do this is to place the parks management assistance under the same institutional contract as the rest of the technical assistance.

4. Training

A list of training financed under APE is included in Annex E. It is difficult to ascertain the usefulness of this training since there is no training policy for APE. Additionally the institutional contractor and PASA have no training budget of their own — making it difficult to establish a program and schedule. Training was done very much on an ad hoc basis. APE should develop a training policy and budget before any further training is done.

C. ECONOMIC ANALYSIS

The economic analysis in the PAAD and in the proposed project extension were examined. The Evaluation Team concurs with the opinions on the lack of data to base an exact analysis. There are a large amount of non-quantifiable values such as downstream values and future potential returns from the protection of biodiversity. Tourism returns are increasing and with further development of the tourism potential, these will increase. Political variables that effect tourism values are stability in Uganda, instability in Zaire, Rwanda, and Kenya. Any increase in internal terrorism will have a dampening effect. The fickleness of airlines and tourist agencies can reduce tourism but this is an unpredictable variable and probably not immediately important as Uganda has a virtual monopoly on gorilla viewing which is the biggest draw on wildlife safari at present.

Forest revenues have increased with the improvement in controls and use fees financed in part by the APE. Further increases are seen as management improves. Improvements in smallholder yields through agroforestry and soil conservation efforts are another positive return potential.

The cost side will include the investments in decentralization of the NEAP. Recurrent costs of the NEMA should stabilize as the districts tap into the tax base for funding.

The analyses in the PAAD and the project extension paper seem to be adequate. Projections of unsubstantiated estimates would not be appropriate.

D. MONITORING AND EVALUATION

The M&E system of the APE resembles a nest of Russian dolls. There is the outer shell of the Country Programme Strategic Plan (CPSP) and Analysis of Program Impact (API), the next level of the Logframe and Objective tree with the project API and associated progress reports and at intervals the mid-term and final evaluations. Within the project the NEIC is responsible for national and local environmental monitoring with the associated inventories and baseline studies. The decentralization of the NEMA has an independent plan but is also connected with NEIC for data collection and analysis.

Within the GMU there is the GMU M&E plan encompassing the individual M&E plans of each grantee. The MUIENR and MISR are conducting various studies and inventories feeding into other institutions for their various M&E plans. The ecological monitoring system for UNP remains to be designed and placed into operation.

In view of all of the above activity it is evident that there are various M&E plans for each specific part of APE and NEMA. What is not yet clear is how all of these somewhat independent systems will be coordinated so that one feeds into another and there is not a tremendous duplication of effort.

E. OBJECTIVE TREE FRAMEWORK AND LOGFRAME

Is the hypothesis as shown in the analytical framework a valid hypothesis? Do the indicators adequately express the hypothesis?

The USAID/Kampala Mission's Strategic Objective (SO), to "Stabilize biodiversity in target areas" probably does not fully express what is called for. Sustainability is more than just stability. Sustainability requires effort to reduce future risk to the stability of the resource. Stability may be a short-term goal but doesn't consider future risk. A closer look at the Mission's SO #2 (SO2) and indicators follows.

1. The CPSP, API, and APE Indicators

SO2: Stabilize Biodiversity in Target Areas.

1. Maintenance of flora and fauna diversity in protected areas.
   - What is the difference between this SO indicator and the SO?
   - Stabilize and maintain are the same.
   - Biodiversity and flora and fauna diversity are the same.
   - What level of protection exists in the protected zone?

2. Increase income of men and women in buffer zones.
   - What is the connector between income and biodiversity protection?
   - What is a buffer zone?

Target 2-1: Improve the Policy and Institutional Framework that Promotes Sustainable Natural Resources.

1. Completion of NEAP
   - No comments.

2. Legal status of target parks and reserves changed to insure protection.
   - How does the changing of legal status ensure protection?
   - Ensure may not be what you mean. Do you mean increase the potential for protection?
   - How does changing from a potential IUCN level V Strict Nature reserve, to a lower IUCN level IV National Park ensure protection?
   - Demanding a level V protection within the FD would fit the SO better than transfer to UNP.
   - Changing the SO to read "increase the income from stable biodiversity in target areas" might be more realistic in light of the indicators listed in Target 2-1, 2-2, and 2-4 as all of these stress economic use rather than strict biodiversity preservation that is implied in the SO.

3. Local retention of park/user fees.
   - Retention by what local individual? Institution? Community? Retention of all? or part?
   - The intent appears to be economic incentive to local individuals (individuals are the

natural forest users/exploiters, not communities).
- What is the incentive for the managing agency to improve management?

Target 2-2: Improved Park/Reserve Operations and Practices.

1. Increase the number of visitors.
   - Why increase the number of visitors? More visitors cause more damage to fragile ecosystems such as the high montaine areas in the new parks. If the objective is to make more money then indicator 3 is better. You don't need this indicator just because it is easily quantifiable.

2. Increased road access.
   - This increases risk to the biodiversity. Again if the SO is to make more money, then this needs to be clearly stated.

3. Fee collection.
   - Again, there is no connection with the stabilization of biodiversity unless fees are slotted to improve the protection which is not the case according to target 2-1.3

Target 2-3: Strengthen Incentives for Women and Men in Buffer Zone Areas to Adopt Improved Natural Resource Practices.

This target is probably the best causal relationship connected to the SO as it is currently stated.

1. Tested practices extended.
   - These are rather hard and maybe expensive data to collect for an indicator.

2. Number of local park employees.
   - Good indicator — easy and inexpensive to collect, and defined as numerical ranges.

Target 2-4: Promote Uganda Tourism Through Private Institutions.

Perhaps the increased tourist visit indicator belongs here rather than in the parks operations target.

No specific comments on the indicators.

The discussion of Natural Resources Strategy Elements in Annex 3C of the CPSP is clear on what the Mission Strategy is, and answers some of the questions posed above. However, the hypothesis is not clearly stated in the Logframe; and the causal relations are not clear between the targets and the SO.

The discussion of "Performance Management Issues Relevant to Strategic Objective #2," by the Prism project, offers some options in revision of targets and indicators that could serve as guidance for revision in these areas. These revisions all apply to activities in the APE and could serve to tie the CPSP, Mission API, and APE to a common set of updated, relevant indicators. The present APE analytical framework is convoluted and of little use. The logic stream slides in and out of project concerns and includes many unnecessary branches.

The logic should flow in the manner of this small diagram.

```
                          SO2
                            /\
results                |    check it out--------> |
action                 |    do it                  \/
plan                   |    what to do<---------fix it
Policy and legislation |    enable
```

The APE is the plan which should come after the policy and legislation but because of the NEAP, inclusion in the APE becomes somewhat circular. The action is the GMU and direct grants to Agencies. The results and feedback loop is the M&E function that is somewhat fragmented in the APE with several agencies doing partial surveys, inventories, etc. Suggested examples of an Objective Tree (in matrix form) and a Logical Framework Matrix follow.

2. Objective Tree Matrix

GMU	PROTECTED AREAS	POLICY
LEVEL V	Increased Welfare for Rural People	
LEVEL IV ▪ Locals stop encroachment, poaching, non-sustainable use of parks/forests. ▪ Changed attitudes and behaviors.	▪ Stable Biodiversity ▪ The UNP is trained and able to apply management plans. ▪ Changed attitudes and behaviors.	▪ NEMA is functioning to protect the environment of Uganda. ▪ Changed attitudes and behaviors.
LEVEL III ▪ Diversity of economic opportunities. ▪ Revenue sharing. ▪ Environmental education. ▪ Participation. ▪ Multiple use plants domesticated. ▪ Adoption of yield improving practices. ▪ Small businesses established.	▪ Management Plans are guiding actions. ▪ Receipts cover expenditures. ▪ Income from tourism increases. ▪ Infrastructure complete. ▪ Reduce rate of forest degradation. ▪ Reduce rate of species loss.	▪ Increased private expertise in EIA. ▪ Clear mandates and procedures for NRM instituted. ▪ NEAP process is decentralized to districts and subdistricts. ▪ Enactment of Environment legislation.
LEVEL II ▪ Extension practices developed. ▪ Small enterprises developed. ▪ NGOs active. ▪ Grants made.	▪ Park boundaries delimited. ▪ UNP accounting System established. ▪ UNP Management Plans completed. ▪ Transfer of forests to UNP. ▪ Training in NRM and tourism.	▪ NEAP process completed. ▪ Four major policy revisions. ▪ NEAP task forces. ▪ NEAP Secretariat. ▪ NEAP steering committee.
LEVEL I ▪ Multiple use allowed by UNP policy and law. ▪ GMU solicits proposals.	▪ Grants to UNP, Forestry, MUINR. ▪ TA assigned to UNP.	▪ TA assigned to NEAP. ▪ NEAP funding in place.

3. **Logical Framework Matrix**

	VERIFIABLE INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
GOAL ▪ Sustained improvement in the standard of living.	▪ None at project level.	▪ None at project level.	Continued supportive Government.
SUBGOAL ▪ Sustained productivity of Uganda's natural resource base and maintenance of it's biodiversity.	▪ Reduction in forest degradation. ▪ Reduction in species loss. ▪ Increase yields per hectare.	▪ Project impact monitoring reports.	▪ Baseline is established.
PURPOSE ▪ To assist Uganda's public and private sector to effectively and sustainably manage its natural resources in selected areas.	▪ Locals stop encroachment, poaching, non-sustainable use of parks/forests. ▪ Changed attitudes and behaviors. ▪ The UNP is trained and able to apply management plans. ▪ NEMA is functioning to protect the environment of Uganda.	▪ GMU M&E System. ▪ Surveys. ▪ Project reports. ▪ Project reports.	▪ Policy and funding of the US government continues to support natural resource management.

	VERIFIABLE INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
OUTPUTS (Policy)			
▪ Increased private expertise in EIA.	▪ Number of EIA done in Private Sector.	▪ NEMA reports.	▪ TA assigned to NEAP.
▪ Clear mandates and procedures for NRM instituted.	▪ Number of guidelines.	▪ NEMA reports.	▪ NEAP funding in place.
▪ NEAP process is decentralized to districts and subdistricts.	▪ Number of districts participating.	▪ NEMA reports.	▪ NEAP task forces.
▪ Enactment of environmental legislation.	▪ Law is passed.	▪ Law is gazetted.	▪ NEAP Secretariat.
			▪ NEAP steering committee.
			▪ NEAP process completed.
OUTPUTS (Protected Areas)			
▪ Management Plans are guiding actions.	▪ Number of Management Plans completed.	▪ UNP reports. APE TA reports.	▪ Park boundaries delimited.
▪ UNP is economically self-sufficient.	▪ Number of managers are trained.	▪ UNP accounts.	▪ UNP accounting system established.
▪ Infrastructure complete.	▪ Receipts cover expenditures.	▪ UNP accounts.	▪ Transfer of forests to UNP.
	▪ Income from tourism increases.	▪ UNP reports.	▪ Grants to UNP.
			▪ TA assigned to UNP.

	VERIFIABLE INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
OUTPUTS (GMU) ▪ Diversity of economic opportunities. ▪ Revenue sharing. ▪ Environmental education. ▪ Participation. ▪ Multiple use plants domesticated. ▪ Adoption of yield improving practices. ▪ Small businesses established.	▪ Number of extension practices developed. ▪ Number of small enterprises developed. ▪ Number of NGOs active. ▪ Number of Grants made.	▪ GMU M&E reports.	▪ Sufficient funding for sustainable activity. ▪ Multiple use allowed by UNP policy and law. ▪ GMU solicits proposals.

IV. CROSS-CUTTING ISSUES AND RECOMMENDATIONS

A. A SYSTEM FOR MANAGING WILDLIFE AND PROTECTED AREAS.

New policy and legislation governing the management of wildlife and protected areas are currently under development. The new policy will define the functions and direct the work of the new UWA.

It is important that new policy and law provide for participatory protected area management and multiple use. Existing policy has already been altered to facilitate multiple use in parks although the National Parks Act contains no such provision. However, mechanisms for authorizing multiple use are in extant law, although they were almost certainly not put there for that purpose. The Chairman of BoT is empowered to issue permits for the taking of animals within parks (Section 11(1)), and the Board may make bylaws controlling the removal of vegetation (Section 12(f). The Team was informed that these actions have been taken.

Policy on multiple use need not vary from park to park. What should vary are the specific uses for different parks (or for different areas within a single park), and the need to involve user communities in designing an acceptable management system that responds to unique needs and concerns. Policy can be a blanket one, which states the overriding principle that consumptive usage of resources within parks will be permitted, and that they will be subject to constraints on (for example) type of resource, size of off-take, methods of off-take and seasonality. The specific resources available for each park would then be specified within their management plans, together with the constraints on off-take. Constraints would be subject to regular (perhaps annual) review, based upon monitoring.

> **Recommendation:** APE should support the government in establishing a coherent system for managing its wildlife resources and protected areas by helping in ways that ensure the adoption of sound wildlife and protected areas policy and legislation, and to ensure that the future UWA will have the necessary capacity for system and management planning. Technical assistance should be provided.

B. COMMUNITY PARTICIPATION IN PROTECTED AREA MANAGEMENT (PMACs)

There is some confusion concerning UNP policy about the composition, responsibilities and support mechanisms (training, renumeration, technical assistance) for the PMACs and community conservation committees. Blanket terms of references for all community/parish committees associated with protected areas would be inappropriate given the wide variations that exist in communities and their associated forest ecosystems. User communities vary with regard to traditional use and management of these ecosystems, social and cultural patterns, and available economic options. Each community has a different set of experiences, perceptions and political networks. Human resources such as leadership, education, knowledge, gender sensitivity, and the types of CBOs that are present, are also unique in every community. Before laying out terms of reference for PMACs or community conservation committees, each user community should be examined on a case-by-case basis. This process should include the participation of local people.

An appropriate balance of stakeholder representation should be defined jointly by the user community (i.e., men, women and youth) and UNP. It should include a balance of men and women since marginalization of women's access to natural resources is known to leave women at a serious disadvantage. An acceptable ratio can be established that corresponds to the proportion of males and females in the population, or by establishing a separate committee for women, including a link between men's and women's committees.

The UNP Wardens and Rangers are the key people with the responsibility for setting up and working with PMACs and community committees. They have the potential for building leadership capacity in these groups, and for ensuring that members are committed and able to take an active role in park management and community education. They will require training to do this, as will all community members.

> **Recommendation:** A clear statement of policy concerning PMAC and community conservation committee composition, role and support should be printed and widely distributed by UNP and NEIC. Policy should allow sufficient flexibility so that each park area and its associated communities can tailor the policy to suit their own situations, and to define their own terms of reference. UNP policy should specify the importance of having all key stakeholders involved in occasional reviews and updates of committee guidelines.

C. CRITERIA AND STRUCTURE FOR THE IDENTIFICATION AND FUNDING OF PROJECTS UNDER APE

1. Funding Support for Local Communities

Projects currently supported through the GMU and APE are clearly donor driven. There has been little effort expended to work with local NGOs or other subnational structures to identify locally sustainable projects that address community-defined needs. Consequently, very little funding is actually reaching local communities, least of all in ways that will contribute to long-term natural resource management or income earning capacity-building. Grants tend to go to international NGOs, PVOs, universities and research centers — for example, CARE, World Wildlife Fund, World Learning, Inc., University of Wisconsin/Land Tenure Center, Makerere University, and so on. While many of the project community development and public education activities are commendable, they are more strongly focussed on research and conservation than on community outreach and development. Now would be an opportune time to reconsider this funding strategy to give increased attention to policies, priorities and mechanisms directed to local community priorities, including the needs of women for income generation and organizational leadership capacity.

Some of the mechanisms that might be considered include:

- Review project selection procedures and criteria to direct more attention to needs and priorities of local communities, and share these with NGOs, CBOs, ministries, and others at district, sub-county, parish and community levels.

- Develop guidelines for the composition and operation of the Project Review Committee so increased attention is given to the balance of interests represented on the committee (local NGOs, CBOs, PVOs, Community Park Wardens, Environmental Officers, members of DECs, women, potentially disadvantaged groups, etc.). Consider potential for annual rotation, and co-opting outside reviewers with specialized knowledge.

- Establish mechanisms to facilitate subnational and community-generated projects, for example, comparable to the NARM Forum and its associated district "chapters" (like KANGO in Kasese District). Explore the possibilities of establishing a GMU link with a district-based body composed of a balanced representation from MLG, NGOs, CBOs, and the private sector. This type of group could improve ties between NGOs (international and local), the private sector and MLG, and could facilitate increased local involvement in selecting projects and its managing grant support.

- Earmark a portion of available funds for micro-grants that encourage simple project designs, low risk technologies, potential for transferability, team multiplication of skills, lessons learned, and community-to-community collaboration between CBOs, civil servants, politicians, private firms, and others.

  Recommendation: Review the APE/GMU project funding strategy to give increased attention to policies, priorities, operating procedures and outreach mechanisms that are more responsive to the needs and priorities of local communities.

  One of these grants should be directed at building the capacity of a decentralized and coordinated NGO/CBO/PVO — local government mechanism for facilitating the development and support of community natural resource management and environmental protection projects which build long-term community organizational capacity. If necessary, technical assistance should be provided to assist the group in the development of its proposal design and strategy.

2. Development of an Autonomous Foundation

Currently the GMU is associated with NEAP but has been larged guided by USAID. It has been established to reinforce the changing NEAP system. In keeping with the desire to establish institutions that have long-term sustainability and the capacity for relative autonomy, this would be an ideal time to identify ways in which the GMU might eventually become more autonomous and self-sustaining. Current funds channelled through the GMU originate with USAID, however in the future, funding sources might be broadened as might the unit's role with regard to supported projects. Until such time as USAID support is terminated, NEAP, the GMU and USAID might wish to investigate various options which would turn the organization into something comparable to a private foundation with increased organizational development capacity to assist the organizations whose projects are funded. With the rather uncertain future of USAID funding, and the growing potential for private sector input, this may be an opportune time to redirect this unit's commitment to natural resource management and environmental protection education, research and development.

This type of organization might be partially modeled after the W.K. Kellogg Foundation which, through a board of directors and a core staff, establishes policies, funding mechanisms, strategies for proposal development and for nurturing projects throughout their implementation. This model provides opportunity for longer term project support, thus opening the door to greater sustainability. Some of the areas that Kellogg has given attention to over the past twenty years are institutional change, rural community development, agricultural and forestry leadership development, women's public affairs leadership development, sustainable food systems education, and so on.

Recommendation: Investigate options and models for gradually turning the GMU into a more autonomous, self-sustaining organization, with a link to NEMA, which would generate both private and public funding to support education, development and research directed to improved natural resource management and environmental protection. Such an organization might not only encourage project development and implementation in tune with established policies and priorities, but also help to facilitate the implementation and evaluation of these projects.

3. Integration of More Specific Income Generating Activities into the GMU Subgrant Activities

The premise of APE is that protected areas are only viable in the longer term if they are in the genuine economic interest of local communities. The populations associated with protected areas have three main sources of income. The first is from hunting and gathering. Much of this has been curtailed with the establishment of national parks. Multiple use zones are allowing some use of the parks. At the same time projects in these areas are helping populations to introduce similar activities outside of parks. These include domestic beekeeping, and the cultivation of plants such as bamboo and medicinal plants. Farming is probably the most important source of this population's livelihood. Although there is some activity in GMU-supported project areas, they normally end at production. Some projects address issues of increased production and improved productivity. Little thought has been given to what happens to the crop after it is grown, especially if the crop is not consumed by the producer. A third source of the population's livelihood is cash agriculture or off-farm income. With the notable exception of the new COVOL project, there is very little activity in this area.

The sharing of the park's revenues and the development of local tourist enterprises are two income generating activities supported by the GMU subgrant projects. Although these two areas should certainly be pursued, diversification to expand income opportunities is essential. First of all, it may be risky to rely on tourism as a steady source of income. Revenue could vary greatly depending on country stability and the world economy. Secondly, the sharing of revenue from tourism will be used for community activities, many of which have social goals such as schools and clinics. They will not serve to increase individual income. Also, the sums of money involved are quite small in comparison with the size of the population. To summarize, these two sources of income will probably not be sufficient to induce people to contribute to the preservation of protected areas.

> **Recommendation:** The GMU should place special emphasis on income generating activities other than multiple use, tourism and revenue sharing. Potential projects should contain income generating aspects that will deal with issues of marketing farm produce, value added potential through simple technologies and the development of off-farm small enterprise activities. NGOs who do not have these skills should collaborate with NGOs or other USAID projects that do, or in some cases separate activities for income generation may be warranted.

4. Administration of Subgrant Funds

Currently, the GMU is responsible for the technical management and financial management/administrative oversight of the subgrants. USAID has retained the responsibility for all financial management which includes a separate project review and the actual disbursement of funds. This has increased the management burden for USAID beyond what was originally foreseen in APE. The result has been delays in project approvals and fund disbursement resulting in the loss of credibility for some NGOs and delays in activities for others. In addition, NGOs often feel that even though they report to the GMU they must also report to USAID since it is USAID that makes the final grant decisions.

The original concept of the GMU was an umbrella organization that would take on the entire responsibility of the subgrant activities, including the disbursement of funds. If there is to be a life for an organization like the GMU after APE, the capacity for establishing criteria and project selection needs to be built without the pressures of USAID's day-to-day agendas.

> **Recommendation:** The GMU should be given the complete responsibility for subgrant administration including the actual subgrant agreements and disbursement of funds.

Although the reason for not doing this in the past was the issue of overhead on the subgrant funds and legality of an insitutional contractor's management of grant funds, in retrospect, finding a creative solution would have avoided many of the problems of the establishment of GMU. Finding a solution to this issue now would encourage the sustainable development of the GMU.

D. TECHNICAL ASSISTANCE AND COORDINATION BETWEEN ADVISORS

Long-term technical assistance for APE has been provided through two contractual mechanisms: the TR&D institutional contract (with three advisors: policy, community conservation and financial) and the USDA Participating Service Agreement (employing one advisor: parks management). Under this arrangement, both TR&D and the PASA employee are required to report directly to USAID. Although inclusion of the parks advisor in the institutional contract was considered, the final decision was to employ a parks advisor through a PASA. One of the primary reasons for this decision was the availability of resources (short-term and otherwise) through the U.S. National Parks Service. The project has not drawn on these resources for assistance to the project and, if necessary, the project could still do so without hiring the parks advisor through a PASA.

1. Assistant Park's Manager (APM)

Coordination of technical assistance activities has been difficult. This may be due to several reasons. First, administrative delays resulted in the late arrival of the APM. Second, the APM's workplans are developed exclusively of TR&D's workplan. The APM is supervised by USAID directly and there is no administrative link between TR&D and the PASA employee. The TR&D technical assistance team is coordinated by their Chief of Party. The APM is supervised by USAID.

Recommendation: Coordination of technical assistance needs to improve between park assistance and the other long-term APE technical assistance. The best way to do this is to place the parks management assistance under the same institutional contract as the rest of the technical assistance.

Recommendation: The APM's scope of work should focus on two issues — increasing UNP's management planning capacity, and on developing a system for managing information. If necessary, this component of the LTTA program should be extended.

Under management planning, the aim must be to develop an effective Planning Unit in UNP (and later UWA) that will serve as a catalyst to the on-going process of preparing and revising management plans for protected areas — and doing so in a timely manner. In order to achieve this, suitable counterparts should be recruited, who can staff the Unit after departure of the APM.

Under developing management information systems, the aim is to ensure that the results of monitoring and data gathering made at different levels can be used as feedback within an on-going process of adaptive management. This begins at the lowest level of management, where Ranger patrol's record such event as encounters with law-breakers, signs of law-breaking, observations on the occurrence and abundance of selected plants and animals, weather conditions, etc. Methods of recording information should be put on to a systematic footing — data may, for example, be made on standard forms, which Rangers must be taught how to complete — and the data that are gathered passed on to controlling Wardens for analysis, storage and passing them up the line of command in,

perhaps, summary form, including comments. Similarly, data gathered by Wardens and researchers must be collected systematically and fed into the system. Control of the overall information management system will be a function of a unit within UWA — perhaps its Monitoring or Research Unit. Suitable counterparts should, therefore, be recruited.

2. Community Conservation Advisor (CCA)

The modified CCA position description indicates that assistance should be given to NEMA, the MNR and UNP in all matters related to the DEOs, including assessing the effectiveness of development activities associated with protected areas. The Advisor is to take responsibility for DEO training, support and district planning; communications between DEOs, NEMA and the Ministerial Environmental Liaison Units; development of bylaws; district environmental plans; and the NEIC data storage system. In addition, the CCA is to advise NEMA, MNR and GMU on pilot district conservation and development activities and liaise with other natural resource management activities; assist with grant monitoring and evaluation and in selection and deployment of other focus districts.

Given the high expectations placed on this advisor, and the fact that it has had to cover five widely dispersed districts, the individual has done a commendable job. Contacts have been maintained with protected area projects, and input has been provided on project evaluations. Because international NGOs have been contracted to assist communities associated with the parks, the CCA has not given a lot of attention to work with protected area communities and UNP. With little assistance from the APM on UNP community development activities, community participation in parks management has not received a lot of attention.

If the APM position had been placed under TR&D, or if the background of the APM had been stronger in protected areas community development, then work with PMACs, community committees, community conservation projects, and Warden/Ranger community outreach might have reached a greater level of maturity. As the demands were presented, it is clear that the position includes too many expectations. During the bridging phase, consideration might be given to narrowing these. The CCA should first be placed within the NEMA District Coordination Unit, then the unit may want to decrease the number of pilot districts which the CCA is expected to cover, or to adopt a "phasing" procedure based on the readiness of the respective districts. Several community development coordination assistants would help to maintain the needed district coordination activities.

Some priority activities to which the CCA position might be directed during the next few years include training and guiding the DEOs in their roles as community development facilitators, assisting the DEOs in their work with LECs and DTRCs, helping to train trainer teams who can work with subcounty and parish committees/teams, assisting the DEOs and the appropriate groups to develop a public awareness campaign about NEAP and the associated opportunities, development of a training program for politicians and assisting to build the capacity of a district-based body composed to NGOs/CBOs/PVOs and MIG which could assume responsibility for local community envinromental education, and community participation in natural resource management planning and decision making. Working with the Ministerial Liaison Units will also be important.

It seems less appropriate that the CCA devote time to the NEIC data storage system other than to coordinate with the districts to assure that data collected is in comparible formats. It would also seem important to ensure that district/subcounty development planning leads quickly to some short-term activities which are known to community leaders and in which local people can participate. The CCA could monitor development plans to ensure that they actually lead to tangible outcomes in the near future.

The CCA might also liaise with NIEP to ensure that active district people and groups receive public recognition, for example, by getting short news articles into the NEMA newsletter and into ministry newsletters. Find ways to share what is going on in one district with other districts, and for people and groups to learn from each other's experiences.

> **Recommendation:** Place the CCA within the NEMA District Coordination Unit. Narrow his responsibilities to ensure a higher level of impact at the subnational level and within NEMA. This could be achieved in one or more of these ways: (i) identify several focus districts to which more attention might be directed, and help train teams from these districts to assist other districts; (ii) develop a close working relationship with the APM to ensure that attention is directed to the community outreach and development aspect of UNP and associated conservation projects, and assist in bridging the gap between MLG and UNP; or, (iii) identify several NEMA community conservation and development assistants to work with the District Coordination Unit.

E. PROTECTED AREA COVERAGE

It is unclear to what extent the present protected area system includes examples of Uganda's different biotic communities; areas of aesthetic value; species that are rare, threatened or endemic; and species that are of interest for other reasons. And the question of how the protected area system might be expanded to achieve better coverage of biodiversity has not been addressed.

> **Recommendation:** A study should be commissioned to evaluate the protected area system's coverage of Uganda's biodiversity. APE should support such an analysis, using an LTTA program of 18-24 months. The analysis would involve mapping the distributions of: biotic communities; areas of aesthetic value; species of plants and animals that are rare, threatened or endemic to Uganda; and species that are of interest for other reasons.
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> These distribution maps would be compared with the layout of the protected area system, and conclusions drawn as to whether the system might be modified to increase coverage of biodiversity.

F. FUTURE ASSISTANCE

1. To Agencies Managing Protected Areas

Although UNP has received material support from APE to bolster its law-enforcement activities and build infrastructure, much remains to be done. UNP's research wing, UIE, and MTWA's wildlife and protected areas training unit, the WTI, have so far received no APE support. WTI's new curriculum (now in the early stages of development) will need to take greater account of the role of PMACs and of multiple use in protected areas.

Existing protected areas need continued material support, and most especially those that may be upgraded to higher levels of protection, and to areas where multiple use is practiced. The introduction of multiple use to protected areas seems, inevitably, to place greater demands upon management. APE should respond favorably to such requests.

Recommendation: Continue to give material and technical assistance support to agencies responsible for managing or supporting the management of protected areas. Ways to accomplish this include:

- Continuing support to UNP, enabling it to further develop or rehabilitate infrastructure.

- Supporting the FD, enabling it to open new roads in some forest reserve, and maintain existing ones; helping to fund staff training; investigating the value (to local communities living beside forest reserves) of developing exotic species' plantations to reduce the inhabitants dependency on indigenous trees; and offering soft loans to encourage the private sector to take part in plantation programs.

- The WTC (soon to become WTI) needs to build its capacity as a technical training institution, through curriculum development (study tours and STTA); material support to complete the Centre's building program; supply of vehicles and other equipment; and training for teaching staff. APE should support this program if requested.

- UIE needs to refurbish its dilapidated buildings; re-equip its laboratories; acquire vehicles; re-establish its library; and find funds to take on selected technical level staff. APE should give support if requested.

- UWEC has submitted a bid to USAID for support of a three-year development program. But APE should first satisfy itself that the aims of the Centre agree with its own aims, and that they are of sufficiently high priority in comparison with other claims.

2. Subnational Assistance to Strengthen NGO-PVO- Private Sector- Government Partnerships

The decentralization of NEAP will require close working relationships between NEMA and the various stakeholders at district, subcounty, parish and community levels. Active community participation in NEAP implementation will require one or more collaborative mechanisms between NEMA and local NGOs and CBOs to institutionalize this partnership. There are already NGOs/CBOs ready and willing to participate in such a structure.

Approximately 70 NGOs in Kampala have formed the NARM Forum to work together on natural resource and environmental management issues. With appropriate technical assistance and committed leadership, this group should be able to advance the process of identifying these organizations, their capacity, etc. The GMU should open up the request for proposal process so that district/local NGO "chapters" have the opportunity to propose their own decentralized approaches to reaching out to their own communities.

There is probably a place for both a national body, and some district or multi-district bodies, depending on the degree of district readiness and interest. When it appears there are groups ready to do so, they should be encouraged to submit their own proposals, even if technical assistance is required in the development of the vision and strategy. This type of process will build group capacity. Once a district chapter reaches a certain stage of maturity, it could be tapped to assist another district in going through a similar process. The national NARM Forum might facilitate this process. The number of district chapters being "nurtured" should be kept small in the early stages.

At the national level, in addition to coordinating with the NEAP District Coordinating Unit, there is a need to document the NGOs/CBOs that work in natural resource and environmental management, including their experience, resources, community linkages, and so on. District chapters could assist with this activity. This type of data could be a part of the NEAP, and very useful in future monitoring and evaluation activities, and to the GMU in future project solicitation. The first priority is to develop groups' organizational management and leadership capacity so that members can work together to lay out a vision and set goals.

> **Recommendation:** Strengthen linkages between community-based groups, local NGOs, the RC system and NEMA so that natural resource management planning and decision making become a collaborative reality. Build the capacity of a national and/or district/multi-district body to bring interests together to facilitate the active participation of local communities in planning and decision making.
>
> Encourage designs that incorporate participatory methods such as training of small trainer teams who train others, involvement of women and youth in leadership roles, community-based microgrant projects, less visible NGO/CBO participation and the use of traditional social and cultural structures.

3. Strengthening UNP Subnational Capacity in Extension/Community Outreach/Education and Development

With the many changes in park areas, and the apparent impacts these are having on surrounding communities, there is a need for a UNP extension/community conservation development and education system. Rather than depending on international projects to accomplish this, USAID APE should assist in developing this capacity. Wardens and Rangers require training in participatory methods of extension in order to increase community awareness, commitment and leadership abilities in natural resource management and environmental protection. Although this may begin in community conservation committees and PMACs, it will necessarily involve the training of these and other groups, such as CBOs, to work with their respective communities. The APM should assist UNP and WTC to develop an in-service training program for existing field personnel, drawing on community development training resources in Uganda. NGOs and Makerere University should have some of the needed expertise, and some will obviously come from UNP and WTC.

Some of the training should involve simple but systematic methods of data collection for planning and monitoring purposes, for example — on local knowledge, community behaviors, attitudes, cultural traditions, organizational structures, areas of park-community conflict and recommended solutions, gender aggregated resource use, and so on. Some of these methods will need to emphasize a participatory approach, therefore some PRA training will be important. Training should also include natural resource conflict mediation techniques.

> **Recommendation:** Develop a UNP extension/community conservation development and education system. Involve UNP field personnel in determining what type of support and training are needed, and which NGOs/CBOs to involve in their particular park areas. Coordinate with the WTC to ensure that new trainees are also trained in community development.

G. APE ACTIVITY COORDINATION AND INFORMATION DISSEMINATION

The number of people and groups actually involved in the APE are almost too large to enumerate. Some of the actors include international NGOs, local NGOs, USAID, the Ugandan Government at all levels, community groups, individual citizens and potential players such as the private sector. To date the program has not had a formal mechanism to coordinate activities and disseminate information about the activities and developments of APE.

Many people have expressed the desire to be more informed about elements of APE that may directly or indirectly effect them. The fact is, even though the government (both US and Ugandan) speak highly of the merits of decentralization, information about APE is not easily disseminated to many of the key participants. NGOs are often not informed and the Kampala based government agencies still seem to guard information resulting in a lack of information at the District level.

The APE is a complicated effort that relies on all of the actors having equal knowledge. Many circumstances of the project have changed but few are aware of them. What was designed and presented in the original program document is often not the reality in the field. For example there have been several changes of program design. These include changes in the functioning of the GMU, the change of focus of the TR&D team and the larger role that the design envisaged for the private sector in the conservation of protected areas.

> **Recommendation:** APE should explore the possibilities of improving communications with program participants. The current NEAP newsletter might be examined as one way to get information to APE participants.

H. RESEARCH IN PROTECTED AREAS AND ASSOCIATED COMMUNITIES

The UNP Wardens, NEAP decentralization implementors, and other key stakeholders have not participated in the identification of research priorities for the four research organizations, namely; UIE, Makerere University Biological Field Station (MUBFS), the Institute of Tropical Forest Research (ITFR) and Makerere Institute of Social Research (MISR). These institutions are concentrating on ecological and biodiversity studies, land tenure policy and protected area community studies, and other academic pursuits that add to the knowledge base. Some of MISR's work has been shared with relevant projects about the resource base. It would be more useful if there was not only wider involvement of natural resource management practitioners in topic identification, but if their efforts were directed more towards solving immediate and long-term priority management problems faced by protected areas.

Several important topics arise as a result of the conflicts between parks managers and neighboring communities. The first topic concerns large wild animals that raid crops (e.g., elephant, buffalo, and bushpig), and vermin (e.g., monkeys, baboon, civet, and jackal) that cause similar damage. The second topic is related to the demands made by local communities for access to park resources such as food (fruits, mushrooms, honey, etc.), medicinal plants, vines, fibers, thatching materials, poles, bamboo, water, and minerals. Much more knowledge about effective conflict mediation strategies, and about local social cultural systems is needed.

The many high elevation, degraded areas within and outside of protected area boundaries (due to soil erosion, landslides, overgrazing and deforestation) might benefit from practical research on farmer-tested innovations.

Since local research funds for problems affecting protected areas have been limited, some of the UNP or GMU funding might be earmarked for solving management conflicts and improving public awareness of sustainable development.

> **Recommendation:** Some protected areas research should be initiated which addresses priority management problems faced by protected area managers, and likewise by subnational implementors of NEAP decentralization. Stakeholders should participate in identifying topics of highest priority.

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ANNEX A

PRINCIPAL CONTACTS

PRINCIPAL CONTACTS

Appropriate Technology Development Center/NGO, Kasese
J. B. Kavembo: Chairman, NARM Forum

CARE International in Uganda
Mr. Jaap Schoorl: Park Management Advisor, DTC Project

COVOL
Eliot Masters

Forest Department
Mr. F. Kigenyi: Deputy Commissioner

Game Department
Mr. M. Okua: Commissioner
Mr. B. Twinomugisha: Warden, UWEC, Entebbe
Mr. J. Lutalo: Warden and A/Principal, WTC, Katwe
Mr. A. Munabi: Deputy Principal, WTC, Katwe

GMU and Review Committee Members
N. Mukiibi: Training/M&E Officer
H. J. Tumwebaze-Kwarija
J. K. Ssewanyana
G. Kalikabyo
D. Ticehurst: GMU short-term consultant

ICRAF
D. Peden/Senior Scientist
Alinemary Kemerwa

Kabale District
A. Kaknru: Research Officer, NARO
Kate Kasiisi: RCV Secretary, women and member production committee
A. M. Rwasikwa: for District Fisheries Officer
A. Mushabe: Meteorology Department
P. M. Sabiiti: DEO
F. Tumwekwase: District Cooperative Officer
J. F. Rutemembema: Clerk to the Council
C. Tugumisirize: Prisons Commander
W. G. Rukara: Chairman, DLC
K. Teopist: Resettlement Department
J. M. Byomuhangi: GD
S. Nkundiye: Caretaker, Kabale Museum
L. J. B. Turyagyenda: Soil and Water Conservation
H. Barasa: Probation and Welfare Officer
S. Mutabazi: DEC
M. Bulafu: Deputy District Security Officer
V. Turyamwesiga: Supervisor of Works
J. Gumisiriza: District Economist-Planner
E. T. Sabiiti: Housing and Urban Development

M. Babi: Ministry of Works, Transport and Communications
B. Nkurunziza: RCV Councillor, production committee member
D. G. Keitanjoka: RCV committee member, Kashambya sub-county
S. E. Nabonghor: for DES

Kasese Town/District
Central Government Representative
M. Egar: Assistant DES
M. E. Ngene: Assistant DES
B. B. Bwambale: Chairman, Kasese District RC
B. Baluku-Nyondo: Vice-chairman, Kasese District RC
J. Bwambale: General Secretary RCV, Member of PMAC and District Health and Environmental Committee
K. A. Musingnzi: DEO
M. Rogers: DE
M. A. Nassozi: District Women in Development Officer
P. Onzima: Forest Officer
C. Nyamutale: DAO
M. J. Bacuku: NGO Representative/Red Cross
T. Walinah: NGO Representative/Chairperson, District Women Council
E. Kang: PCV

Lake Mburo National Park (Mbarara District)
J. Serugo: Warden-in-charge
M. Turyaho: Community Conservation Warden
E. Asiimwe: Councillor
P. Kaaraiho: PMAC Chairman
A. Mugyenyi: Treasurer Local Conservation Committee
Secretary Local Conservation Committee
RCIII Chairman
Elder/former Chairman of RCIII;

Makerere University Biological Field Station
Dr. R. Malenky

Makerere University Institute of Environment and Natural Resources
Dr. E. Tukahirwa: Director
Prof. D. Pomeroy: Deputy Director

Makerere University Institute for Social Research
M.A. Marquardt: Senior Researcher, Land Access Research and Policy Development Project
P.W. Madaya: Research Secretary Research

Ministry of Gender and Community Development
Ms. Brenda Kifuko: Statistician/Planning Department

Ministry of Local Government
M. Odwedo

Ministry of Tourism, Wildlife and Antiquities
Mr. J. G. Else: EC Institutional Development Advisor
Mr. D. Obura-Ogwang

Ministry of Water, Energy, Minerals and Environment Protection
I. Arebahona

Mount Rwenzori Conservation Through Development Project
Mr. D. McCall: WWF Chief Technical Adviser
Ms. K. M. Mzirambi: Gender Specialist

National Environmental Action Program
Mr. F. Turyatunga: Acting Coordinator
Dr. D. Ogaram
Mr. R. Wabunoha

NGO/Natural Resources Management Project, World Learning, Inc.
S. Muballa: Project Manager
W. Salmond: Country Director

NRMA
D. Moore: USAID Project Officer

Royal Danish Embassy
F. West: Counsellor/Development

Rubona Sub-county
Mr. P. T. Kithunzi: Secretary of Parish Committee which joins all Ridge committees
Mr. W. Kahirwa: Chairman of Ridge
Seven other male PRA participants

Rwenzori Mountaineering Services
Mr. P. Mugisa: Tourism Secretary/Orientation Clerk

TR&D Technical Assistance Team
Jim Seyler
Peter Trenchard
Ray Victurine

Uganda National Parks
Dr. E. L. Edroma: Director
Mr. Otekat: Deputy Director
Mr. A. L. Robinson: Assistant Parks Manager
Mr. D. A. Turyagyenda: Chief Accountant
Mr. A. Masereka: A/Warden-in-charge, Rwenzori Mountains NP
Mr. A. Mugisha: Senior Warden, Kibale NP
Mr. I. Achoka: Warden-in-charge, Bwindi Impenetrable NP
Internal Auditor
Mr. A. Latif: Chief Warden, Queen Elizabeth NP
Mr. H. Busulwa: A/Chief Research Officer, UIE

Wildlife Clubs of Uganda
Dr. V. Kajubiri-Froelich: General Secretary

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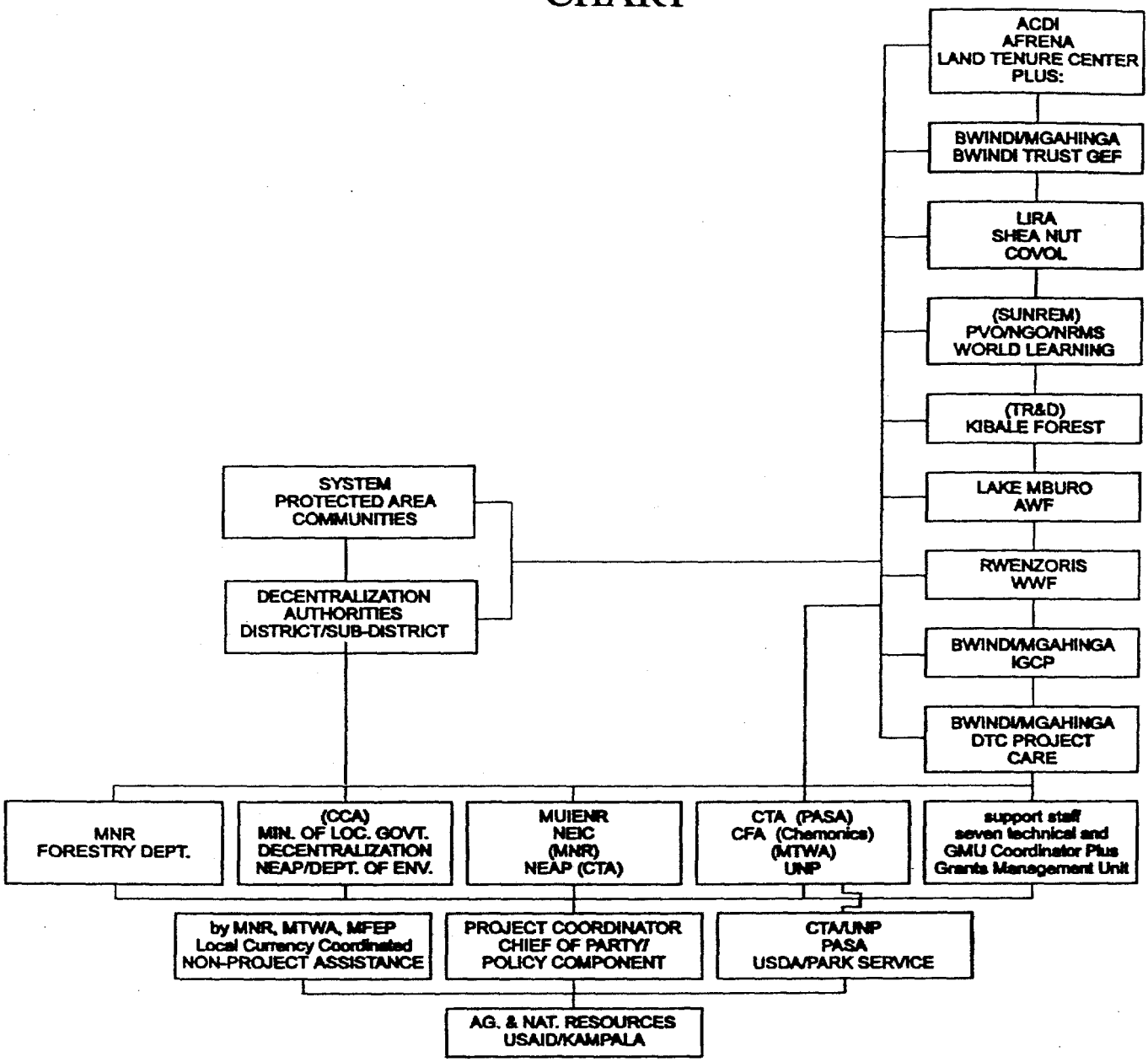
ANNEX B

ORGANIZATIONAL CHART OF APE

APE ORGANIZATIONAL CHART



ACTION PROGRAM FOR THE ENVIRONMENT

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ANNEX C

EVALUATION TEAM SCOPE OF WORK AND LIST OF TEAM MEMBERS

ACTION PROGRAM FOR THE ENVIRONMENT
MID-TERM EVALUATION
SCOPE OF WORK

1. General Information

Program Title:	Action Program for the Environment
Amount Authorized:	$30,000,000
Project Number:	617-0124 (PA), 617-0123 (NPA)
Host Country Agencies:	Ministry of Natural Resources Ministry of Tourism, Wildlife and Antiquities Ministry of Finance and Economic Planning
PACD:	August 21, 1997
Project Purpose:	To assist Uganda's public and private sector to more effectively and sustainably manage its natural resource base in selected areas.

2. Purpose of the Evaluation

An evaluation of APE is being conducted for the following reasons:

- To determine if the development and conservation constraints that the program was initially designed to address are still germane to program strategies.
- To determine if the principal technical, policy, and institutional constraints are being addressed by APE's project components.
- To determine if APE is achieving satisfactory progress toward the stated goal, purpose and outputs.
- To determine if APE is having development impact as defined by USAID/Uganda's Strategic Objective #2.
- To determine if the assumptions contained in the economic benefit-cost analysis in the PAAD/PP still appear to be valid, and to determine if the approach to the analysis — which states that quantification at the time of PAAD/PP preparation were impossible — remains the most defensible.

The key management issues to be addressed include:

- The USAID/Uganda role in relation to APE implementation;

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- The roles and relationships of Institutional Contractors, PVO/NGOs, Universities, and PASA arrangements under one program working toward the same program objectives, purpose and goal;

- The ability of one program to address issues related to several ministries and institutions.

The evaluation findings and recommendations will be used by the Mission, the GOU, the Institutional Contractor and the PVO/NGOs as well as other related organizations to improve project implementation performance at all levels, and as a basis for the Mission's long-term planning in the national resource and environmental sectors.

3. Scope of Work

The contractor will use the information presented in this document, materials provided, and on-site interviews with project implementors and beneficiaries to answer the eleven evaluation questions listed below. The questions are listed in ascending order of importance. In addition to these 11 questions, Attachment 1 contains an illustrative list of more specific questions which the contractor can use to generate additional information. The contractor will use, to the greatest extent possible, quantitative information when available in relation to the 11 focus questions.

a. What have been the chief constraints, if any, to the successful implementation of the APE program (technical, administrative, managerial, political, economic, etc.)?

b. What have been the chief opportunities, if any, that have led to a change or modification of APE implementation?

c. What has been the impact of APE training activities?

d. How effective has the NPA been in relation to overall project implementation? Are there any outstanding issues which NPA would be the most appropriate means of addressing?

e. Is the design of APE effective in terms of: flexibility and responsiveness to issues raised in letters a and b; coordination and communications among all concerned parties; measuring impact; addressing the correct issues; providing resources necessary to accomplish the stated objectives; promoting a participatory implementation approach; and Mission management? If not, how should the project be changed?

f. How well have implementation outputs/products to date contributed to APE objectives? Should outputs be revised to reflect changing circumstances?

g. Has the quality and quantity of technical assistance provided to Uganda by institutional contractors, PVO/NGOs, and other institutions under APE been appropriate and satisfactory?

h. Is the current level of USAID/Uganda Mission management effective and appropriate? If not, what changes are recommended?

i. How effective has APE been in assisting the Mission to attain its goals as stated in the CPSP? How could it be made more effective?

j. Is APE accomplishing its objectives, purpose and goal? How can it do so more effectively?

k. What is the likely impact of APE on Uganda's economy relative to the costs?

4. Methods and Procedures

The contractor shall review APE and USAID/Uganda files to familiarize her/himself with APE Project activities and planned outputs of Annual Workplans as well as with Mission's Strategic Objective #2 program outputs and progress indicators. The evaluation team should read the following documents for background information: USAID/Uganda Country Program Strategy Plan; APE Project Paper, August 1991; APE Program (0123) and Project (0124) Agreements; APE Institutional contract and amendments; Annual Workplans, Semi-annual Reports and STTA reports by contractor/recipient; and NEAP Annual Workplans and Reports.

Based upon the preliminary research, the contractor shall develop a Workplan that includes: (1) a proposed schedule; (2) how the contractor proposes to address the key evaluation issues; and, (3) how they plan to complete the scope of work. This Workplan will be submitted to the USAID Project Coordinator no later than one week after arrival in Uganda.

The evaluation team is expected to go beyond the simple examination of inputs, outputs and the Project Paper to explore broader issues including the utility of the APE project to continue to address USAID/Uganda's natural resource management/biodiversity objectives over the next three to six years as well as the comparability of similarly designed activities both within and outside of the region.

Methodologies and outputs of the evaluation will follow those prescribed in USAID Handbook 3, Chapter 3, and its supplement, USAID Program Design and Evaluation Methodology Report No. 7, "USAID Evaluation Handbook." In addition to a Workplan as described above, the contractor shall also provide a mid-term evaluation briefing to the Mission. Upon entering Uganda the contract team is to visit the Mission for a briefing and planning session. Prior to leaving Uganda, the team is to hold a final debriefing with the Mission.

5. Evaluation Team Composition

A four person evaluation team will include the following:

a. **Team Leader** — The Team Leader will be responsible for compiling the final report. During the evaluation this person will also be responsible for assessing the roles of the key implementing institutions, their working relationship, and making recommendations on how this can be expanded or improved upon. The Team Leader will also analyze the key implementation issues. Finally, the Team Leader will assess the impact of APE activities in relation to stated goal/objectives, and how this compliments the overall Mission program. The Team Leader will have the following qualifications:

i. Prior USAID project design and evaluation experience;

ii. Preferable to have prior USAID project management experience;

iii. Prior experience in assessing capabilities and operations of host country institutions;

iv. Strong analytical and communication skills, with a demonstrated ability to quickly prepare clear, concise, analytical reports.

b. **Community Development Specialist** — The Community Development Specialist will work in three areas: 1) the roles and relations of the PVO/NGOs supported under APE to the target communities (in relation to project design, implementation and monitoring project activities), 2) APE support to the decentralization of environmental management and associated district level planning/coordination, and 3) the impact of policy development (NPA and PA) regarding local community participation in the management of protected areas. Throughout the assessment consideration will be given to direct and indirect benefits communities obtain from the natural resource base in question as a result of APE activities. The Community Development Specialist will have the following qualifications:

i. Prior experience in assessing community structures and needs;

ii. Prior long-term experience (minimum one year) working with PVO/NGOs in the developing world;

iii. Prior experience with national decentralization programs desirable;

iv. Prior experience with natural resource issues desirable.

c. **Natural Resource/Environmental Policy Specialist** — The Policy Specialist will focus on assessing APE (NPA and PA) contributions to the development of the Uganda National Environmental Action Plan (NEAP), the decentralization of environmental management, and policy changes in relation to Uganda National Parks, and the Forest Department (protected areas in general). Part of this assessment will examine the institutional framework through which policy development and change are effected and make recommendations for improvements. The Natural Resource/Environmental Policy Specialist will have the following qualifications:

i. Prior experience with policy formulation;

ii. Prior experience in assessing policy impact;

iii. Prior experience in analyzing institutions responsible for policy;

iv. Prior experience with economic issues associated with policy development desirable.

d. **Protected Area Management Specialist** — The Protected Area Management Specialist will focus on APE support to Uganda National Parks and the Forest Department through training, the PVO/NGO programs, material support, and technical assistance. This person will coordinate with the Community Development Specialist on issues of common concern which include the Park Management Advisory Committees and the participatory

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management plans for protected areas. This person will assess APE promotion of the utilization of protected areas by communities, and issues related to sustainability. The Protected Area Management Specialist will have the following qualifications:

i. Prior experience in protected area management in the developing world;

ii. Prior experience in management plan development;

iii. Prior experience with financial, administrative and personnel management associated with protected areas in the developing world;

iv. Experience working with international conservation organizations associated with protected area management agencies.

e. **Natural Resources Development Specialist**

The Natural Resource Development Specialist will focus on APE support to Uganda National Parks and the Forest Department through training, the PVO/NGO programs, material support, and technical assistance. He/she will collaborate closely with the Protected Areas Specialist and Community Development Specialist and will assess APE promotion of the utilization of protected areas by communities, and issues related to sustainability.

6. Reporting Requirements

The format of the evaluation will follow USAID guidelines established in the supplement of Chapter 12 of USAID Handbook 3 and will include an executive summary, a table of contents, the body of the report, and appropriate appendices (e.g., the Evaluation Scope of Work, List of Interviews, Bibliography).

The report will be written jointly by the evaluation team under the coordination of the Team Leader who will be responsible for the ultimate content of the report. The Team Leader will be responsible for debriefing USAID and for the submission of the final evaluation document.

A draft of the evaluation report will be submitted to USAID five days prior to the departure of the team leader. Following the submission of comments by USAID to the team leader, within two days of receipt of the report, the team leader will present a final draft report prior to departure from Uganda, and a finished report within two weeks after departure. The Contractor will submit ten copies of the final report to USAID/Uganda.

The evaluation team should begin the evaluation on or about February 15, 1995 for a period not exceeding 28 consecutive days. A six day work is authorized.

ATTACHMENT 1
ILLUSTRATIVE ISSUES AND QUESTIONS TO BE ADDRESSED

a. **General APE Design and Implementation**

- To what degree has implementation been participatory?
- Was the Project Paper realistic or excessively ambitious?
- How have design issues affected the overall impact of the Project?
- What have been APE's most significant accomplishments?
- Assessment of the Project's strategy in developing and promoting the critical linkage between development and conservation activities that lead to improved management and conservation of the protected areas as well as an improvement in the local living standards.
- Has the GOU allocated sufficient financial resources to assure implementation?
- How has the design of GOU support to APE affected program implementation?
- Has the project developed a good working relationship with the Ministry of Natural Resources (NEAP and DEP); Ministry of Tourism, Wildlife and Antiquities; Ministry of Finance and Economic Planning; subgrantees and other executing/collaborating agencies?
- Is the USAID staff adequate for project oversight?
- To what degree has the Mission been involved in project planning and management?
- What administrative support issues need to be addressed?
- Have the contractor/recipient annual workplans been adequate guides for implementing program activities?
- Have they been implemented as scheduled and within approved budgets?

b. **Grants Management Unit (GMU)**

- Assessment of the viability of the approaches by GMU and applied by the subgrantees in the design and implementation of integrated conservation and development projects (ICDPs) that includes: an analysis and monitoring of destructive pressures on the protected area system, the design of economic alternatives to these destructive practices and monitoring biological and socio-economic impact of project activities.
- Does the Monitoring and Evaluation program developed through the GMU permit the PVO/NGOs to effectively measure impact? Cross check whether indicators developed are measurable so far especially as regards socio-economic impact.

- Is TR&D effectively and efficiently managing the process of document proposal submission, review and approval as well as following up project monitoring?

- Assess the effectiveness of the contractor as a grants manager.

- How well does TR&D ensure adherence to USAID policies, procedures and regulations in the administration of grants?

- Do the GMU criteria adequately respond to the outputs expected through these grants?

- Has the GMU review committee been effective in making recommendations and moving proposals through the process?

- Should the GMU continue to operate independently or be more directly linked with a particular institution.

- Assess the quality of short-term technical assistance (STTA) provided by the GMU to grantees.

- What has been the impact of the team building technical assistance provided by the GMU through workshops, etc? Indicate a measure of "Percentage Adoption" of recommendations implemented after the workshops.

- What have been the merits and drawbacks of working with pre-determined sites and operators based on USAID's and the operators' previous experience working in these protected areas?

- Are appropriate levels of project staff and financial resources being dedicated for each grant?

- How have women and other disadvantaged groups been included in APE and PVO/NGO project design? Is gender-specific data collected and used for project planning? How can the project improve its effectiveness in addressing gender-related issues?

- Is the Monitoring and Evaluation functioning as envisioned in the Project Paper and generating feed-back information for use by the GMU, APE and GOU institutions?

c. **NEAP/Department of Environment**

- Assessment of the extent to which the NEAP process was participatory and representative.

- Assessment of the effectiveness of the long-term technical assistance (LTTA) provided under APE to NEAP (Chief Technical Advisor and Community Conservation Advisor).

- Assessment of the STTA provided to NEAP. Has the STTA addressed their needs?

- Assessment of the quality and quantity of the work performed, including data/information collection, assessments and analyses conducted, recommendations produced, and policy, legal and institutional reforms proposed.

- Assessment of NEAP and NEIC's information network that has been established among organizations working in environmental management. Assessment of the effectiveness of the feedback mechanism; assessment of NEIC's data processing and dissemination ability to end users.

- Assessment of the viability and pertinence of the decentralization guidelines, NEAP policies in the context of APE goals and in increasing community involvement in conservation.

- Do the APE community conservation activities have the potential to provide more effective services to the communities?

- Have the decentralization guidelines in particular, adequately addressed gender issues in natural resource management at various levels of planning? How can it be improved?

- Does the design of the District-level environmental management M&E program adequately address the assessment of program impact?

d. **Uganda National Parks**

- Assessment of the effectiveness of the LTTA provided under APE (Chief Financial Advisor and Assistant Parks Manager).

- Assessment of the STTA provided to Uganda National Parks (UNP). Has the STTA addressed their needs?

- Has UNP developed long-range plans for the improved management of protected areas and providing policy recommendations to the GOU regarding the status and direction of biodiversity conservation activities?

- Has APE affected UNP's ability to influence decision making on natural resources and biodiversity matters?

- Is there a management information system to ensure coordination among the protected area projects? If there is one, how can it be approved?

- Assessment of the effectiveness and sustainability of financial and reporting procedures developed under APE for UNP's accounting system.

- Assessment of the effectiveness and sustainability of administrative monitoring systems developed under APE for UNP.

e. **Non-project Assistance**

- Assessment of the impact of APE conditionalities on policy, legal and institutional reform. Did they have the intended effect?

f. **Training and Professional Development**

- Evaluation of the effectiveness of APE's training activities in terms of impact, increasing skill levels, and increasing awareness of natural resources problems, etc.

- Has APE's training influenced the execution of technical and administrative tasks within the Ministry of Natural Resources, the Ministry of Tourism and Wildlife Antiquities and the Ministry of Finance and Economic Planning?

SCHEDULE

DATES	ACTIVITIES
April 18, 1995	Arrival of Butler, Karch and Matt
April 19-23	Intro to Project, interviews with key players and development of workplan
April 21	Team joined by T. Kangwagye
April 25	Arrival of J. Clarke
April 24-30	Kampala interviews (see list of principal contacts)
May 1-4	Field Trip (Kasese, Kabale, Mbarara, Lake Mburo)
May 5-9	Report Drafting
May 9	Departure of Lorna Butler
May 10	Submission of Draft Report
May 12	Meeting to Discuss Draft
May 13-16	Revision of Draft
May 16	Departure of Clarke, Karch, Matt
June 1995	Submission of Final Report

Team Members included: **Lisa M. Matt, Team Leader/Institutions Specialist**
Ed Karch, Natural Resource/Environmental Policy Specialist
Lorna M. Butler, Community Development Specialist
J.E. Clarke, Protected Areas Specialist
Tom Kangwagye, Natural Resources Development Specialist

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ANNEX D

SHORT-TERM TECHNICAL ASSISTANCE

SHORT-TERM TECHNICAL ASSISTANCE

TYPE OF TA	WORK DONE	PROVIDED BY	CONSULTANTS	# DAYS/ WEEKS	REPORT PRODUCED	TRAINING DONE
NEAP PROCESS	Editing and producing issues and topic papers.	MUIENR	Watwa Bwobi Opere Ekiwere C. Okello-Oleng Frank Turyatunga	12 days 15 days 12 days 9 days	No report, issues and topic papers produced.	
	The National Environment Management Policy Framework.	Chemonics TR&D MUIENR MUIENR	Richard Pardo John Lichte Eldad Tukahirwa H.J. Tumwebaze	24 days 36 days 22 days 12 days	Draft policy framework produced (Tukahirwa and Pardo responsible for policy, Lichte and Tumwebaze on macro elements of policy. (Draft external consultants reports are also available).	One half-day workshop given by Pardo and Lichte.
	Framework for Environmental Impact Assessment for Uganda.	TR&D	Lane Krahl	36 days	"A Framework for Environmental Impact Assessment for Uganda" produced.	Two half-day workshops given.
	Uganda Guidelines for the Development of Environmental Standards.	TR&D	Ed McGowan	40 days	"Uganda Guidelines for the Development of Environmental Standards" produced.	One half-day workshop given.
	NEAP National Level Gender Workshop.	TR&D MUIENR	Sandra Russo Deborah Kasente	24 days 5 days	"Gender Issues in Environmental and Natural Resources Management" produced.	Gender training workshop for NEAP Secretariat, APE project staff and USAID (30+ people).
	The Environmental Investment Programme.	TR&D	Jan Laarman	24 days	"Investments in Support of Uganda's National Environmental Action Program (NEAP)" produced. Also helped draft investment program.	One half-day workshop given.
	NEAP internal monitoring and evaluation system.	TR&D	Eric Brusberg	36 days	"Monitoring and Evaluation System for the National Environmental Action Plan" produced.	One half-day workshop given.
	Tax incentives for improved land stewardship.	TR&D	Rex Ahene	36 days	"Property Tax Modifications to Promote Incentives for Natural Resource Management and Land Stewardship" produced.	One half-day workshop given.

COMMUNITY CONSERVATION Decentralization	District information (M&E) systems.	TR&D	Eric Brusberg	36 days	"Design and Implementation of a District-based Environmental Management Information System" report produced.	One half-day workshop given.
	District bylaws.	TR&D TR&D	Laura Hitchcock Nightingale Rukuba-Ngaiza	36 days 36 days	"Environmental Bylaw Development in Uganda: Needs Assessment and Guidelines" report produced.	One half-day national workshop given. Two district workshops given.
	District gender guidelines	TR&D	Sandra Russo	30 days	"Integration of Gender into Environmental Planning at the District Level in Uganda" report produced.	One half-day national workshop given. Two district workshops given.
UGANDA NATIONAL PARKS - Park management	Concessions guidelines for UNP.	TR&D USAID/PASA	David Lovatt-Smith Jeffrey Cobb	30 days 30 days	"Report on Concession Opportunities in the National Parks of Uganda" produced.	
	Resettlement (done at the request of USAID).	TR&D	David Waller	15 days	"Compensation Payments to People Relocated from Mgahinga National Park" report produced.	
	Interim Parks Management Advisor at UNP.	TR&D	Ludovica Iskjaer	7 months	"Management Support for Uganda National Parks" report produced.	
	In-park and out-park monitoring and evaluation.	TR&D TR&D	Eric Brusberg Ludovica Iskjaer	24 days	"Monitoring Conservation and Development of Ugandan Protected Areas" draft report produced.	2 day training workshop for senior UNP staff and GMU NGOs. Brusberg consultancy in conjunction with GMU M&E work below.
	UNP EIA guidelines.	TR&D	Lane Krahl	36 days	"Uganda National Parks: Environmental Impact Assessment Policies and Guidelines" report produced. Also, "Report of Findings: Environmental Impact Assessment Specialist Technical Report."	One field EIA training session given plus one half-day national level workshop.

UGANDA NATIONAL PARKS - Financial systems	Financial Management Reporting/Training workshop for UNP.	Chemonics	Tom Downing	18 days		Three day training workshop given for UNP senior staff.
	UNP revenue sources.	Chemonics	Anthony Ziegler	20 days	"Uganda National Parks Report and Workshop on Sources of Revenue" produced.	Three day training workshop for senior UNP staff.
	UNP capital assets issues/sustainability.	Chemonics	Tom Downing	20 days	"Donations of Capital Assets to the Uganda National Parks: A Question of Sustainability" report produced.	
	Financial management procedures manual.	Chemonics	Robert Rabatsky	24 days	"Uganda National Parks: Draft Financial Management Procedures Manual" produced.	
GRANTS MANAGEMENT UNIT	GMU M&E	TR&D	Eric Brusberg	24 days	"Consultancy Report: Monitoring and Evaluation System for the APE Grants Management Unit" produced.	Two day workshop per the above (senior UNP staff and GMU NGOs).
	Economics and cost-benefit analysis of environmental projects.	TR&D	Jan Laarman	14 days	"Training Plan for Financial and Economic Analysis of Integrated Conservation and Development Projects in Uganda" and training program produced.	Two day training workshops given for GMU NGOs.
	GMU M&E	GMU	Daniel Ticehurst		"Determining People Level Impacts: Monitoring and Evaluation System Guidelines for Grant Management Unit Funded Projects" produced in draft.	One half-day workshop given.
MUIENR	Buffer zone land use studies.	TR&D	Jutta Breyer	48 days	Quarterly status reports produced plus mid-term report, awaiting final report.	Formal training provided to 4 MUIENR grad students in land use appraisal/GIS/RS.
	MUIENR institutional analysis.	TR&D	Derrick Thom	36 days	"Makerere University Institute of Environment and Natural Resources: Inventory and Prospects" report produced.	One half-day workshop given.

ANNEX E

TRAINING

TRAINING UNDER APE

COURSE ATTENDED US$	GENDER	AMOUNT
1. Population and Environment in Africa Name: Joseph Atiku Position: Head of Population Secretariat Dates: 9/14 - 19, 1992 Location: Botswana	1M	2,028
2. Forest Administration and Management Seminar Name: Jane Bigirwenkya Position: Forest Officer Name: Fredrick Kigenyi Position: Assistant Commissioner, FD Dates: 10/13 - 16, 1992	1M, 1F	14,265
3. Legal Aspects of Environmental Resource Management in Developing Countries Name: Elizabeth Nahamya Position: Resource Person - Environmental Policy, Legislation and Institutional Framework under NEAP Dates: 11/29 - 12/12 1992 Location: Rome, Italy	1F	6,186
4. Environmental Management in Developing Countries Name: Racheal Musoke Position: Chairperson - Task Force on Terrestrial Biodiversity under NEAP Dates: 3/1 - 4/2 1993	1F	7,356

5. Agricultural and Rural Project Management Name: Susan Mubbala Position: Project Coordinator, SUNREM under World Learning, Inc. Dates: 4/26 - 7/16 1993 Location: Bradford University, UK	1F	15,617
6. Land Management Workshop Name: Joy Margaret Tukahirwa Position: Senior Lecturer, Dept of Geography, Makerere University Dates: 6/20 - 26 1994 Location: Alberta, Canada	1F	4,827
7. Financial Management in Public Sector Seminar Name: David Turyagyenda Position: Chief Accountant, UNP Date: 10/10 - 11/11 1994	1M	6,625
8. Environmental Law Workshop Name: Jane Anywar Position: Attorney, Ministry of Justice Date: 7/26 - 30 1993 Location: Arusha, Tanzania	1F	768
9. Accounting and Finance for Non-financial Managers Name: George William Nyeko Position: Assistant Accountant, MNR Date: 1/31 - 2/29 1994 Location: Arusha, Tanzania	1M	3,027

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10. Tourism Development Program Name: David Abura Position: Aid Coordinator, MTWA Location: Washington DC, USA	1M	10,100
11. Financial Management Program Name: George William Nyeko Position: Assistant Accountant, MNR Dates: 6/6 - 7/8 1994 Location: Arusha, Tanzania	1M	5,821
12. Internal Auditor's Course Name: Nathan Cooper Oriada Position: Deputy Chief Accountant, UNP Dates: 8/15 - 9/23 1994 Location: Windhoek, Namibia	1M	4,396
13. Public Sector Financial Management Name: F.X. Yiga Salongo Position: Senior Principal Accounts Assistant Dates: 10/18 - 11/19 1993 Location: Mbabane, Swaziland	1M	6,562
14. Advanced Accountancy Program Name: Yonasani Mwebaze Position: Accounts Warden, Murchison Falls NP Name: Albert Okello Position: Cashier, UNP Dates: 11/14 - 12/9 1994	2M	11,140

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15. National Parks Study Tour Name: David Turyagenda Position: Chief Accountant, UNP Name: Nathan Cooper Oriada Position: Deputy Chief Accountant, UNP Name: Stephen Kalenzi Apuuli Position: Accountant, UNP Name: Samson Werikhe Position: Public Relations Officer Dates: 2/13 - 3/ 1 1995	4M	12,045
16. Natural Resources and Environmental Policy in Africa Workshop Name: Martin Odwedo Position: Environmental Officer Dates: 1/16 - 1/25 1994 Location: Banjul, Gambia.	1M	5,060
17. Tenure and Management of Natural Resources in Sub-Saharan Africa Name: Dr Abwoli Banana Position: Lead Researcher, Common Property Study Name: Christopher Kizito Position: Lead Researcher, Wetlands Common Property Study Name: Magdalene Nyamahoro Position: Junior Researcher, Buffer Zone Study Dates: 9/19 - 10/17 Location: University of Wisconsin, USA	2M, 1F	*

* All three researchers worked in the Makerere Institute of Social Research, and the cost of training was indirect through the Land Tenure Center buy-in.

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ANNEX F

BACKGROUND ON PROTECTED AREAS

UGANDA'S PROTECTED AREA SYSTEM
May 1995

1. Institutional Background of the Protected Areas System

a. The Managing Agencies

Uganda's protected area system is currently in a state of flux. Some changes result directly from the Uganda/USAID Action Program for the Environment (APE). Three managing agencies are presently involved: Uganda National Parks (UNP), under the Ministry of Tourism, Wildlife[1] and Antiquities (MTWA); The Game Department (GD), under the MTWA; and the Forest Department (FD), under the Ministry of Natural Resources (MNR).

UNP is a parastatal body, controlled by a Board of Trustees (BoT). It retains revenue earned by the national parks, but receives a substantial allocation from the central government. GD and FD are government departments, directly responsible to their parent ministries, from whom they receive their annual financial allocations, and whose revenues go straight to the government treasury.

The FD began life in 1898, as a section of the (then) Department of Agricultural Science. Wildlife management as a formal government activity began in 1925, when the GD was founded under The Game Preservation and Control Act. In its earliest days, the department is reported to have been chiefly concerned with elephant control; but it soon broadened its horizons, established game reserves and became more recognizably a conservation agency.

UNP was founded in 1952 under The National Parks Act. Some game reserves, which had tourism potential (such as Murchison Falls) were gazetted national parks under the new Act.

In July 1996, UNP and GD are due to merge into a single entity — Uganda Wildlife Authority (UWA) — which will have parastatal status, be subject to the authority of a new BoT and have the MTWA as its parent ministry (Anon., 1994). The process has already begun with the aim of achieving a smooth transition. The GD's responsibilities for protected areas will shortly be transferred to UNP control as part of the three stage procedure leading to the new UWA.

b. Financial Resources

UNP currently has three major sources of recurrent income (Ziegler, 1994). These, together with estimated figures for the 1994/95 financial year are:

- Government's allocation — USh300 million
- APE's grant — USh125 million
- Revenue earned — USh866 million

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[1] The term "wildlife" in this report, embraces all wild organisms — plant and animal, invertebrate and vertebrate — and should not be interpreted as meaning only large wild animals. Where only animals (or large animals, game animals, mammals, birds, etc.) are intended, they are referred to accordingly.

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Revenue earned, which accounts for 67 percent of total recurrent income, is highly dependent upon tourism; and the major components of tourism that contribute to revenue are:

- Park entrance fees — 33 percent;
- Primate viewing (a source of income of relatively recent origin) — 29 percent;
- Concession fees — 11 percent;
- Launch hire — 10 percent.

UNP's dependence upon revenue earned through tourism will become increasingly important should USAID support be withdrawn or if the annual government allocation is reduced.

Revenue generated from tourism is not spread evenly across the park system. Three parks in particular — Queen Elizabeth, Murchison Falls and Bwindi Impenetrable — account for almost 80 percent of total tourism revenue, and they are the only parks where tourism revenue exceeds operational expenditure.

UNP and the new UWA will face four major challenges:

- How to maximize revenue from existing sources.
- How to enhance the revenue generating potential of parks that currently operate at a financial deficit.
- Finding ways of offering a wider range of revenue-earning activities to a broader range of visitors.
- How to diversify revenue sources so as to lower dependence upon tourism — an activity that can be highly susceptible to influences that lie beyond UWA's ability to control.

These challenges will have to be met in the face of several constraints: poor park infrastructure; poor staff housing and low pay (which adversely affect recruitment and staff morale); inadequate manpower and technical capacity; and lack of business experience — to name but a few. Considerable capital expenditure must be made to address these issues; and training programs should be accelerated to strengthen UWA's operational capacity. Coupled with these constraints is the merger of UNP and GD, which may force the new agency's financial resources to be spread over a broader mandate.

2. Categories of Protected Area

There are six categories of protected area in Uganda, presently managed by the three agencies listed above:

- National parks — managed by UNP
- Game reserves — managed by the GD
- Game sanctuaries — managed by the GD
- Controlled hunting areas — managed by the GD
- Forest reserves — managed by the FD.

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Brief descriptions of each category follow.

National Parks. Areas in which non-consumptive tourism is the chief use. Because of this, infrastructure relevant to both tourism and management has been developed in several parks, especially the older ones. Consumptive uses of wildlife were formerly banned, and settlement is not permitted in any park. In recent years, policy changes have been made that permit specified multiple uses in selected national parks.

Game Reserves. Originally managed as multiple use areas (although not for non-consumptive forms of tourism) up until 1979, when hunting was banned. Little infrastructure was needed to support safari hunting, and none was developed. Settlement is not permitted.

Sanctuaries. Established to protect specific species from hunting. Settlement is not permitted. However, GD reports that some sanctuaries (e.g., Entebbe) are now so heavily settled that they can no longer fulfil their intended role.

Controlled Hunting Areas. Set aside originally as hunting areas but in the overt knowledge that they might be short-lived as human populations increase. Settlement is permitted, and some controlled hunting areas are now so heavily settled that few game animals survive.

Forest Reserves. Two categories — protective reserves and forest parks. The former serve a catchment protection function although logging may occur in peripheral areas. Forest parks came into being after the new forestry policy of 1988, when the preservation of biodiversity became paramount. The objectives of forest parks are threefold: biodiversity preservation, local community participation and ecotourism. Some extant national parks (e.g., Mount Elgon and Kibale were forest parks between 1988 and their inclusion in the national park system. Superimposed upon the forest reserve system are strict nature protection areas and sites of special scientific interest. The latter include areas that demonstrate the effects of different management practices — good and bad.

A list of protected areas managed by UNP and the GD appears in Table 1 (attached at the end of this Annex), which includes their sizes and status, and where this has altered since 1990. It would not be practical to include protected forest areas in the table, since there are about 700 of them. They vary in size from 3 ha (many are as small as this) to 1,029 km^2 (Zulia); and their total coverage is 14,664 km^2. However, 60 percent of the protected forest areas' system is contained in only 30 areas.

c. Changes in Status

Shifts in status of protected areas have occurred in recent years, some in response to APE. More are likely to follow in the near future, as a consequence of the restructuring program leading to the new UWA.

A conditionality of APE funding was that the government was required to make Bwindi and Rwenzori Forest Reserves into national parks; and elevate the protection status of Kibale, Semiliki and Mount Elgon Forest Reserves (USAID, 1991). All five areas are now national parks. More may follow.

A serious contender for national park status is Ajai Game Reserve, which once harbored a population of white rhino although there are none today. Thought is being given to declaring the area a national park, putting it under intensive management and reintroducing the species.

Some of the ten existing game reserves serve as buffer zones to national parks. Others enjoy conservation status similar to that of national parks, although managed less intensively. Some of the latter may eventually become national parks and be brought into the tourism circuit. If so, they will need infrastructure — roads, lodges, camp sites, etc., according to what may be appropriate.

The Team learned that game reserves which do not become national parks are likely to be given a more appropriate title, such as "wildlife reserve," and serve as safari hunting areas, buffer zones to national parks or both.

According to GD, about half the existing controlled hunting areas are viable protected areas, worth preserving in the immediate future. The rest will be scrutinized by a Monitoring Unit (to be set up under UWA), which will identify those worth retaining. The Unit should also prescribe specific uses for each area that it recommends for retention. Whether or not the title 'controlled hunting area' will endure is uncertain.

The Monitoring Unit will also assess the game sanctuaries, and decide whether any should retain their species-specific roles, be incorporated into some other category of protected area or be abandoned.

A view expressed by officials was that the future UWA would only manage protected areas that can realistically be managed.

GAME SANCTUARIES

Mount Kei	452	
Otze Forest	204	
Entebbe	51	
Jinja	33	
Kazinga	22	
Bwindi	560	
Malawa	8	
Dufile	10	

CONTROLLED HUNTING AREAS

Semuliki	504	
Katonga	2,269	
North Karamoja	10,793	
South Karamoja	18,773	
North Teso	?	
East Teso	504	
Kaiso-Tonya	227	
West Madi	830	
East Madi	1,752	
Lipan	900	
Karuma	241	
Buhuka	18	
Napak	225	
Sebei	1,323	

TABLE 1. Uganda's protected areas (excluding protected forest areas) with sizes in km^2 and 1990 status where change has occurred since then.

NATIONAL PARKS

Murchison Falls	3,900	
Queen Elizabeth	1,978	
Kidepo Valley	1,400	
Lake Mburo	264	former GR
Rwenzori Mountains	966	former FR
Mgahinga Gorilla	34	former FR
Bwindi Impenetrable	331	former FR
Kibale	760	former FR
Mount Elgon	1,145	former FR
Semuliki	218	former FR

GAME RESERVES

Toro	549	
Kigezi	328	
Kyambura	155	
Katongo	207	
Matheniko	367	
Bokaora Corridor	2,034	
Pian Upe	2,287	
Karuma	713	
Ajai	158	
Bugungu	748	

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ANNEX G

BACKGROUND ON DECENTRALIZATION

BACKGROUND ON DECENTRALIZATION

In 1993 the Local Governments (Resistance Councils) Statute, originally passed in 1987, was modified to transfer more power from the central government to local subnational levels of government. In rural areas this included not only the shifting of more responsibilities to the district level, but likewise from district to county, subcounty, parish and village levels. A comparable system was also established for urban areas. The Statute provided for:

....the decentralization of functions, powers and services to Local Government (Resistance Councils) to increase local democratic control and participation in decision making, and to mobilize support for development which is relevant to local needs (GOU Decentralization Secretariat 1993a:5).

At each level, the Statute established Resistance Councils which, with certain exceptions, had the power to exercise all political and administrative authority and to provide services as they saw fit. Up to now, power — including the ability to hire and fire, collect and retain taxes, and receive block grants — has moved to the districts. However, full decentralization has not yet taken place at subcounty levels. Only in one district (Rakai) is decentralization of finances actually in place. This is occurring through DANIDA's support to that particular district, beginning in 1991.

The primary political body is the District Resistance Council (DRC) (and corresponding lower level RCs) composed of elected subcounty representatives, and ex-officio National (or higher level) Resistance Council members from that locale. This body is responsible for policies and bylaws. Working with the DRC are a series of "technical" planning and monitoring committees, whose members are elected from Council membership. The following technical committees were suggested by the Statute: Production and Marketing; Welfare and Sports; Health and Environment; Education; General Purposes; Finance; Works and Transport. The Ministry of Local Government has since added a District Development Committee (DDC) and a District Technical Planning Committee (DTPC). The NEAP, which effectively takes advantage of the Local Governments' Statute to facilitate decentralization of natural resource management, calls for the creation of separate Local Environmental Committees (LECs).

Key decentralization policy objectives provide for the following:

- The transfer of real power to the districts.
- The efficient and effective delivery of public services to the people who need them, thereby promoting people's feelings of ownership of district programs.
- The development of locally appropriate organizational structures tailored to the local situation.
- The improvement of local authorities' planning and management capacities, including the finance and delivery of local services.
- Improved financial accountability and responsibility by establishing a clear link between taxation and services of local government.

Where NEAP is concerned, the draft (November 15, 1994) Guidelines for Environmental Management at District and Community Levels clearly states that the objective is to develop the capacity of "local authorities." This seems to imply that priority is directed to people in "subnational levels" of local government (district, subcounty, parish and village), as opposed to individuals or groups who are neither elected, appointed or employed in the civil servant system. The GOU Decentralization Secretariat (1994b:2) notes that one of the objectives of decentralization is "to improve the capacity of local councils....."

Decentralization policy, as officially stated, is not totally clear about the expectation that exists concerning ordinary people's (those not holding formal authoritative positions) capacity development in participatory planning and leadership, that is to assume self-initiated or collective lobbying on behalf of particular interest and concerns. According to the Popular Version of the Local Governments (Resistance Councils) Statute, the Statute "paves the way for the continuous/further transfer of power, services and responsibilities to Local Governments" (GOU Decentralization Secretariat 1994a:19). Further, the document notes that it is expected that the Councils will act in the interest of the general public, not giving excessive attention to special interests. Lower Local Government Councils, which are policy-making bodies, have the responsibility for identification of local problems and solutions.

Linkages Between District and Local Levels that are Relevant to NEAP

District development plans are expected to incorporate action plans for environmental monitoring, natural resource management and protection. These are to be formulated in the LEC, in collaboration with the DTPC. There is an expectation that the capacity to carry through on this will be tied to linkages between the various levels of government which promote: people's and NGO's participation in planning, decision making and implementation; the mobilization of human and other resources; and local capacity building in environmental management.

While the DRC is expected to provide the long-term vision of what the district will look like in the future, the district sectoral departments and subcounties are expected to collaborate to achieve the common goal. The LEC and DTPC are of central importance in this process. The preliminary NEAP guidelines for environmental management at district and local levels (NEAP 1994) identify the following roles for these two bodies:

Roles/Responsibilities of DTPC	Roles/Responsibilities of LEC
Monitor policy impacts on economy and environment through data collection, review and analysis. Ensure integration of sectoral and subcounty plans. Conduct problem identification and prioritization. Develop alternative solutions to problems. Draft District Environmental Action Plans (DEAP) for District Development Plans. Assist LEC to develop DEAP for District Development Plan. Assist subcounties in planning activities. Document the NGOs engaged in district environmental conservation/improvement. With NGOs, promote environmental awareness among private sector, councilors, civil servants and local communities. Harmonize sectoral, NGO and private sector development plans. Liaise with NEMA/ministries on environmental policy, legislation, standards and technical advice. Advise on district feasibility of proposed national environmental management initiatives. Develop/implement an environmental information system for continuous district-wide data retrieval.	Serve as a community forum for discussion and recommendations on environmental policies and bylaws to the MLG. Advise DTPC, DDC, DRC (MLG) and NEMA on environmental issues. Mobilize the public to initiate and participate in environmental activities. Develop, in consultation with DTPC, District Environmental Action Plans. Receive draft District Development Plans from DTPC for discussion and endorsement.

The LEC is to be composed of nine members. These may include some ex-officio representatives from relevant ministries, NGOs, CBOs, women's groups, the private sector and other special interest groups. This group has responsibility for development of the DEAP which, in turn, feeds into the District Development Plan.

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ANNEX H

DESCRIPTION OF APE'S FOCUS DISTRICTS

DESCRIPTION OF APE'S FOCUS DISTRICTS

Mbale District

Location: Eastern Uganda, bordering Kenya on the east. Area: 2,546 sq. km. Altitude: 1299-1524m above sea level. Climate: Subtropical. Population: 706,700 (mostly rural). Administrative headquarters: Mbale, 29 subcounties. Agriculture is the main economic activity with emphasis on food crops (beans, maize, groundnuts, sweet potatoes, yams, cassava, bananas, sorghum, and some rice, fruits and vegetables), cash crops (coffee, cotton) and livestock (cattle, goats, sheep). Industry: milk processing, coffee, skins, manufacture of exhaust pipes, garments, pharmaceuticals, furniture and cotton ginning. Forest land: 53,000 hectares (Mt. Elgon National Park).

Kampala District

Location: South-central Uganda with southern edge bordering Lake Victoria; embodies capital city. Area: 238 sq. km. Altitude: 1189-1402m above sea level. Climate: Equatorial with major influence of Lake Victoria. Population: 773,400 (urban). Administrative headquarters: Kampala (5 divisions). Economic activities: Small scale industry (breweries, soya flour, curry powder, sweets, feeds, textiles, hides/skins and many others) suburban agriculture and fishing.

Kasese District

Location: Southwest Uganda, bordering Zaire on the west. Area: 31205 sq. km. Altitude: 1585-3962m above sea level. Climate: Savanna and afro-alpine near Rwenzori Mountains. Population: 343,000 (mostly rural). Administrative headquarters: Kasese. Economic activities: Mining (cobalt, copper, sulfur) and manufacturing (cement, limestone, chalk, carpentry, tea, coffee, salt, cotton, etc.) ; agriculture (beans, maize, cassava, potatoes, bananas, groundnuts, peas, yams, finger millet, fruits and vegetables, livestock). Forest: 33,800 hectares (Kibali National Park, Queen Elizabeth National Park, Rwenzori National Park).

Arua District

Location: Northwest Uganda, bordering Sudan on the north and Zaire on the west. Area: 7830 sq. km. Altitude: 945-1219m above sea level. Climate: Modified equatorial with heavy rainfall and moderately high year round temperatures. Population: 624,600 (mostly rural). Administrative headquarters: Arua, 31 subcounties. Economic activities: Agriculture (cassava, sim sim, peas, maize, maize, beans, cowpeas, tobacco); fishing in Rover Nile; industry (cotton, coffee, grain and oil milling, tobacco curing, carpentry). Forest: 67,740 hectares (Ajai Game Reserve)

Kabale District

Location: Southwest Uganda, bordering Rwanda on the south. Area: 1827 sq. km. Altitude: 1219-2347m above sea level. Climate: Rainfall average from 1000-1480m; bamboo forests to afro-alpine; temperature range from 17.5 degrees C. to 10 degrees C. at night. Population: 412,800 (mostly rural). Administrative headquarters: Kabale, 4 municipalities and 22 subcounties. Economic activities: agriculture (sweet/irish potatoes, sorghum, beans, pigeon peas, wheat and bananas, fruits and vegetables, livestock); fishing on Lake Bunyoni; industry (wine, furniture, shoes, coffee, grain, pit sawing, printing, brick making, metalwork, mining (wolfram, tin, stone). Forest: 39,933 hectares (Bwindi Impenetrable Forest National Park, Mgahinga Gorilla National Park).

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ANNEX I

BUILDING LOCAL CAPACITY THROUGH PARTICIPATION

BUILDING LOCAL CAPACITY THROUGH PARTICIPATION

There is apparent commitment at both the national and district levels of government, and within NEMA, to develop an institutional system which will strengthen local participation in natural resource management planning and implementation. The Local Government Statute has opened up the opportunity for everyone, including residents of the smallest communities, to have a voice in policy and action planning and implementation. Where NEAP is concerned, the decentralized local government system provides a framework for improving environmental and natural resource planning and management. This conducive atmosphere is leading to the gradual restructuring of institutional mechanisms which will transfer authority and responsibility for most natural resource planning and decision making to subnational levels.

The NEAP provides a mechanism for active community participation in natural resource management; however, its interpretation and activation will be dependent on those in key positions, and how well local people and groups understand and organize to respond to the potential that exists. Because the system is made up of people with widely varying experiences, attitudes and needs, there will continue to be great variations in progress among districts, and throughout each district, in the way that participation is encouraged or desired. Not all districts are at the same stage of readiness, therefore the process will require time and patience. One of the keys to kindling the desire to participate will be the ability of leaders and authorities to create a "learning organization" that is continuously open, flexible, and willing to learn from all interest groups; and to refine procedures, methods and policies as the need arises.

Draw on Local Resources

Each level of the district — whether in the MLG system, the civil service, the NGO/CBO sector, the community, or the private sector — has an abundance of human resources. It will be important to learn what these are, and to find ways to integrate them into the process. Individual and group ownership, community plans and proposed actions will then be established. For example, the DTPC and the LEC have the potential to coopt other government people, NGOs/CBOs, or any persons who could contribute to the planning process. These committees will be strengthened if they have a balance of interests and skills represented, including both men, women and young people.

Everyone will benefit if the process includes resource people who have community and leadership development skills, and those who have links to different income level groups, and those who have less visibility in public affairs.

For those who are less experienced in public affairs, these experiences offer a ready training ground. The DEOs should be encouraged to tap diverse types of resources to further support the committees' technical and planning expertise. There may be a danger of the DEOs expecting to do everything themselves, rather than serving as facilitators/educators. Resources might come from the Women in Development, Community Development or Agricultural Extension Officers, District Women's Council, the Red Cross, or other private sector groups and organizations. DEO training should help the newly-recruited staff to clarify their roles, develop achievable plans of work, and to find rewards for sharing responsibilities with other people.

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The Community Specialist

Community people are no longer viewed as informants, or merely people from whom to extract information. Nor should we see community people as people who "rubber stamp" management plans and project proposals. District, subcounty and park people who are in a position to initiate planning activities must work together to recruit community people as teachers, experts, extensionists, environmental observers, group organizers and team trainers. Often it will be more efficient and productive to recruit and train local people for specific responsibilities, rather than using government workers or outside consultants. By emphasizing the "village specialist" approach, you can bring in marginalized groups, and incorporate their skills and knowledge into development priorities and actions.

The Evaluation Team received a number of suggestions from community members, organizational representatives and officials on how to involve local people in planning processes. In Ruvoni village it was recommended that small teams of village people be trained to carry out participatory exercises for gathering information and feedback from several neighboring villages, who would in turn, also have trained teams to do the same in several of their neighboring villages, and so on. The teams would then come together and share their findings and conclusions. The next step was to elect a group representative who would take their information directly to the district committee. They felt that this process might be facilitated through existing organizations, although village situations would differ. While they realized that they could use the RCI — RCII — RCIII system to express their needs, they felt there were too many levels, and that their ideas might get lost in the process.

People's Suggestions for Increasing Participation

Additional ideas that were identified during the Team's field visit which might improve people's participation included the following:

- Train Park Rangers to serve as community outreach/conservation extensionists.
- Train young people, particularly girls, in natural resource management and environmental protection.
- Ensure that resource users are well represented on planning and management committees.
- With the impacted people, look at the needs, culture and total situation of each individual community and its associated ecosystem, and tailor plans and recommended actions to their unique conditions.
- Build on community traditions, experiences and structures, rather than creating new ones.
- Learn what community groups and resources exist. Find ways to actively involve these "specialists." Use a "trainer team" approach to spread involvement.
- Strengthen linkages between community-based groups, local NGOs and the RC system so that the communications will flow back and forth easily. Build the capacity of a district or subdistrict body that brings these interests together and channels resources to the people and problems of highest local priority.
- Establish a clear link between local NGOs and NEMA.

- Educate local politicians, NGOs and private firm representatives about the problems and the opportunities. They must be active partners in the process, along with civil servants.

- Encourage leadership development, confidence building and income generation/management for women. Ensure that they are represented on committees, chapters, PRA and monitoring teams, planning meetings, workshops and in community-oriented ministries/departments. Organize gender differentiated planning groups.

- Facilitate educational exchange visits between PMACs, district/subdistrict committees, PRA teams, NGO "chapters," park staff, farmer teams, and so forth.

- Offer environmental, conservation and park awareness workshops at the community level, drawing on local people's knowledge and experience, their ideas for problem solving, and their capacity to extend this knowledge to other communities.

- Have PMACs and other committees identify their own training needs, then involve them in developing their own training workshops. Involve associated ministry teams in training, e.g., UWA, Forestry and NEMA for training local conservation committees.

Participatory Rural Appraisals

A number of people recommended the use of PRAs for improving local people's participation in the planning process. The PRA approach consists of a wide variety of informal participatory exercises and/or activities which encourage community discussion, improve understanding of local conditions, gather feedback, rate priorities, generate ideas, and so on. These activities are usually designed by the initiating team to build trust, and to encourage community members to assume the role of "teacher" or "expert" in contrast to the more traditional formal survey approach that is more one-sided, especially if designed by a scientist or "expert." While PRAs are very useful, particularly if they promote joint interaction and free communication, they can be time consuming, and can generate a lot of information. PRAs can also increase the level of community expectations with regard to the actions or recommendations that they have made. For these reasons, it may be important to set limits on the number of PRAs conducted, and to establish a systematic way of documenting and storing the information so that it can be readily used.

Rather than doing too many PRAs, it may be beneficial to move quickly into an action phase so that participating communities can be empowered to push ahead with available resources and attempt to solve their own problems. PRAs are not the only way to ensure active participation; in fact, they can become rather inflexible if they are not adapted to the circumstances. Other useful participatory techniques include focus groups (Michael Butler, DePhelps and Howell, 1995) and the *sondeo* technique (Michael Butler, 1995). Like any research method, one needs to be clear on the objectives of the activity, and what the information is to be used for, then a practical method can be designed to do the job. Frequently, a combination of techniques work best. Participation that leads to development involves a continuing series of activities, which together build community interest, ownership and commitment to action.

Levels and Purposes of Participation

Depending on the methods used by the initiator, there are many levels of participation ranging from very low or relatively non-participatory techniques, to very high levels of collaboration in which the initiator retains little or no involvement, turning the activity completely over to the cooperators. One needs to be clear as to the purpose of the desired participation, then design an appropriate participatory strategy

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to accomplish the purpose. The following continuum illustrates the potential range of participation from high to low, and the associated degree of control that is either retained or given up by the initiator. Any participatory method or process will fall somewhere along the continuum.

LOW PARTICIPATION	HIGH PARTICIPATION
(Cooperator)	(Cooperator)
Low Control	High Control

High Control	Low Control
HIGH PARTICIPATION	LOW PARTICIPATION
(Initiator)	(Initiator)

Generally, higher levels of participation and control are associated with the point at which the cooperator enters into the process. The earlier the cooperator is brought into the process, the more potential there is for the cooperator to exercise control, to feel ownership in the activity, and ultimately to become an equal or independent partner. The degree of cooperator participation is also greatly dependent on the attitudes of the initiator. If the initiator is open to sharing control, or relinquishing control, there will be potential for a higher level of participation on the part of the cooperator, and this will be followed by an increasing level of commitment and ownership in the outcomes.

Talking with a cooperator does not ensure participation. For example, by asking questions of a second person, we extract information; however, we may shape the type of information we get by the way we ask questions. It is possible that our particular questions may have little or no meaning to the cooperator — unless we use an open-ended type of question, followed by "probes" that encourage the cooperator to freely express his or her experiences and ideas. In some situations, it may be more effective to have the cooperator illustrate his or her view with a drawing, a story, or a demonstration. True participation is a natural process that occurs from a person's free choice to do so, not from a process that is mandated.

NEAP is placing a high level of reliance on one model of participation — that of the Resistance Council model.[1] If the government changes, or if this model introduces a strong level of political basis into the process, it may be difficult to create the desire to participate. On the other hand, if there are alternative models for encouraging community participation, as through a district NARM Forum, long-term commitment to community priorities and plans would be more assured.

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[1] In districts and local communities the Team found that many people still saw the local government system as the "RC system." Time, public education and first-hand experience will gradually help people to understand the opportunities that exist for them to express their concerns and priorities in organized ways through the MLG.

It would seem important to look at each district, subcounty and community on an individual basis, and encourage participatory models that reflect the history and experiences of the residents and their existing organizations. Traditional governance groups, religious organizations and community-based associations may play an important unifying role in planning processes. It will be important for the NEAP to devise a system of participation that cuts across these various existing systems, linking them, and finding ways to integrate the strengths of their planning and action processes. This may be feasible through the proposed NARM Forum that has been evolving through World Learning, Inc. for coordination of NGOs and CBOs involvement in natural resource management, or through another mechanism that is already in place and working well. This model does need to be designed with active linkages to local government, relevant ministries (including UNP), NEMA, the private sector and international NGOs.

Non-governmental Organizations and State Partnerships

In the past several decades an increasing level of resources are being channeled into NGOs by donor agencies. For some, NGOs represent an alternative development strategy that holds greater potential for grassroots participation in planning and decision making. Because they represent the private sector, NGOs are sometimes perceived to represent a more efficient means of delivering development services to local communities compared to state institutions. Global experience with NGOs indicates that increasing reliance on NGOs also may bring problems. Among some of the most cited criticisms of local NGOs are issues of coordination and communication; limitations of size and therefore impact; technical capacity; and representativeness and accountability.

A recent international study of 70 cases from 18 countries in Africa, Asia and Latin America documented the strengths and limitations of NGOs, and why it has become important to institutionalize collaborative partnerships between NGOs and state institutions, therefore drawing on the capabilities of each (Farrington and Bebbington *et al*, 1993). For example, one of the main strengths of local NGOs is their promotion of participatory development, and their ability to strengthen local capacity to manage development. However, one of their limitations has been their tendency to work in isolation of wider policy issues. They need to help in changing the policy environment. In some cases, they have focused excessively on the qualitative aspects of development, to the neglect of income generation and economics. While NGOs have often faced difficulties in cooperating with government, they are in a good position to identify ways to make government more accessible to local people.

On the other hand, government institutions are frequently better endowed with technical expertise and links with the scientific community. Compared to NGOs, state institutions have greater capacity for specialized research; however, NGOs often have strengths in issue-oriented or action research. Generally, the objections of NGOs and government differ, with NGOs being broader in their interests. NGOs have proven effective in exploratory and innovative activities, especially where the lessons learned are documented, then there is potential for government to refine and multiply successful strategies.

There are preconditions likely to favor collaboration between NGOs and government. Some of these may provide guidelines for Uganda's local government system and local NGOs as they search for an effective collaborative model. One condition seems to be the compatibility of their visions of the future of the rural poor, and of the technological and organizational approaches most likely to achieve these goals. There is evidence that some of the following structural linkages do work:

- Joint NGO-government committees for research/project management,
- Joint annual planning meetings, and
- Representation by one side on the board of the other.

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There is greater evidence of effective operational linkages in the following types of activities:

- Joint activity in problem diagnosis,
- Joint research/project design,
- Joint technology testing,
- Joint evaluation, and
- Joint dissemination and training.

Many NGOs have found it easier to work with newer, smaller government departments, for example, those directed to agroforestry or environmental issues. This seems to be related to the experience that NGOs have in these subject areas, but also because newer institutions tend to be more flexible. This leads us to conclude that there is great potential for Uganda NGOs to work in partnership with NEMA and the MLG system on environment and natural resource management.

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ANNEX J

POTENTIAL CONSULTANCY FOR FOUNDATION

POTENTIAL W. K. KELLOGG FOUNDATION CONSULTATION

The W.K. Kellogg Foundation, headquartered in Battle Creek, Michigan, was established in 1930 "to help people help themselves through the practical application of knowledge and resources to improve their quality of life and that of future generations." The foundation makes investments to benefit people and communities in the U.S., Latin America and the Caribbean and southern Africa, and it provides seed money to nonprofit organizations and institutions that have identified problems and promising solutions. Most grants are awarded in the areas of leadership, youth, philanthropy and volunteerism, community-based health services, higher education, food systems, rural development, water resources and economic development (in Michigan).

The foundation supports educational and service projects of potential national and international importance that stress the application of existing knowledge in addressing significant human problems. An integral part of the review and funding process is a commitment to support endeavors that involve the physically handicapped, the elderly, women, children, youth and minorities. Funds are also provided for planning or studies when directly related to the development aspects of project implementation.

The Evaluation Team recommended that there be an investigation of options and models which might gradually turn the GMU into a more autonomous, self-sustaining organization with links to NEMA and its decentralization goals. It was suggested that the unit might take leadership in generating private and public sector support for education, development and research to improve environmental protection and natural resources management, and take a major role in helping to build the collaborative capacity of individuals, groups and institutions to develop and manage these activities.

NEMA and/or the GMU may wish to consider contacting the W.K. Kellogg Foundation, using a 2-3 page "preproposal" letter proposing the need for private consultation (which they would like Kellogg to support) to help chart directions for the GMU's future. For example, this might involve some sort of visioning-planning workshop with a broad-based group of stakeholders. While Kellogg does not currently work in Uganda, it is establishing an office in Harare, and it has projects in Zimbabwe and South Africa. Where there appears to be potential and the project falls within the foundation's guidelines, the President Emeritus of the W.K. Foundation, Dr. Norman A. Brown, assists the foundation and potential cooperators with the development of potential ideas such as this one.

Dr. Brown retired from the foundation in December 1994. While with Kellogg Foundation, Dr. Brown provided operational leadership to the organization, and program leadership in the area of leadership development, wholesome food supply in the U.S. and Latin America, and spearheaded the organization's initial programming in southern Africa. Previous to his ten years with W.K. Kellogg Foundation, he was Dean and Director of the Minnesota Extension Service. He has had extensive international experience, serves as trustee and chairman of the Michigan State University Foundation, trustee of the One-to-One Foundation, director of Independent Sector (a national organization of the nonprofit and philanthropic sector of the U.S.), director of the Council on Foundations, Chairman of the Board of a Trust for Earth (an international college for the humid tropics in Costa Rica), as well as numerous other roles. In 1989 he was named by President Bush to a five-person commission to plan the Thousand Points of Light Foundation, and in 1990 became a board member.

If a "proposal" letter is sent to the W.K. Foundation it should briefly explain the situation or problem and plans or ideas for solution. It should include proposed procedures, time schedules, financial and human resources available and those that are needed. If W.K. Kellogg Foundation feels the proposal meets its priorities and has the available resources, the organization may request a more detailed proposal. Preproposal letters may be sent at any time to: Manager of Grant Proposals, W.K. Foundation, One Michigan Avenue East, Battle Creek, Michigan 49017-4058.