REPUBLIC OF UGANDA
MINISTRY OF WATER AND ENVIRONMENT

UGANDA NATIONAL
REDD+
PROGRAMME

FEEDBACK AND GRIEVANCE REDRESS MECHANISM FOR UGANDA

FOREST CARBON PARTNERSHIP FACILITY

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UN-REDD
PROGRAMME

THE REPUBLIC OF UGANDA

FEEDBACK AND GRIEVANCES REDRESS MECHANISM FOR SUPPORTING THE IMPLEMENTATION OF UGANDA'S REDD+ STRATEGY AND ACTION PLAN

REDD+ Secretariat
Forestry Sector Support Department
Ministry of Water and Environment

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Foreword

Uganda continues to experience rapid population growth. According to Uganda Bureau of Statistics UBOS) report of 2015, Uganda's population increased from 9.5 million in 1969 to 34.9 million in 2014. Between 2002 and 2014, the population increased from 24 million to about 35 million representing an average annual growth rate of 3.0 percent. The rapid population growth is partly to blame for the high rate of deforestation and forest degradation in Uganda.

The Reducing of Emissions from Deforestation and Forest Degradation (REDD) is a global climate change effort to create a financial value for the carbon stored in forests, encouraging creation of policy approaches and positive incentives for developing countries to reduce emissions from forested lands and invest in low-carbon paths to sustainable development. The REDD effort goes beyond deforestation and forest degradation, and includes (the role of conservation, sustainable management of forests and enhancement of forest carbon stocks) (+) (REDD+).

Uganda's Gross Domestic Production (GDP) by production is dominated by three main sectors namely, agriculture, industry, and services sectors (UBOS 2014). Agriculture is the most important sector of the Ugandan economy, and in 2013/14 financial year, the sector's contribution to GDP in volume terms was at 25 percent of GDP (UBOS 2014). The agricultural sector accounts for 73 percent of the total employment for persons aged 10 years and above (UBOS 2011). In 2013/14 financial year, the contribution of the industrial sector to GDP in volume terms stood at 20 percent. In 2013/14 financial year, the contribution of the services sector to GDP in volume terms stood at 55 percent.

The main energy sources in Uganda include: electricity; biomass; petroleum; and new and renewable sources of energy. Biomass accounts for 92 percent of the total energy consumed; fossil fuels account for 7 percent; and electricity accounts for 1 percent (National Development Plan, 2010). Most of the biomass energy is from wood which is consumed in form of charcoal and firewood. The heavy reliance on biomass energy is not sustainable because it relies on non-renewable energy, has negative environmental impacts, and is one of the causes of forest degradation and loss both on private public forests and woodlands.

Uganda has developed a national REDD+ Strategy and Action Plan intended to address drivers of deforestation and forest degradation. As part of the preparations to implement the strategy, the Government of Uganda developed a Feedback and Grievance Redress Mechanism (FGRM) to guide actions responding to any conflicts or grievances arising out of REDD+ Strategy implementation. If existing and potential conflicts and grievances are not addressed, they are likely to significantly affect the implementation of the REDD+ strategy.

The REDD+ mechanism has the potential to ignite grievances and conflicts at various levels and scales. At field level, existing conflicts and grievances relate to control, use and access to forest resources within protected areas. It is probable that conflicts or grievances relating to ownership of carbon credits, tenure of trees, benefit sharing and participation in REDD+ activities may arise. At Institutional level, conflicts and grievances relate to participation and sharing of roles and tasks in readiness phase

among government agencies and between government agencies and Civil Society Organizations and Private Sector. Institutional level conflicts arise due to need to control or acknowledge access, use and interpretation of data and information held by various institutions or whose interpretation infringes on the credibility of some institutions. At Policy level, policy and legal related conflicts may arise because of policy/legal gaps related to key REDD+ issues such as tenure and ownership of Carbon in Protected Areas, licensing Carbon Trade, Funds channeling, among others.

These conflicts are likely to be more pronounced at the community level and may revolve around the loss of livelihoods and sharing of benefits from the REDD+ programme. An effective Feedback and Grievance Redress Mechanism (FGRM) was deemed essential for the successful implementation of the REDD+ programme to resolve potential REDD+ conflicts and grievances, enhance transparency, information sharing amongst stakeholders, and ultimately boost the integrity and accountability of the programme.

REDD+ modalities therefore required a systematic plan for addressing the potential conflicts and grievances anticipated to arise during REDD+ readiness activities as well as during the actual implementation of REDD+ mechanism.

The Feedback and Grievance Redress Mechanism (FGRM), is therefore an elaboration of the principles, structure and functions of the mechanism, and an action plan for the operationalization of the mechanism.

Finally, on behalf of the Government of Uganda we express our gratitude to staff from my Ministry and from other government Ministries, Departments and Agencies; the World Bank; the Austrian Development Cooperation; and the UN-REDD Programme and all the stakeholders who were instrumental in one way or the other in providing financial support, information, guidance and supervision to facilitate the design and development of this REDD+ Feedback and Grievance Redress Mechanism.

FOR GOD AND MY COUNTRY

Hon. Sam Cheptoris
MINISTER OF WATER AND ENVIRONMENT

Acknowledgement

The Uganda National (REDD+) Programme is a result of collaboration and support of various institutions, agencies and individuals. The Ministry of Water and Environment (MWE) would like to acknowledge with profound gratitude the financial and technical support of the Forest Carbon Partnership Facility (FCPF) of the World Bank, the Austrian Development Agency (ADA/ADC) and the UN-REDD Collaborative Programme.

Appreciation goes to M/s Advocates' Coalition for Development and Environment (Uganda), the consultancy firm that was assigned the task of preparing the Feedback and Grievances Redress Mechanism for Supporting Implementation of Uganda's REDD+ Programme.

I take this opportunity to extend my gratitude to the staff of the MWE and in particular Forest Sector Support Department (FSSD) and its REDD+ Secretariat team that is steering the REDD+ Readiness Process and in particular the REDD+ Feedback and Grievance Redress Mechanism preparation namely: Ms. Margaret Athieno Mwebesa, Assistant Commissioner Forestry and REDD+ National Focal Point who is in the driver's seat; Mr. Mugumya Nyindo Xavier, Coordinator Climate Change (NFA) and Alternate REDD+ National Focal Point; Mr. Valence Arineitwe, Senior Forest Officer; Mr. Bob Kazungu, Senior Forest Officer; Mr. Alex Muhweezi, Lead Technical Advisor, REDD+ and FIP Programs; Ms. Olive Kyampaire, Communications/Project Officer, and Ms. Evelyn Atuhaire, Economist. Appreciation also goes to FSSD staff who participated in one way or the other to ensure the country's Feedback and Grievances Redress Mechanism document is of high quality and well aligned with the country's development aspirations and contributes to the climate change agenda.

Special thanks go to the multi stakeholder Committees - National Climate Change Advisory Committee, National Technical Committee and the Taskforces – (Policy/ Strategy; Monitoring, Measuring Reporting and Verification; and SESA) for the support and guidance in ensuring that the document is coherent, comprehensive and in line with the country's development and forestry sector needs and priorities, and Uganda's Vision 2040.

The MWE is grateful to the Government Ministries, Departments and Agencies, non-state actors, including Faith-Based Organisations and Cultural Institutions, and local communities that have contributed directly or indirectly, by providing comments or inputs into the initial and subsequent drafts of this important document. Your input has been very vital and of high value to this process.

FOR GOD AND MY COUNTRY

Alfred Okot Okidi
PERMANENT SECRETARY
MINISTRY OF WATER AND ENVIRONMENT

Acronyms

CAO	Chief Administrative Officer
CDO	Community Development Officer
CFM	Collaborative Forest Management
CRM	Collaborative Resources Management
CSO	Civil Society Organization
DEO	District Environment Officer
DFO	District Forest Officer
DNRO	District Natural Resources Officer
FGRM	Feedback and Grievances Redress Mechanism
FSSD	Forestry Sector Support Department
GoU	Government of Uganda
ICT	Information and Communication Technology
LC	Local Council
MWE	Ministry of Water and Environment
NEMA	National Environment Management Authority
NFA	National Forestry Authority
NGO	Non-Government Organization
PWD	People with Disabilities
RDC	Resident District Commissioners
REDD+	Reducing Emissions from Deforestation and forest degradation, promotion of conservation of biodiversity, sustainable forest management and enhancement of forest carbon stocks
UN	United Nations
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD	United Nations REDD Program
UWA	Uganda Wildlife Authority

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Executive Summary

Reducing Emissions from Deforestation and Forest Degradation (REDD) is a global climate change effort to create a financial value for the carbon stored in forests, encouraging creation of policy approaches and positive incentives for developing countries to reduce emissions from forested lands and invest in low-carbon paths to sustainable development. REDD+ goes beyond deforestation and forest degradation, and includes the role of conservation, sustainable management of forests and enhancement of forest carbon stocks. Uganda has developed a national REDD+ Strategy and Action Plan tackling drivers of deforestation and forest degradation. As part of the preparations to implement the strategy, the Government of Uganda developed a Feedback and Grievance Redress Mechanism (FGRM) to guide action responding to any conflicts or grievances arising out of REDD+ Strategy implementation.

To date, there are forest resources linked conflicts and grievances which include: conflicts over boundaries of forest reserves; conflict over revenue/benefit sharing; conflict over the selective application of the law by the authorities; conflicts between local governments and local communities; conflict over land ownership and use; conflict over the exploitation of forest resources; conflict over the type of trees to plant in the forest; conflict over the legal status of the forest and conflict over immigrants. Others conflicts include; conflict over the restricted exploitation of forest resources; conflict over deployment of forest patrol men outside the local communities; conflict over land/forest/tree tenure insecurity under CFM arrangements; conflict over the authenticity of some of the land titles; conflict between NFA and the community over grazing land and exploitation of other forest resources; conflict over the use of chemicals to control weeds by some licensed private tree planting companies; conflict between wildlife/forest conservation and the search for livelihoods.

It has been established that these conflicts and grievances arise out of: unclear boundaries of the forest protected areas; disputed forest borders and expansion of forests; exclusion of local governments from the management of central forest reserves; exclusion of forest adjacent communities from the management of forests; conflicting information by political leaders and district technical staff regarding the boundaries; failure by institutions to fulfil their mandate and landlessness resulting from unplanned population growth, conflict over land access and use; community view that forests are the only source of livelihood; denial of access to the forest area for various purposes; interference by politicians in the management of the forestry sector; interests of the local politicians who exploit the plight of the local people; perceived unfairness on the part of government; perceived unethical conduct and abuse of Office by Forestry officials; disrespect and disregard of state institutions by encroachers. It has also been established that these issues affect forest tenure in totality where most grievances arise due to lack of clarity on forest tenure and other related rights.

There are ongoing mechanisms aiming at solving some of the above conflicts using both formal and informal mechanisms—with varying levels of success. The formal mechanisms include the deployment of the police force; involvement of the Local Councils (LCs) and other area politicians; and the involvement of the Offices of the President and that of the Resident District Commissioners (RDCs) and the use of the Judicial processes. On the other hand, the

informal mechanisms include the involvement of traditional/cultural leaders; religious leaders; family and clan systems as well as opinion leaders and elders.

Based on the conflicts identified above, as well as the strength and limitations of the formal and informal mechanisms identified above, a 'hybrid' Feedback and Grievance Redress Mechanism (FGRM) is to be established. The proposed mechanism will be strongly founded on the Local Council (LC) structure, which is accessible in all villages of Uganda. The Local Councils (LCs) are accessible at village, parish and sub-county level, as well as the district level. Finally, the Environmental Tribunal (under the National Environment Bill 2018) will form the apex of this mechanism. It should however, be noted that this proposed FGRM needs to work closely with a host of other formal and informal structures to fulfil its forest-related grievance and conflict detection, prevention and resolution roles.

The FGRM will be implemented through the following objectives

Objective 1*: Identify existing and potential conflicts and grievances that could arise during REDD+ readiness activities and implementation of REDD+ Strategy*. The key actions under this objective are:

a. Government should urgently involve the forest adjacent and forest dependent communities in resolving the urgent and more pressing forest conflicts such as those involving the lack of or uncertainty over forest boundaries in their communities to forestall conflicts and grievances related to boundaries;
b. Government needs to explore ways of defusing the wide perception/view by the community members that government officials/personnel managing forest resources are engaged in unethical and unprofessional conduct;
c. Government should also explore providing opportunities for alternative livelihoods to forest adjacent and forest dependent communities to balance their livelihood interests and conservation of forest resources.

Objective 2*: Identify mechanisms that can detect, prevent and minimize the escalation of, and resolve conflicts and grievances:* The key actions under this objective are:

a. The executive arm of government needs to respond to the widespread calls to legitimize the LC structures at the lower levels (LCI and LCII) by holding elections for the respective positions to enable them to adjudicate in forest conflicts without any legal challenges to the decisions they make;
b. The proposed Forest Sector Support Department (FSSD) FGRM coordination office Secretariat should implement and monitor the FGRM process to ensure timely and effective response to forestry grievances and conflicts;
c. The FGRM coordination office Secretariat also needs to implement key capacity building programmes such as training and sensitization for the formal and informal mechanisms involved in the proposed mechanism to enable them to play a meaningful role in the detection, prevention and resolution of conflicts among forest stakeholders.

Objective 3: *Strengthen policy, legal and institutional framework for managing grievances and conflicts that can assist in handling / addressing stakeholder concerns and issues relevant to REDD+ implementation.* The key actions under this objective are:

a. There is need for Government to operationalize Forestry Committees as provided for in *Section 63* of the *National Forestry and Tree Planting Act, 2003* to support the operationalization of the FGRM

b. Government should consider revising the *National Forestry and Tree Planting Act, 2003* to provide for the role of local governments in the management of central forest reserves (responsibility should be shared between LGs and NFA) in line with the recommendations of the *Uganda Forestry Policy, 2001*

c. Government should consider revising the exiting legal framework to introduce specific legal provisions that define carbon rights; provide elaborate procedures for their registration; and remove all ambiguities in the definition of carbon rights ownership

d. Government should consider amending the *National Forestry and Tree Planting Act, 2003* and regulations to provide for the application of CFM in all forest types as opposed to the current legal position where CFM is only applicable to only central and local forest reserves; and to increase initial CFM duration from 5 to 10 years

e. Government should consider appointing Honorary Forestry Officers in areas with major forest reserves to support the operationalization of the FGRM as well as, to act as the 'eyes' and 'ears' of NFA on the ground, champion conservation of forest reserves, and assist in the overall implementation of the *National Forestry and Tree Planting Act, 2003*

f. Government should consider revising the *National Environment Bill, 2014* to expand jurisdiction of the Environmental Tribunal to cover REDD+ related disputes thus supporting the operationalization of the FGRM; and

g. Government should provide capacity building and adequate resources to enable LC courts handle some of the REDD+ related disputes.

Objective 4: *Strengthen institutional capacity and presence of an active mechanism to receive feedback and handle conflict in a timely manner and at all levels.* The key actions under this objective are:

a. Government, civil society and the private sector should build Uganda's institutional capacity, including improving institutional coordination for the management of REDD+ funds with a view of avoiding potential institutional conflicts when REDD+ funds begin to flow into the country

b. Government, civil society and the private sector should put in place a well-designed climate finance delivery mechanism to ensure that financial resources are deployed to sectors that are most critical to the sustainable management of forests

c. Government and development partners should increase funding to build the technical and human resource capacity of the formal structures involved in resolving forest conflicts such as local councils, the judiciary, and environmental tribunal

d. NFA and UWA need to streamline the operations of their Public Relations Office (PRO) departments to connect with the wider public especially in the central forest reserves and national game parks as a means of mitigating potential conflicts and grievances

e. NFA should conduct regular assessments of the CFMs in various central forest reserves to review their operations and address grievances and conflicts related to benefit sharing and failure to fulfil obligations under such agreements by any of the parties involved

Objective 5: *Carry out capacity building on REDD+ Readiness and FCPF for key stakeholders and personnel on the presence of a clear FGRM.* The key actions under this objective are:

a. The MWE should coordinate efforts to recruit FGRM secretariat staff and build their capacity to implement the FGRM through training and facilitation of their activities

b. The FGRM Secretariat should design a continuous strategy of building the capacity of all stakeholders in the forest sector on its operations and the overall activities aimed to detect, prevent and resolve conflicts

Objective 6: *Establish an easily accessible and well publicized mechanism to receive feedback and handle grievances in an as credible, timely manner.* The key actions under this objective are:

a. Government should establish and facilitate the operationalization of the Collaborative Forest Management (CFM) arrangement in all communities depending on all categories of forest reserves

b. Government, through NFA and other stakeholders should be more pro-active in providing support to forest dependent communities who wish to implement the CFM arrangement by increasing the budgetary allocation of the CFM desk at NFA to enhance the capacity of the communities in implementing CFM

c. Government should identify, recruit and facilitate selected eminent 'Honorary Forestry Officers' within all communities depending on forests to champion the detection, prevention and management of grievances and conflicts in forest reserves.

1.0   Introduction

Uganda's REDD+ Feedback and Grievances Redress Mechanism (FGRM) is an organizational system and resources that have been established to receive and address concerns (grievances, complaints, feedback, etc.) about the impact of implementation of Uganda's REDD+ Strategy and Action Plan on general public, especially, land owners, forest dependent indigenous people and stakeholders in forestry sector. The primary purpose of Uganda's FGRM is to ensure that these stakeholders who may wish to raise concerns about actual or potential negative impacts arising from the implementation of national REDD+ Strategy and Action Plan, or who have disputes with public sector agencies in forestry sector (e.g., national Forestry Authority, Uganda Wildlife Authority, Forestry Sector Support Department, District Local Government) or other REDD+ stakeholders (e.g., NGOs, Private Sector players), have an accessible mechanism for raising and resolving their concerns and disputes.

Uganda is required by the UNFCCC to put in place an effective mechanism for grievances and dispute resolution as part of country readiness for entering the "Carbon phase" of REDD+ processes.

1.1   The Principles

Uganda's Feedback and Grievances Redress Mechanism is based on the following principles:

a. Fairness – the FGRM is designed in such a way that users of the mechanism and other stakeholders must perceive it to be fair in its conduct and adjudication processes in order to secure trust and confidence in its application.
b. Early detection and prevention – the FGRM is designed in order to ensure early detection, prevention or mitigation of grievances associated with the implementation of REDD+ Strategy and Action plan.
c. Accessibility – users of the FGRM must find it easy to access and has arrangements of helping users who may face barriers such as language, literacy, costs, physical access and fears of reprisal.
d. Use of Information, Communication and Technology Tools (ICT) to enhance the effectiveness – The FGRM has put in place measures to use ICT solutions, especially mobile phones to enhance effectiveness in communication and feedback.
e. Predictability – the FGRM ensures that there are clear and publicly known procedures with clear timelines, processes and outcomes as well as the means of monitoring implementation of the outcomes.
f. Transparency – the FGRM ensures that parties are kept informed about the progress of their cases and outcomes.

These principles are consistent with the internationally accepted principles for the design of grievance mechanisms as elaborated by the UN (UN Human Rights Council, 2011; UN REDD Programme and Forest Carbon Partnership Facility, 2015) (Annex 1).

1.2 The Context of Feedback and Grievances Redress Mechanism

Uganda's FGMR aims to contribute to conflict detection, prevention and resolution, as well as transforming the conflict into peaceful co-existence and community cohesion. In this regards, Uganda's FGRM;

a. Emphasizes conflict transformation because of its critical and potential role in improving and restoring the relationships among communities and stakeholders affected by conflict.

b. Provides for channeling grievances into an acceptable, institutionalized system for resolving conflicts experienced during implementation of REDD+ Strategy and Action Plan.

c. Focuses on dialogue and problem solving as an intermediate way for stakeholders to discuss and resolve conflicts[1].

d. Provides an effective platform for resolving conflicts and addressing grievances capable of utilizing both formal (courts or judicial) and informal[2] (e.g., customary, traditional, clan or family) grievances and dispute management processes and systems.

1.3 The Scope of Uganda's Feedback and Grievances Redress Mechanism

The FGRM is designed to contribute to conflict detection, prevention and resolution, as well as transforming conflicts associated with implementation of REDD+ Strategy and Action Plan into peaceful co-existence and community cohesion. The FGRM emphasizes conflict transformation because of its critical and potential role in improving and restoring the relationships among communities affected by conflict. In addition, the FGRM is designed to channel grievances into an acceptable, institutionalized system for resolving conflicts that are likely to occur during REDD+ readiness and implementation. The FGRM focuses on dialogue and problem solving as an intermediate way for stakeholders to discuss and resolve conflicts. The FGRM is expected to primarily address interest-based REDD+ conflicts, meaning conflict in which groups with some form of interdependency have a difference in (perceived) interest, for example, disputes related to benefit sharing, forest use, forest boundaries and forest ownership.

The FGRM seeks to streamline existing grievance redress mechanisms that are either informal or formal. The formal ones include the court system while the informal ones include grievance redress mechanisms used by cultural or traditional institutions. The FGRM is not intended to replace the existing grievance redress mechanism but to serve as a hybrid structure that creates a more effective platform for resolving conflicts and addressing grievances resulting from the REDD+ readiness and implementation activities. If people or communities affected by REDD+ related conflicts do not find

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[1] The FGRM aims to primarily address interest-based REDD+ conflicts, meaning conflicts in which groups with some form of interdependency have a difference in (perceived) interest, for example disputes related to benefit sharing, forest use, forest boundaries, forest ownership, and so on.

[2] Informal mechanisms are arrangements put in place to deliver justice without relying on the state. Informal mechanisms still play a critical role in resolving forest conflicts based on negotiation between the conflicting individuals or communities. Through negotiation, informal mechanisms often seek to foster relationships between the disputants and ensure that they (the disputants), as much as possible, keep their face within the community.

the intervention and resolutions of the FGRM satisfactory, they may seek redress through the mainstream formal court system.

1.4   Objectives

The Objectives of the FGRM are to:

a. Detect and prevent the conflicts before they occur, and mitigate their consequences when they occur, as well as preventing them from escalating.
b. Contribute to the resolution of REDD+ related grievances and conflicts in a timely and efficient manner.
c. Contribute to the improvement and restoration of the relationships among people and communities affected by conflicts as a result of REDD+ activities.
d. Enable the voiceless, vulnerable (such as the poor, PWDs, the elderly, the landless, the women, the forest dependent indigenous people and forest adjacent communities) to have a voice by submitting complaints and receive timely feedback on their submissions.
e. Improve stakeholder participation and decision making through dialogues and registration of grievances and conflicts.

The FGRM considers and utilizes the following formal and informal dispute management mechanisms in Uganda (Table 1).

Table 1: Current formal and informal judicial mechanisms in Uganda

Formal mechanisms	Informal mechanisms
Central Government Level a. The Police Force (main force) b. Crime preventers c. Environmental Police (under the Ministry of Water and Environment) d. The Offices of the President e. Resident District Commissioners (RDCs) f. The Judiciary g. Law enforcement Staff of Uganda Wildlife Authority (UWA) and National Forestry Authority (NFA), National Environment Authority (NEMA) **Local Government level** a. The Local Councils (LCs) b. Area Land Committees (Sub-county level) c. District Officers Natural Resources Officer (DNROs), District Forestry Officer (DFOs), District Environmental Officer (DEOs) and Community Development Officer (CDOs)	a. Traditional and Cultural leaders b. Religious Leaders c. Family and Clan systems d. Opinion Leaders

2.0 The Feedback and Grievances Redress Mechanism arrangements

2.1 The FGRM Structure

The structure of the Feedback and Grievances Redress Mechanism (FGRM) takes the form of a pyramid (Figure 1-2) representing different stakeholders at the various levels of the conflict resolution process/grievance redress mechanism.
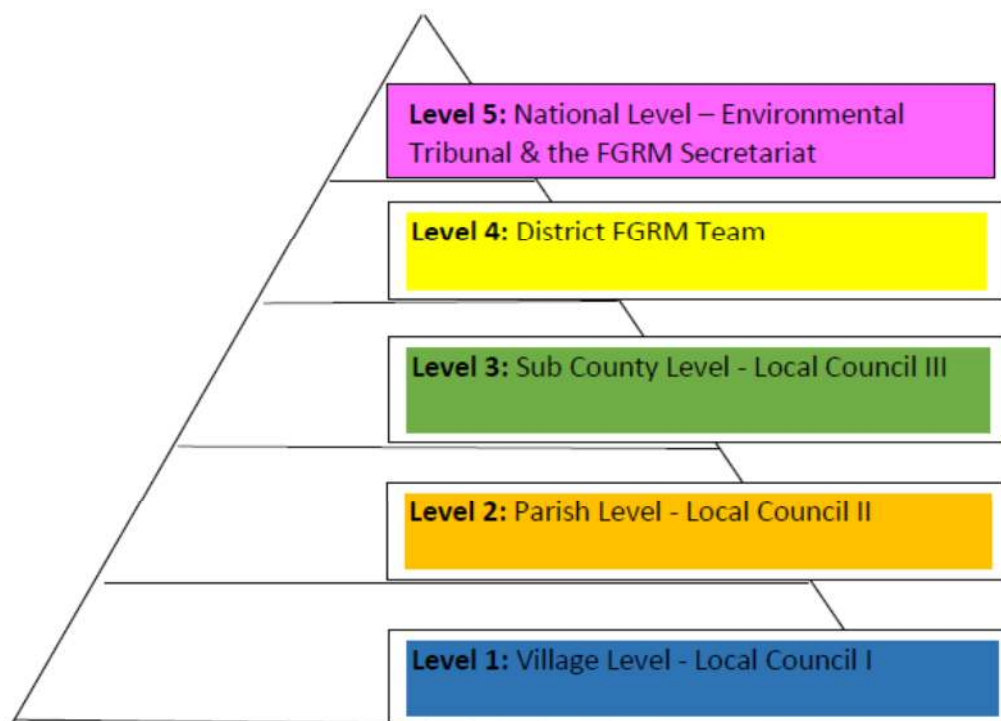

Level 5: National Level – Environmental Tribunal & the FGRM Secretariat

Level 4: District FGRM Team

Level 3: Sub County Level - Local Council III

Level 2: Parish Level - Local Council II

Level 1: Village Level - Local Council I

Figure 1: A diagrammatic illustration of the FGRM structure, from village to national level

2.2 FGRM Implementation arrangements

The Uganda's FGRM will be implemented centrally by an FGRM Secretariat housed within the Forestry Sector Support Development of the Ministry of Water and Environment. The FGRM Secretariat which will be headed by GoU personnel at senior level will be responsible for managing and coordinating all activities of the FGRM. The head of the FGRM Secretariat may be selected from among the senior staff of the FSSD. The FGRM Secretariat will convene meetings relevant to the FGRM; document all activities of the FGRM; lead and coordinate activities for the implementation of the FGRM; coordinate the periodic monitoring and evaluation of the FGRM activities; report on all activities of the FGRM, and account for all resources for the FGRM (including money, personnel, and logistics). The FGRM Secretariat will benefit from the existing sector working groups within the MWE which bring together CSOs, the private sector, international agencies, the academia and donor agencies.

At the district level, the FGRM activities will be coordinated under the Office of the Chief Administrative Officer (CAO). The CAO will convene and facilitate line departments including those responsible for forestry, environment, land, wetlands, community development and planning to function as a District FGRM Team. The CAO is member of the FGRM Team. Additionally, the CAO will establish an FGRM Multi-Stakeholder Task Force, consisting of representatives from CSOs, honorary Forest Officers, private sector, religious and cultural leaders whose main responsibility will be assist the FGRM mechanism at district in addressing conflicts or grievances arising out of implementation of REDD+ Strategy and Action Plan.

At lower local government level, conflicts and grievances will be handled through the LCI – LCIII structures, as appropriate.

3.0   Procedures for FGRM Operation

3.1   The FGRM procedures

The FGRM will function under formal dispute management mechanisms applying systems and procedures of the Central government, district and lower local governments (Figure 2). For example, the Collaborative Forest Management (CFM)

Figure 2: FGRM Structures

structures will be guided by the Tree Planting and Forestry Act; the LCs will be guided by the Local Governments Act, Cap 243 Laws of Uganda; the LC Courts will be guided by the LC Courts Act, 2006 and regulations; while the judicial institutions (primarily courts) will be guided by the Judicature Act, Cap. 13 Laws of Uganda. The FGRM may also apply processes and procedures applicable to the informal dispute management mechanism.

The FGRM provides for an appeal system that enables aggrieved community members to appeal to higher levels. If an FGRM user is dissatisfied with the decision of any level of the mechanism, s/he can either appeal to a higher level within that mechanism, or resort to the formal judicial system. For example, if an individual is dissatisfied with the decision of the Local Council I (LCI), s/he will be free to appeal to the LCII. And if s/he is not satisfied with the decision of LCII, s/he will be free to appeal to higher levels of the FGRM. Similarly, if an individual or group of people are dissatisfied with decisions of any level within the FGRM, they will have the freedom to resort to the formal judicial system without necessarily going through the entire hierarchy of the FGRM structure. In other words, the establishment of the FGRM does not take away the people's right to use or resort to the formal court system. In fact, people will be free to exit the FGRM at any level (Figure 3).
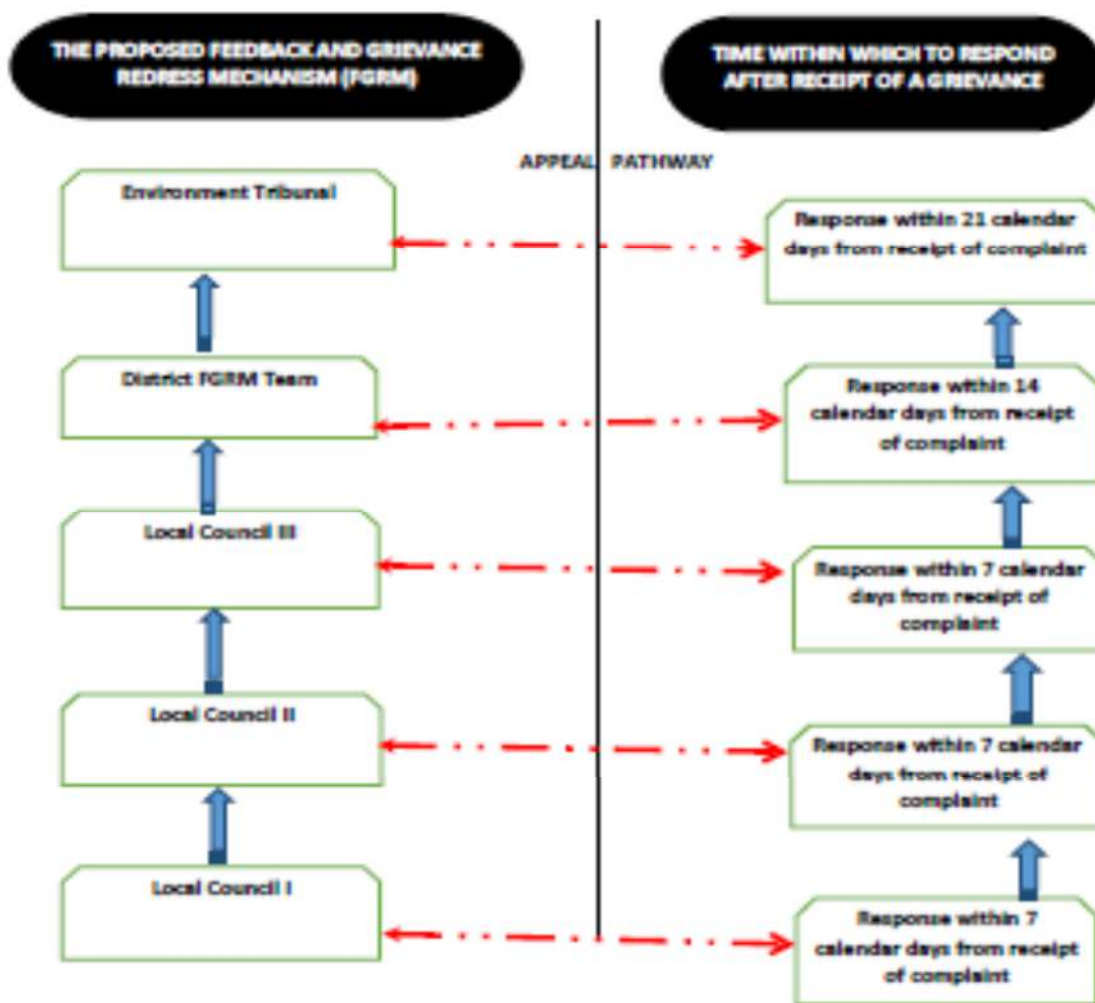

Figure 3: A diagrammatic illustration of the FGRM structure, from village to national level

3.2 Detection and prevention of grievances and conflicts by the FGRM

The following non-litigation platforms or FGRM mechanisms that may be applied:

a. Informal mechanisms including traditional leaders and institutions, religious/spiritual leaders and institutions, forest committees, multi-stakeholder forest forum(s), local council structures, and; the district FGRM team.

b. Collaborative Forest Management (CFM) or Collaborative Resources Management (CRM) structures (CFM).

c. Multi-stakeholder Forums such as the one established at the District level.

3.3 Grievance or conflict uptake

The following steps will be applied to response to the grievances (Figure 4).

a. **Step 1: Registration:** All grievances will be handled by the FGRM Secretariat at FSSD. The FGRM grievances or conflicts will be documented, registered and submitted to the FGRM Secretariat by the complainants themselves or authorized third parties using a standard format issued by the FGRM Secretariat. Complaints can also be registered through a centralized complaint handling system such as a free SMS-based and toll-free telephone number that will be managed by the FGRM Secretariat[3].

At the registration of the grievance or complaint, the aggrieved party shall be required to provide the following information to the FGRM Secretariat:

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[3] The FGRM Secretariat will widely publicize a toll-free and SMS number that callers can use to register their grievances. The REDD+ Secretariat will develop an electronic mechanism where calls on this number are automatically recorded as proof of registration of a grievance. It is expected that stakeholders that have problems with writing will use this modality to submit grievance and follow up the redress processes.

i. Name of the complainant(s).
ii. Date when the grievance was witnessed or caused.
iii. Nature of the Grievance.
iv. Number of affected persons involved.
v. Effect on complainant's activities.
vi. Type of proof and witnesses.
vii. Potential solutions.

The Complainants will be notified accordingly that their complaint has been received.

b. **Step 2: Screening:** The FGRM Secretariat will screen the grievance, mainly through research and investigation to ensure that the complaint qualifies to be a REDD+ grievance and that it can be handled by the mechanism.

c. **Step 3**: **Allocation of and management of the compliant:** The FGRM Secretariat will then inform the appropriate organ(s) of the FGRM (i.e., at the district or lower local government level) with request to handle the complaint or grievance. The first FGRM organ to be asked to handle the grievance may be the LCI of the area where those affected by the grievance are located or where the forest is located or the District FGRM team. Informal FGRM mechanisms may be informed of the registered compliant or grievance. The FGRM Secretariat may engage independent entities to investigate some of the complex and highly sensitive grievances.

d. **Step 4: Referral:** The FGRM Secretariat may refer the complaints to formal or judicial mechanisms when the progress with the informal mechanism is evaluated to be unlikely to provide an appropriate response or redress.

e. **Step 5: Monitoring:** The FGRM Secretariat keep track the grievances using a variety of tools with the aim of ensuring that the mechanism is functioning and appropriately responding to the grievances or disputes.

f. **Step 6: Conclusion, registration and disclosure of settled grievances / disputes**: the FGRM Secretariat will document and disclose all settled cases to the complainants, FGRM mechanism that handled the case and other interested stakeholders. A database of all settled cases will be maintained the FGRM Secretariat.

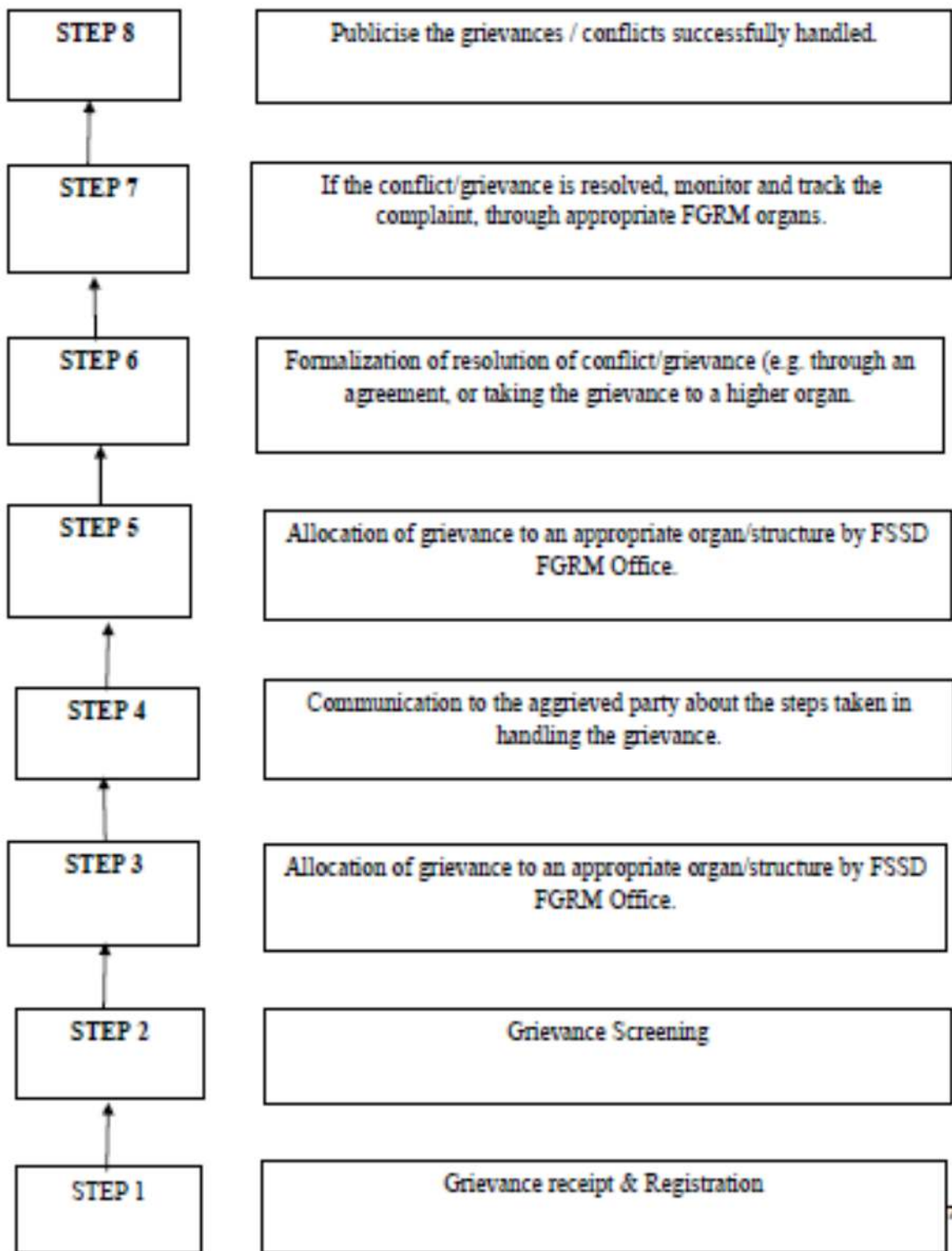| STEP 8	Publicise the grievances / conflicts successfully handled.
STEP 7	If the conflict/grievance is resolved, monitor and track the complaint, through appropriate FGRM organs.
STEP 6	Formalization of resolution of conflict/grievance (e.g. through an agreement, or taking the grievance to a higher organ.
STEP 5	Allocation of grievance to an appropriate organ/structure by FSSD FGRM Office.
STEP 4	Communication to the aggrieved party about the steps taken in handling the grievance.
STEP 3	Allocation of grievance to an appropriate organ/structure by FSSD FGRM Office.
STEP 2	Grievance Screening
STEP 1	Grievance receipt & Registration

Figure 4: The major steps in the grievance handling process

4.0   Operationalising the FGRM

Uganda will operationalize the FGRM in phased approach involving the following phases over a 2-year period (Table 3-1).

a. Phase I: Establish FGRM Secretariat.
b. Phase II: Create/strengthen policy and legal environment for FGRM
c. Phase III: Establish functional linkage with local governments.
d. Phase IV: Commence FGRM operations.

Table 2: Action plan for the operationalization of the FGRM in Uganda

Phase	Activity	2019	2020
Phase 1	Establish the FGRM Secretariat		
Phase 2	Create / strengthen policy and legal environment for FGRM		
Phase 3	Establish functional linkage with local governments		
Phase 4	Commence FGRM operations		

Phase I: Establish the FGRM Secretariat through:

a. Passing an administrative instrument containing directives for the establishment of the FGRM Secretariat within the FSSD, including provisions for staffing and facilities.
b. Developing the mandate of the FGRM Secretariat and Terms of Reference for the FGRM Secretariat personnel.
c. Recruitment or designation of the head of the FGRM Secretariat.
d. Recruitment and or hire of other staff of the FGRM secretariat.
e. Training secretariat staff on the FGRM including laws, regulations and procedures governing its operations.
f. Raising awareness existence and operations of FGRM Secretariat.

Phase II: Create / strengthen policy and legal environment for FGRM through:

a. Conducting an assessment of policy and legal requirement for regulating implementation of the FGRM.
b. Undertaking policy and legal reforms for institutionalizing FGRM.

Phase III: Establish functional linkage with local governments through:

a. Establishing FGRM mechanism at the district level.
b. Training district officials on the operations of the FGRM including laws, regulations and procedures governing its operations.
c. Raising awareness of local government on the operations of the FGRM.
d. Raising awareness of general public and forestry stakeholders on existence and FGRM mechanism.

Phase IV: Commence FGRM operations through:

a. Developing and disseminating FGRM operational policies and procedures.
b. Developing and popularizing procedures for dialogue with stakeholders on the performance of FGRM.

5.0   Annexes

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Annex 2: Uganda's FGRM And International Principles of UN Human Rights Council and Uganda Laws

The International Principles of UN Human Rights Council

(as stipulated in the FCPF/UN-REDD Programme Guidance Note for REDD+ Countries, 2015).

Legitimate: enabling trust from the stakeholder groups for whose use they are intended and being accountable for the fair conduct of grievance processes. This principle aims at ensuring that parties to a grievance process cannot interfere with its fair conduct. This is one of the most important factors in building stakeholder trust.

Accessible: being known to all stakeholder groups for whose use they are intended and providing adequate assistance for those who may face particular barriers to access. The FGRM should have an in-built mechanism for addressing barriers of access including, lack of awareness of the mechanism, language, literacy, costs, physical location and fears of reprisal.

Predictable: providing a clear and known procedure with an indicative timeframe for each stage, and clarity on the types of process and outcome available and means of monitoring implementation.

Equitable: seeking to ensure that aggrieved parties have reasonable access to sources of information, advice and expertise necessary to engage in a grievance process on fair, informed and respectful terms.

Transparent: keeping parties to a grievance informed about its progress and providing sufficient information about the mechanism's performance to build confidence in its effectiveness and meet any public interest at stake. In doing this however, the confidentiality of the dialogue between parties and of individuals' identities should be protected.

Rights compatible: these grievance redress processes are generally more successful when all parties agree that outcomes are consistent with applicable national and internationally recognized rights.

Enabling continuous learning: drawing on relevant measures to identify lessons for improving the mechanism and preventing future grievances and harms. The FGRM should undertake regular analysis of the frequency, patterns, and causes of grievances; strategies and processes used for grievance resolution; and the effectiveness of those strategies and processes, to enable the institution administering the FGRM to improve policies, procedures, and practices to improve performance and prevent future harm.

Based on engagement and dialogue: consulting the stakeholder groups for whose use they are intended on their design and performance and focusing on dialogue as the means to address and resolve grievances. For an operational-level grievance mechanism, engaging regularly with affected stakeholder groups on the FGRM's design and performance can help to ensure that it meets their needs, that they will use it in practice, and that there is a shared interest in ensuring its success.

Alignment with Ugandan laws

The FGRM is aligned with the draft Uganda Forest Stewardship Standard (2016) that requires organizations in the forest sector that have been certified to put in place mechanisms for resolving grievances and providing fair compensation to local communities and individuals with regard to the impacts of their activities.

The following measures are provided in the FGRM:

Legitimate: Local Councils, the District FGRM team, and the Environmental Tribunal under the FGRM satisfy the principle of legitimacy to the extent that they are anchored in the respective laws establishing them. In addition, components of the FGRM such as Local Councils are widely trusted by the public, most especially the local communities. Furthermore, decisions taken by Local Council Courts and the Environmental Tribunal are binding and enforceable, a factor that enhances the legitimacy of the FGRM.

Accessible: Local Councils under the FGRM are largely accessible to the public including local communities because they are well known and are established at the village and parish levels. In addition, the Local Councils use their respective local languages and their cost structure is accommodative to ordinary person. Grievances and conflicts are filed with the chairperson of the Local Council in their area, and this makes them easily accessible. In other words, the FGRM should have multiple channels to submit and receive stakeholders' grievances. In this way, stakeholders will have multiple options and avenues for accessing different modalities which will enable local forest users to move beyond the existing tension/conflict with the Government of Uganda, particularly the NFA. Having a variety of options promotes equitable participation of all forest dependent/forest adjacent communities in REDD-plus activities, with greater emphasis on inclusion of poor and marginalized groups.

Predictable: The FGRM has established rules and procedures under the respective regulations governing the various components thus making it possible for users to have clarity on the process and outcome as well as a known time frame for each stage. For instance, the operations of the Local Councils are governed by procedures and regulations made under the *Local Governments Act (Cap 243)* as well as the *Local Council Courts Act, 2006* and *Local Council Regulations, 2007.*

Equitable: The FGRM is designed in such a way as to ensure that aggrieved parties have reasonable access to sources of information, advice and expertise necessary to engage in a grievance process on fair, informed and respectful terms. For instance, aggrieved parties have reasonable access to information on the operations of Local Councils, and are therefore, able to engage in the process on fair, informed and respectful terms. Also Local Councils possess first-hand knowledge of the issues that will have led to the conflict, and are therefore, able to arrive at an equitable decision. It is important to note that in a Local Council Court, representation by lawyers is prohibited by the *Local Council Courts Act, 2006,* a factor that enhances a level playing field for aggrieved parties.

Transparent: The FGRM has been designed in such a way as to ensure that transparency shall be observed by providing information about its performance to wider stakeholders, through statistics, case studies, and other detailed information. This will enable the FGRM to demonstrate its legitimacy and retain broad trust. This will be achieved through the FGRM secretariat established under the Office of the Prime Minister that will ensure that detailed information about its operations are readily available to the public.

Rights compatible: The FGRM fully respects fundamental and other human rights and freedoms under *Chapter 4* of the *Constitution of Uganda* as well as human rights and freedoms set out under international covenants on human rights. For instance, the right to a fair hearing enshrined under *Article 28* of the Constitution is fully observed by *Section 24* of the *Local Council Courts Act, 2006.* Likewise, *Section 171(9)* of the *National Environment Bill, 2014* requires the Environmental Tribunal to observe principles of natural justice including the right to a fair hearing.

Enabling continuous learning: This will be achieved through the FGRM Secretariat by ensuring that measures are put in place to periodically improve the mechanism. The FGRM secretariat shall be responsible for undertaking regular analysis of the frequency, patterns, and causes of grievances; strategies and processes used for grievance resolution; and the effectiveness of those strategies and processes, so as to improve policies, procedures, and practices of the FGRM. In other words, the FGRM

should be flexible in design so that it can facilitate the REDD+ as well as the other forest stakeholders in a mutual learning process. Current formal dispute resolution systems in forestry end with decisions without a process to learn and adapt. Therefore, the FGRM design should encourage monitoring and evaluating the grievance redress system to learn and subsequently adapt strategies as necessary during REDD+ implementation.

Based on engagement and dialogue: The FGRM has been designed by taking into account the views of stakeholder groups that will use it. Going forward, the FGRM Secretariat shall ensure continuous dialogue and regular engagement with stakeholders to enable improvements in the design of the mechanism to be made so as to ensure that it meets their needs.

Early detection and prevention: One of the specific objectives of this assignment was to identify an FGRM that can detect, prevent and minimize the escalation of grievances and conflicts during REDD+ readiness and implementation activities. In line with meeting this objective, the consultant was—in recommending the proposed FGRM—cognizant of the need to embed a set of individuals, agencies and institutions that would play a critical role in the regular engagement and monitoring of the forest dependent communities with a view to detecting and responding to all forms of grievances and conflicts before they escalate to levels that warrant resolving through the proposed mechanism. Specifically, it is proposed that the LC structure will be most critical in detecting the occurrences of any grievances and conflicts through their routine operations. If well-funded and empowered to implement their full mandate, the leadership of LC structures can be involved in mobilization activities that foster harmony in the forest dependent communities. The function of detecting and preventing grievances and conflicts can for instance, be further augmented by the activities of the 'Honorary Forestry Officers', religious/spiritual leaders and institutions, traditional/ cultural leaders and institutions, CSOs, opinion leaders, elders and Forestry Committees which can be empowered to work with the LCs to facilitate conflict resolution in forest dependent communities. In addition, the detection and prevention roles of the mechanism can also be undertaken by the multi-stakeholder forest forum which can—given the availability of resources—closely work with not only the LC structures but also the rest of the stakeholders in the proposed FGRM.

Use of ICT tools to enhance the effectiveness: The FGRM encourages the use of ICT tools such as e-mail, SMS and social media to improve efficiency and the timely feedback on resolution of grievances and conflicts. This will be achieved through measures implemented by the FSSD FGRM Office to enable the uptake of ICT tools by the mechanism. For instance, measures promoting the use of ICT tools by the mechanism to register grievances and conflicts shall be promoted by the FGRM secretariat.

Annex 3: Members of the National REDD+ Secretariat

Name	Designation
Margaret Athieno Mwebesa	Assistant Commissioner Forestry & REDD+ National Focal Point
Xavier Nyindo Mugumya	National Forestry Authority Climate Change Coordinator & REDD+ Alternate National Focal Point
Alex Bataamba Muhweezi	Lead Technical Advisor
Valence Arineitwe	Senior Forest Officer
Bob Kazungu	Senior Forest Officer
Sergio Innocente	Technical Advisor (2014 - 2017)
Olive Kyampaire	Communications/Project Officer
Evelyn Atuhaire	Economist
John Begumana	NFMS/MRV Expert Uganda REDD+
Deogratius Nteza	Forest Information Systems Consultant
Antonello Salis	Country Technical Advisor
Maria Vidal	Geographical Information Systems/ Remose Sensing Expert
Edrine Mukwaya	Front Desk Officer
Joyce Kabasinguzi	Office Assistant

Annex 4: Members of the National Climate Change Advisory Committee

NAME	DESIGNATION	INSTITUTION
Moses Sonko	Economist	Ministry of Finance Planning & Economic Development
Koma Stephen	Commissioner, Inspectorate Department	Ministry of Local Government
Komujuni Pamela	Senior Disaster Management Officer	Office of the Prime Minister
Namanya B. Didacus	Geographer	Ministry of Health
Muwaya Stephen	UNCCD Focal Person & Senior Range Ecologist Directorate of Animal Resources	Ministry of Agriculture, Animal Industries and Fisheries
Rachael Rwomushana	State Attorney	Ministry of Justice & Constitutional Affairs
James Baanabe	Commissioner, Energy Department	Ministry of Energy and Mineral Development
Edith Kateme-Kasajja (Mrs)	Deputy Executive Director	National Planning Authority
Charles Mutemo	Principal Environmental Officer	Ministry of Works and Transport
Chebet Maikut	Commissioner	Climate Change Department
Sanyu Jane Mpagi	Director, Gender and Community Development	Ministry of Gender, Labor and Social Development
Denis David Kavuma	General Manager	Uganda Tree Growers Association
Margaret Lomonyang	Coordinator	Karamoja Women's Cultural Group - Indigenous groups
Ofwono Opondo	Executive Director	Uganda Media Centre
Ambrose Agona (PhD)	Director General	National Agricultural Research Organization
Sam Mwandha	Executive Director	Uganda Wildlife Authority
Vincent ByendaimiraAtenyi	Commissioner for Land Use Regulation and Compliance	Ministry of Lands, Housing and Urban Development
Onesmus Muhwezi	Team Leader, Environment, Climate and Disaster Resilience	United Nations development Programme
Tom Okurut	Executive Director	National Environmental Management Authority
Tom Obongo Okello	Executive Director	National Forestry Authority
Margaret Adata	Commissioner	Forestry Sector Support Department
Paul Mafabi	Director	Environmental Affairs
George Owoyesigire	Ag. Commissioner Wildlife	Ministry of Tourism Wildlife and Antiquities
David Duli	Country Director	World Wide Fund, Country Office
Achilles Byaruhanga	Executive Director	Nature Uganda
Mr. Festus Luboyera	Executive Director	Uganda National Meteorological Authority

Annex 5: Members of the National Technical Committee

Name	Designation	Institution/Organisation
Dr. Justine Namaalwa Jumba	Senior Lecturer	School of Forestry, Agricultural and Environmental Sciences, MUK
Michael Mugarura	Senior Mitigation Officer	Climate Change Department
Mr. Mununuzi Nathan	Senior Environmental Officer	Department of Environmental Sector Support
Collins Oloya	Commissioner	Wetlands Management Department
Mr. Peter Obubu	Principal Water Officer	Water Resources Management
Dr. Hilary Agaba	Director, NAFORRI	National Agricultural Research Organization
Pauline Nantongo	Executive Director	ECOTRUST -Uganda
Mr. Ogwal Sabino Francis	Natural Resources Manager (Biodiversity and Rangelands); NFP CBD	National Environment Management Authority, Kampala
Mr. John Diisi	Coordinator GIS/Mapping	National Forestry Authority
Mr. Emmanuel Menhya	Principal Statistician (in charge of Environment statistics	Uganda Bureau of Statistics
Mr. Semakula Godfrey	Deputy Director Land Development Division	Uganda Investment Authority, Kampala
Mr. Michael Omara Mwange	Legal Empowerment Advisor	Uganda Land Alliance
Ms. Carol Muyama	Communications Officer	Uganda Media Centre
Ms. Deborah Kasule	Senior Science Officer	Uganda National Council of Science and Technology, Kampala.
Mr. Muwembe Khalid	Director, Forecasting Services	Uganda National Meteorological Authority
Mr. Richard Kapere	Planning Coordinator/UWA CC Change Focal Officer	Uganda Wildlife Authority, Kampala
Ms. Kamala Grace	Senior Agricultural Officer/ Farmland Planning	Ministry of Agriculture, Animal Industries and Fisheries
Mr. John Tumuhimbise	Commissioner	Ministry of Energy and Mineral Development
Mr. Alex Asiimwe	Commissioner Occupational Safety	Ministry of Gender, Labor and Social Development
Dr. Paul Kagwa	Asst. Commissioner Health Services	Ministry of Health (Health Promotion and Education)
CP Taire Idhwege	Commandant Environmental Police	Ministry of Internal Affairs
Mr. Stephen Okello	Ag. Secretary National NGO Board	Ministry of Internal Affairs
Dr. Muge George	Ag. Commissioner of Prisons	Ministry of Internal Affairs
Mr. Stephen Koma	Commissioner, District Inspection	Ministry of Local Government
Mr. Geoffrey Omolo George	Deputy Secretary General/Program Manager	Uganda Local Governments Association
Mr. George Owoyesigire	Principal Wildlife Officer	Ministry of Tourism, Wildlife and Heritage
Ms. Rachael Rwomushana	State Attorney	Ministry of Justice and Constitutional Affairs
Ms. Juliet Bunuzi	Vice President	Uganda Journalist and Press Association

Annex 6: Members of SESA and Safeguards Taskforce

Name	Specialization/Expertise	Institution/Affiliation
Stephen Mugabi	Policy /legal/Institutional Assessment (Environmental Safeguards)	Ministry of Water & Environment
Robert Aguma	World Bank Safeguards	Ministry of Water & Environment
Fiona Driciru	Participatory Processes (CFM)	National Forestry Authority
Gertrude Kenyangi	Southern CSOs/IPs representative at the (CIF/FIP)	SWAGEN
Bob Kazungu	Monitoring and Evaluation	Ministry of Water & Environment
Michael Opige	Natural Resources Governance	Nature Uganda
Dr. Adonia Bintoora	CRM & Manager, Community Benefits and Wildlife Enterprises	Uganda Wildlife Authority
Alinda Violet	Policy and Advocacy	TWAWEZA
Tom Rukundo	SEA/EIA	National Forestry Authority
Doreen Ruta	Livelihoods	Private Consultant
Joel Kiwanuka	Gender/Sociology	National Forestry Authority
Michael Mugarura	Climate Change – Mitigation	Climate Change Department
Rachael Rwomushana	State Attorney	Ministry of Justice & Constitutional Affairs
Annet Kabarungi	Gender	Ministry of Gender, Labour and Social Development

Annex 7: Policy and Strategy Development Taskforce

Muhammad Ssemambo	International climate change processes and issues	Ministry of Water & Environment
Waiswa Ayazika	Policy, Legal, Regulations and institutional frameworks	National Environment Management Authority
Stephen Khaukha	Strategic Planning/Strategy developments/Outcome mapping	Havilla / Private
Ronald Kaggwa	Incentives for environmental/natural resources management	National Planning Authority
Stephen Galima	Natural Forests Management	National Forestry Authority
Aggripinah Namara	Social and Environmental Assessments	Private/ESSIPS
Steve Nsita	Institutional Development	Havilla
Byakagaba Patrick	Policy, Legal, Regulations and institutional frameworks	Makerere University - CAES
Gerald Tenywa	Communications and outreach	New Vision
Richard Kapere	Planning including for REDD+ Processes and issues	Uganda Wildlife Authority
Barbara Nakangu	Gender and Social issues	Makerere University – Makerere Institute of Social Research
Henry Bazira	Policy analysis	Water Governance Institute

Annex 8: Members of the Monitoring, Reporting and Verification Taskforce

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