



*Eastern And Central Africa Agricultural Transformation Project -  
ECAAT(P162416)*

## **VULNERABLE AND MARGINALISED GROUPS FRAMEWORKFINAL**



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## DEFINITION OF TERMS

**Community:** A group of people living in a geographical area, who share common culture, interests and/or organized in a social structure that exhibit some awareness of common identity.

**Culture:** Sum total of the ways in which a society preserves, identifies, organizes, sustains and expresses itself.

**Exclusion:** Being left out of the social, cultural, economic and political activities

**Empowerment:** A process that enables people to make their choices, have a say in decisions that affect them, initiate actions for development, cause change of attitude and enhance increased consciousness of equal access to and control of resources and services so as to take charge of development opportunities.

**Equality:** Equal opportunity in resource allocation, power, benefits or access to services to all persons irrespective of status or gender

**Gender:** The social and cultural construct of the roles, responsibilities, attributes, opportunities, privileges, status, access to and control over resources as well as benefits between men and women, boys and girls in a given society.

**Human Rights:** Inherent, inalienable and indispensable entitlements that protect every person from abuse and deprivation.

**Indigenous People:** There is no universally accepted definition of “Indigenous Peoples.” Indigenous Peoples may be referred to in different countries by such terms as “ethnic minorities,” “aboriginals,” “hill tribes,” “minority nationalities,” “scheduled tribes,” “tribal groups.” etc. *In Uganda and for purposes of this Framework, the term “Vulnerable and marginalized Groups” is used to refer to such groups.*

**Vulnerable Marginalized Groups:** Persons or groups of persons deprived of opportunities for living a respectable and reasonable life. These categories of people are exposed to a risky situation where a person is likely to suffer significant physical, emotional or mental harm that may result in his/her human rights not being fulfilled. In Uganda the constitution categorises the Batwa, the IK and the Benet as Vulnerable and Marginalised Groups considering that constitutionally all Ugandans are considered Indigenous People.

## ABBREVIATION & ACRONYMS

AAU	Action Aid Uganda
BLG	Benet Lobby Group
CBO	Community Based Organization.
DCDO	District Community Development Officer
CSO	Civil Society Organization.
DAO	District Agricultural Officer
DPO	District Production Officer
DVO	District Veterinary Officer
EOC	Equal Opportunities Commission
FPIC	Free Prior Informed Consent
GRC	Grievance Redress Committee
GOU	Government of Uganda
IWGIA	International Work Group on Indigenous Affairs
IPs	Indigenous Peoples
IWGIA	International Work Group on Indigenous Affairs
MAAIF	Ministry of Agriculture Animal Industry and Fisheries.
NGO	Non-Governmental Organization.
LGRC	Local Grievance Redress Committee
PAP	Project Affected Person
PICD	Participatory and Integrated Community Development
PCU	Project Implementation Unit
PDO	Project Development Objective
PLO	Project Liaison Officer
UHRC	Uganda Human Rights Commission
UN	United Nations.
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
UWA	Uganda Wildlife Authority
VGC	Village Grievance Committee
VCs	Value Chains
VPC	Village Peace Committee
WB	World Bank.
ZSFP	Zonal Safeguard Focal Person

# EXECUTIVE SUMMARY

## Introduction

This Vulnerable and Marginalized Groups Framework (VMGF) for the Eastern and Central Africa Agricultural Transformation (ECAAT) Project in Uganda has been prepared by the National Agricultural Research Organisation (NARO) to conform to the World Bank's Operational Policy: Indigenous People (OP4.10). It is developed on a basis of outcomes from the Social Assessment (SA) conducted among the Vulnerable and Marginalized Groups (VMGs) in Uganda in some cases referred to as the Indigenous Peoples. In Uganda, the VMGs constitute the Batwa, the IK and the Benet. It is a standalone document that forms part of the overall mitigation instrument developed in accordance to the triggered World Bank Policy OP 4.10 under the ECAAT project for Uganda.

This Framework identifies opportunities to enhance project benefits for the VMGs as well as measures to mitigate any potential negative impacts. The VMGF highlights positive impacts and potential adverse effects that should be avoided, minimized or mitigated during ECAAT project design, implementation and monitoring. The framework will guide the preparation and implementation of all World Bank financed ECAAT sub-projects to ensure that the VMGs are fully consulted and have opportunities to actively participate in project design and the determination of project implementation arrangements

## Country Context

Agriculture has for a long time been a very dominant sector that exerts considerable influence on overall GDP growth of Uganda. Thus, the sector remains the backbone of country's economy with a sector contribution to GDP of about 25.8% in 2015. It contributes over 40% of the country's exports. Agriculture also employs about 72% of the total labour force (including disguised labour), 77% of whom are women, and 63% are youth and most of whom reside in the rural areas. In the recent past, the small-holder agriculture sector has been crucial for poverty reduction in Uganda as agricultural households accounted for 79% of poverty reduction alluded to above between 2006 and 2013.

Uganda's ECAAT transformation agenda is to shift farming of selected priority commodities from low land expansive productivity to higher technology intensive agricultural productivity, under the increasingly varying climatic conditions. The transformation will be guided by producing agricultural outputs that are converted to specific higher priced products demanded by subsistence, commercial and industrial markets at the national, regional and international levels.

## Project Description

The aim of agriculture transformation is to improve the effectiveness of the sector in raising incomes, reducing poverty, improving nutrition outcomes, addressing the challenges of changing climate, fostering regional integration of markets for food commodities and products, and providing better jobs – including to skilled youth and women. This is a strategic shift from previous regional agricultural projects that had focused primarily on productivity. The project's technical aspects will be guided by the following elements of agricultural transformation: (i) enhancing technology of production along the entire commodity value chains, including by providing farmers with access to technical knowledge and improved seeds and breeds; (ii) building resilience in primary agriculture to changing climate and promoting nutrition-sensitive agriculture and food safety; (iii) developing critical skills to meet the needs of current and future food systems, including skills required by private and public sectors; (iv) forming partnerships and alliances that connect farmers with markets and enable farmers to understand market needs and produce for the market, (v) regional integration of markets for technology of production, food commodities and food

products; and (vi) facilitating a policy and regulatory environment that actively enables regional collaboration in developing solutions across the value chain and which encourages private-sector participation, including in technology development.

#### *Project Development Objective*

The project development objective is to enhance regional collaboration to improve productivity, resilience, and competitiveness of selected agricultural commodity value chains and increase smallholder farmer access to the regional market for good commodities and products.

#### *Project Components:*

**Component 1: Supports work on Regional Commodity Programs** - The objective of this component is to enhance regional collaboration in the development of agricultural technologies, innovations, and management practices (TIMPS) for selected commodities and to facilitate exchange and dissemination of the TIMPS across national boundaries.

**Component 2: Focuses on Agriculture Education, Skills Development, and Service Delivery** The objective of this component is to provide the current and future labor force with critical knowledge and skills that: (a) promote faster technical change in agriculture, especially in technology development, and innovations to improve access to markets; (b) meet the needs of private sector agribusinesses and the public sector – including policy analysis; (c) are likely to be employable by the food system now and in the future; and (d) encourage innovation and entrepreneurship in transforming agricultural value chains and linking primary agriculture with the emerging food system and formal markets.

**Component 3: Supports Enabling Policies and Agricultural Markets.** The objectives of this component are: (i) to create an enabling policy and regulatory environment for regional collaboration in development, transfer, and exchange of technologies; and (ii) to improve smallholder farmer's access to regional and national markets for food commodities and products.

**Component 4: Supports Regional Coordination and Project Management.** The objective of this component is to coordinate the project at the regional and national levels.

### **World Bank's Operational Policy: Indigenous People (OP4.10)**

The policy requires that Indigenous Peoples benefit from the commercial development of natural resources. Therefore, the project must include measures to (a) avoid potentially adverse effects on the Indigenous Peoples' communities; or (b) when avoidance is not feasible, minimize, mitigate, or compensate for such effects. Bank-financed projects are also to be designed and structured in a manner to ensure that the Indigenous Peoples receive social and economic benefits which are culturally appropriate and gender and intergenerationally inclusive.

### **The Vulnerable and Marginalised Group Framework (VMGF)**

The purpose of VMGF is to ensure that the VMGs are fully consulted and have equal opportunities to actively participate in, project design and the determination of project implementation arrangements and ensure avoidance of harm. The framework will guide the preparation and implementation of ECAAT subprojects to ensure full consultation and participation of VMGs in project activities.

#### *Objectives of the VMGF*

The main objectives of the VMGF are;

1. To promote sustainable development benefits and opportunities for VMGs in a manner that is transparent, culturally appropriate and inclusive.



2. To promote full and meaningful participation of the VMGs in project design, implementation and monitoring based on their own defined needs and priorities
3. To ensure a process of Free, Prior, and Informed Consent/consultations (FPIC) of affected VMG communities
4. To recognize and respect the culture, customary rights, knowledge, and project relevant practices of VMGs to enhance culturally appropriate benefits
5. To support and meaningfully engage VMGs to adapt to changing conditions in a manner and timeframe acceptable to them

## **Relevant Legal, Policy and Regulatory Frameworks**

The VMGF shall operate within the framework of International Instruments, National Constitution (1995), Policies and Laws. Accordingly, the VMGF development process was informed by the existing Policy and Legal Framework at national and international level. Some of the relevant Legal, Policy and Regulatory Frameworks include:

- (i) Constitution of Uganda;
- (ii) Uganda Vision 2040,(2013);
- (iii) The Equal Opportunities Commission Act, 2007;
- (iv) National Land Policy 2011;
- (v) The Social Development Sector Plan (SDSP) 2015/16-2019/20;
- (vi) The Land Act 1998, the UWA Act, and the National Environment Statute of 1995 and
- (vii) International Laws and Treaties including the United Nations Declaration on the Rights of Indigenous Peoples

## **Approach and Methodology for VMGF Preparation**

A three-step approach was adopted to generate the required information for preparation of this Framework. These include;

- i) Joint Technical Team Consultations Meetings between the consultants, the client and World Bank staff to gain common understanding of the requirements under OP 4.10 and FPIC and also provided clarifications on the deliverables, timelines and need for exhaustive consultations with of all key project stakeholders
- ii) Document Review of existing baseline information and literature material to gain an in-depth understanding of the proposed project.
- iii) Stakeholder consultations with key project stakeholders and VMGs to collect their opinions about VMGs' current farming systems and implications for ECAAT project. These including meetings with NARO staff, scientists from Zonal Agricultural Research Institutes (ZARDIs) and Framers Groups,

As part of stakeholders' consultations, community dialogues were held with the VMG communities in the geographical areas of the Batwa and Benet to generate data on current farming systems in the respective geographical VMGs areas, land issues, water for production, priority crops and livestock, current production practices, access to information, improved varieties, extension services and markets. The dialogues meetings adopted FPIC approach and were facilitated through brainstorming, Focus Group discussions ensuring a broad participation of community members including; community leaders, clan leaders, traditional leaders, youth, women and lobby groups. During the dialogue meetings, VMGs were given an opportunity to discuss freely either directly or through their own freely chosen representatives without any manipulation,



intimidation, coercion or incentives. Decision-making was all inclusive regardless of gender, age, ethnicity or other factors.

## **Key Issues, Potential Impacts of Project on VMGs**

The social assessment identifies a number of issues that hinder farming among VMG communities. Majority of the VMGs are on temporary land which is inadequate to practice extensive farming as well as pastoralism. Current farming practices in the 3 communities of Batwa, Ik and Benet is rudimentary characterized by poor farming methods, mainly using manual labour force. The main crops grown for subsistence farming include; Irish Potatoes, cabbage, rice, and maize among others. Whereas, some VMG communities such as, the Ik and Benet would prefer to practice traditional livestock farming, this is not possible due to lack of land for grazing. Being hard to reach, VMG communities have limited access to information and extension services. They lack agriculture facilities and implements like irrigation water points, storage facilities, improved seedlings, pesticides and manure hence, soil fertility is poor resulting in low crop yield and constant famine among these communities. Equally, access to markets for local produce is a big challenge.

## **Key Stakeholder Issues and Concerns from the consultations meetings**

Below is a summary of some key issues and concerns arising from the discussions with the different project stakeholders.

- ☞ Due to their nature of isolation and continued marginalization, VMG communities may be extremely difficult to involve in ECAAT project implementation. For them to fully participate in the project, they need to be effectively mobilized and sensitized, through their local structures and systems.
- ☞ Since VMGs have historically suffered land grabbing and marginalisation the project should avoid any land acquisition to avert further vulnerability
- ☞ Women and youth tend to be left out in government programs and projects. Special measures should be taken within the VMGs to ensure that they are included in ECAAT Project;
- ☞ Majority of stakeholders do not possess the necessary social development expertise to work with VMGs. There is need for capacity building to empower project stakeholders with appropriate knowledge and skills to work with VMGs. On the other hand, experienced CBOs and NGOs that are acceptable to VMG should be effectively utilized in ECAAT project implementation;
- ☞ Conflicts especially among the Ik and Benet tend to arise during the dry season due to competition between those who want to use the water for their animals and those who want it for human consumption;. The project should be aware of these conflicts and through community consultations agree on the optimal use of resources for the project.
- ☞ Whereas the technical services provided by the Zonal Agricultural Institutes is highly appreciated by Farmer's groups, especially improved and drought resistant crops and pesticides to address emerging diseases, these services are not being accessed by VMG communities especially the Batwa and the Ik. This project will specifically target these VMGs that's why this framework is being developed to ensure their active engagement

- ☞ Despite the growing problems of pests resistant to pesticides mainly due to adulteration, poor storage and lack or failure to give correct dosage VMG communities lack information on about this new trend. ECAAT will ensure that VMGs. Have access to this information and their capacity to utilise pesticides is enhanced
- ☞ Issues of climate change and variability due to continued land degradation in VMG area has resulted in landslides and prolonged droughts thus affecting crop production and household food security. This has resulted in persistent famine among VMG communities. Under ECAAT project appropriate remedial measures should be put in place and VMGs mobilized and sensitized about climate change adverse effects and how to prevent them.

## Potential Project Impacts on VMGs

ECAAT project activities will have both positive and negative impacts on the VMG communities. However, it should be noted that minimal, if any, negative impacts are anticipated because of the project. Most of the impacts anticipated will be positive for all communities, including for VMGs. NARO and other project stakeholders are committed to ensure that negative impacts are mitigated or minimised, while the positive impacts will be augmented through appropriate safeguard measures as outlined in the VMGF to enhance the project impact.

### Potential Beneficial Impacts

In the context of ECAAT Project, the VMGs in the project areas are likely to receive long term project benefits including;

- (i) Access to agricultural equipment, technology and infrastructure to enhance production
- (ii) Improved farming methods through improved technologies will enhance food production base and their ability to grow enough food to feed their families as well as improved nutrition through variety of crops (cereals, pulses, vegetables, and fruits)
- (iii) Improved feeder roads and foot bridges that will link them with market sites
- (iv) Enhanced business management skills to enable them better manage and market their agricultural products
- (v) Increased access to external markets will improve income from their agricultural produce leading to increased household income and improved livelihood
- (vi) Improved knowledge, communication and instruction with other ethnic groups as a result of project interactions, which is necessary for participation in development initiatives
- (vii) Adoption of longer term sustainable means of livelihood through modern crop cultivation thus, increasing diversity in their livelihood strategies specifically fruit gathering and hunting which is not sustainable.

### Potential Adverse Impacts

The main social risk is that of exclusion of the VMGs from the project. Other Social risks envisioned in the implementation process include:

- (i) Propagation of conflicts among VMGs due to adoption of more TIMPs that is likely to change land use thus affecting VMG communities especially, the Ik pastoralists may lose grazing grounds for their livestock through upgrade of infrastructure e.g. irrigation systems.
- (ii) Social disruption of the VMG communities due to the introduction of new innovations and technologies that may change natural resource use practices and access. This may lead to conflicts within and between neighbouring communities and other

- stakeholders.
- (iii) VMGs might be excluded because of low literacy levels, low capital base, language barrier and other cultural barriers that may exclude especially the women and youth from decision making processes.
  - (iv) Manipulation of VMGs due to their low literacy levels by other dominant groups and the private sector. Hence VMGs may not benefit from the project.
  - (v) Creation of dependency among VMG communities for hand-outs as a result of free seed distribution and other facilities. This has the risk of thus affecting self-help and sustenance among the VMG community.
  - (vi) Propagation of conflicts with the neighbouring communities as a result of inequitable provision and distribution of new facilities among VMGs e.g. water sources/sheds, storage facilities etc. leading competition and conflicts over the new project facilities
  - (vii) Improved knowledge, business skills and management might disrupt the socio-cultural fabric leading to inequality aspects like gender and inter-generational disparities among VMG communities leading to internal conflicts

### **Proposed Mitigation Measures**

To avoid or minimize adverse impacts and, at the same time, ensure enhancement of benefits and full participation of the Vulnerable and Marginalized Groups, several measures shall be instituted including;

- The ECAAT project will ensure that all project design stages, processes and activities are disclosed in a culturally appropriate and accessible manner using FPI-Consultation guidelines stipulated in this document;
- Ensuring that VMGs and their organizations are fully incorporated in selection, design, and implementation process;
- Ensuring coordinated attempt to equitably distribute project services
- ECAAT project to undertake specific impact assessments of proposed project on the economic and social development of VMGs and dominant communities.
- ECAAT project in collaboration with the identified VMGs should screen all subprojects for potential impacts.
- The project management should ensure outreach activities to VMGs to raise awareness on the importance of agriculture for improved livelihoods and economic development

### **Grievance Redress Mechanism**

The Grievance Redress Mechanism (GRM) has been put in place to provide an avenue for expressing concerns and achieving remedies for local communities especially the VMGs. The goal of GRM is to promote a mutually constructive relationship and enhance the achievement of project development objectives. The GRM will ensure that complaints are received, directed and handled expeditiously by the relevant referral points ensuring responsiveness and accountability. The GRM will adopt use of the existing grievance redress and conflict resolution mechanism of the VMG guided by local communities' leadership/administrative structure. Key principles and key steps to guide operations of the GRM have been outlined under section 5.2 and 5.3 of the report

### **Monitoring, Evaluation and Reporting**

The VMGF has proposed M&E and reporting systems to be used for monitoring the implementation of the VMGPs. Monitoring should be participatory and include the monitoring

of beneficial and adverse impacts on VMGs within project impact areas. And to ensure that plans are implemented according to this framework.

M&E should be based on free, prior and informed consultation with the VMGs who should play an integral role in its implementation. Continuous monitoring will be carried to ascertain that, the proposed mitigation measures are being implemented and that, there is compliance to the terms and conditions for approval of sub project activities.

## 1.0 INTRODUCTION

This Vulnerable and Marginalized Groups Framework (VMGF) for the Eastern and Central Africa Agricultural Transformation (ECAAT) Project in Uganda has been prepared by the National Agricultural Research Organisation (NARO) to conform to the World Bank's Operational Policy: Indigenous People (OP4.10). The framework uses VMGs as opposed to IPs basing on the 1995 Constitution of Uganda that recognizes all Ugandans as Indigenous Peoples with an official number of 65 ethnic groups. Within these ethnic groups, there are groups that have been historically marginalised. Additional guidance given by the Ministry of Gender, Labor and Social Development (Social Development Sector Plan 2015/16-2019/20), indicates that the Batwa in the West, the Ik in the North East and the Benet in the East of Uganda are considered the Vulnerable and Marginalised Groups. It is worth noting that the document only applies to the VMGs in Uganda. The concerns of the other categories of the vulnerable groups i.e. the elderly, People with disability (PWD), children etc. are addressed in the Environmental and Social Management Framework (ESMF).

This framework is developed on a basis of outcomes from the Social Assessment (SA) conducted among the VMGs in Uganda. It is a standalone document that will guide the activities of the ECAAT project in case the World Bank Policy OP 4.10 is triggered. The Framework identifies opportunities to enhance project benefits for the VMGs as well as measures to mitigate any potential negative impacts. The VMGF highlights positive impacts and potential adverse effects that should be avoided, minimized or mitigated during ECAAT project design, implementation and monitoring. The framework will guide the preparation and implementation of all World Bank financed ECAAT sub-projects to ensure that the VMGs are fully consulted about, and have opportunities to actively participate in, project design and the determination of project implementation arrangements.

### 1.1 Country Context

According to the 2014 Population and Housing Census, Uganda had a population of 34.6 million people; it is a youthful population with 47.9% between 0-14 years, 49.2% between 15 – 64 years and 2.9% above 65 years. Overall, between 2002 and 2014, the population increased from 24 million to about 35 million representing an average annual growth rate of 3.0%. The population was projected to be 37.7 million by Mid-year 2017. Uganda is the third fastest growing population in Africa with a considerable high Total Fertility Rate (TFR) of 5.4 children per woman implying a high population growth rate of 3.0%.<sup>1</sup> The total population of the Vulnerable and Marginalized Groups as per the Uganda Constitution categorization of VMGs is approximately 28,639; Batwa about 6,200 (3,000 female and 3,000 Male), Ik about 13,939 (7,094 female and 6,845 male) and Benet about 8,500.<sup>2</sup> Overall, life expectancy at birth from 2002 Census was estimated at 50 years. Males registered a lower life expectancy of 49 years compared to their female counterparts at 52 years. Overall, there was a gain of 2.3 years in life expectancy between 1991 and 2002.

Agriculture has for a long time been a very dominant sector that exerts considerable influence on overall GDP growth of Uganda. Thus, the sector remains the backbone of country's economy with a sector contribution to GDP of about 25.8% in 2015. It contributes over 40% of the

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<sup>1</sup>UBOS, 2016 Uganda Health Demographic Survey

<sup>2</sup>UBOS, 2014 National Population and Housing Census

country's exports. Agriculture also employs about 72% of the total labour force (including disguised labour), 77% of whom are women, and 63% are youth and most of whom reside in the rural areas. In the recent past, the small-holder agriculture sector has been crucial for poverty reduction in Uganda as agricultural households accounted for 79% of poverty reduction alluded to above between 2006 and 2013.

Uganda's ECAAT transformation agenda is to shift farming of selected priority commodities from low land expansive productivity to higher technology intensive agricultural productivity, under the increasingly varying climatic conditions. The transformation will be guided by producing agricultural outputs that are converted to specific higher priced products demanded by subsistence, commercial and industrial markets at the national, regional and international levels. The transformation will also be supported by (a) generation, transfer and dissemination of appropriate TIMPs along the commodity and regional value chains that increase output per unit of production factor (b) putting in place conducive national and regional policy and regulatory environment that facilitates agricultural research and productivity and access to the markets and (c) promoting requisite agricultural education and skills that enhance total agricultural factor productivity in order to increase employment, productivity, income and food security while fostering reliance and reducing emissions.

## **1.2 Project Description**

The aim of agriculture transformation is to improve the effectiveness of the sector in raising incomes, reducing poverty, improving nutrition outcomes, addressing the challenges of changing climate, fostering regional integration of markets for food commodities and products, and providing better jobs – including to skilled youth and women. This is a strategic shift from previous regional agricultural projects that had focused primarily on productivity. The project's technical aspects will be guided by the following elements of agricultural transformation: (i) enhancing technology of production along the entire commodity value chains, including by providing farmers with access to technical knowledge and improved seeds and breeds; (ii) building resilience in primary agriculture to changing climate and promoting nutrition-sensitive agriculture and food safety; (iii) developing critical skills to meet the needs of current and future food systems, including skills required by private and public sectors; (iv) forming partnerships and alliances that connect farmers with markets and enable farmers to understand market needs and produce for the market, (v) regional integration of markets for technology of production, food commodities and food products; and (vi) facilitating a policy and regulatory environment that actively enables regional collaboration in developing solutions across the value chain and which encourages private-sector participation, including in technology development.

### *Project Indicators*

The proposed key results indicators are: (i) number of direct beneficiaries (% female); (ii) number of improved technologies, innovations and management practices (TIMPS) released by multiple countries, and by country (% climate smart); (iii) time and cost saved in technology development; (iv) increase in crop productivity (average annual yields) for selected crops and livestock productivity (liters per lactation); and (v) volume and value of commodities marketed in various platforms (productive alliances, commodity exchanges, direct purchases etc.).

### **1.2.1 Project Development Objective**

The project development objective is to enhance regional collaboration to improve productivity, resilience, and competitiveness of selected agricultural commodity value chains and increase smallholder farmer access to the regional market for good commodities and products.



### 1.2.3 Project Components

The project components identified to contribute to transformation of agriculture in the region include;

**Component 1: Supports work on Regional Commodity Programs** - The objective of this component is to enhance regional collaboration in the development of agricultural technologies, innovations, and management practices (TIMPS) for selected commodities and to facilitate exchange and dissemination of the TIMPS across national boundaries. Agricultural technologies are developed for agro-ecological conditions and not national boundaries. The component will focus on commodities that are important for regional food and nutrition security, and strategic regional value chains to create jobs and provide income generation opportunities. The component is organized into three sub-components: (i) establishment and strengthening of regional and national centres of leadership/excellence; (ii) collaborative development, transfer, and dissemination of agricultural technologies; and (iii) emergency response.

The expected results from component 1 include: (i) number of improved technologies, innovations and management practices (TIMPS) released by multiple countries (% climate smart); (ii) number of TIMPS released by country (% climate smart); (iii) time and cost saved in technology development; (iv) number of farmers adopting improved technologies; (v) amount of GHG emissions reduced; (vi) increased crop and livestock productivity for selected commodities; (vii) number of networks for scientists established; and (viii) number of regional centers of leadership/excellence established or strengthened.

**Component 2: Focuses on Agriculture Education, Skills Development, and Service Delivery** The objective of this component is to provide the current and future labor force with critical knowledge and skills that: (a) promote faster technical change in agriculture, especially in technology development, and innovations to improve access to markets; (b) meet the needs of private sector agribusinesses and the public sector – including policy analysis; (c) are likely to be employable by the food system now and in the future; and (d) encourage innovation and entrepreneurship in transforming agricultural value chains and linking primary agriculture with the emerging food system and formal markets. Three sub-components are proposed to contribute to this objective: (i) establishment of centers of leadership/excellence in key disciplines of agriculture education; (ii) enhancing skills of stakeholders along value chains; and (iii) promoting effective models for service delivery.

The expected results from component 2 include: (i) number of centers of leadership/excellence established for providing relevant education for the food system; (ii) number of stakeholder (labor force, farmers etc.) trained with critical skills for the food system; (iii) number of farmers accessing mechanization services; (iv) number of farmers accessing labor-reducing technologies (% women); (v) number of farmers accessing innovative ICT based extension and advisory services (% women); and (vi) innovative food and agricultural products.

**Component 3: Supports Enabling Policies and Agricultural Markets.** The objectives of this component are: (i) to create an enabling policy and regulatory environment for regional collaboration in development, transfer, and exchange of technologies; and (ii) to improve smallholder farmer's access to regional and national markets for food commodities and products. Two sub-components are proposed: (a) enabling policies; and (b) linking smallholder farmers' access to markets to regional and national markets.

The expected results from component 3 include: (i) number of harmonized policies domesticated by countries; (ii) number of farmers accessing regional and national markets (% women); (iv) volume and value of commodities marketed in various platforms (productive alliances, commodity



exchanges, direct purchases etc.); (v) value of warehousing receipts issued, by commodity; and (vi) amount of private investment leveraged in de-risked agribusinesses.

**Component 4: Supports Regional Coordination and Project Management.** The objective of this component is to coordinate the project at the regional and national levels. Two sub-components support this objective: (i) regional coordination and learning; (ii) national project management and evaluation. The expected results from component 4 include: (i) timely implementation progress of regional and national sub-projects; (ii) effective dissemination and communication of project results and challenges; (iii) timely M&E reports; and (iv) Functioning MIS.

### 1.3 World Bank's Operational Policy: Indigenous People (OP4.10)

The policy requires that Indigenous Peoples benefit from the commercial development of natural resources. Therefore, the project must include measures to (a) avoid potentially adverse effects on the Indigenous Peoples' communities; or (b) when avoidance is not feasible, minimize, mitigate, or compensate for such effects. Bank-financed projects are also to be designed and structured in a manner to ensure that the Indigenous Peoples receive social and economic benefits which are culturally appropriate and gender and intergenerationally inclusive

Under World Bank Policy on Indigenous People a project proposed for World Bank financing that affects VMGs requires:

- i) Screening by the Bank to identify whether VMGs are present in, or have collective attachment to, the project area;*
- ii) Conducting a social assessment by the borrower;*
- iii) A process of free, prior, and informed consultation with the affected VMGs' communities at each stage of the project, and particularly during project preparation, to fully identify their views and ascertain their broad community support for the project;*
- iv) The preparation of an VMGF and VMGP through highly consultative process involving VMGs*
- v) Disclosure of the draft VMGF and VMGP for public information and comments*

The VMGF should therefore include;

- Sub projects potential benefits and adverse effects on VMGs.
- A plan for undertaking Social assessment for identified sub-projects.
- A framework for ensuring Free, Prior, and informed consultation with the affected VMGs at each stage of project preparation and implementation.
- Institutional arrangements (including capacity building where necessary) for screening project -supported investments , evaluating their effects on VMGs, preparing VMGPs, and addressing any grievances
- Monitoring and reporting arrangements, including mechanisms and benchmarks appropriate to the project.
- Disclosure arrangements for VMGPs to be prepared under the VMGF.

## **2.0 THE VULNERABLE AND MARGINALISED GROUP FRAMEWORK**

### **2.1 Purpose**

The purpose of VMGF is to ensure that the VMGs are fully consulted and have equal opportunities to actively participate in, project design and the determination of project implementation arrangements and ensure avoidance of harm. The framework will guide the preparation and implementation of ECAAT subprojects to ensure full consultation and participation of VMGs in project activities.

### **2.2 Rationale**

The Framework is developed to ensure that the vulnerable and marginalized communities would be sufficiently and meaningfully consulted leading to their free, prior and informed consultation (FPIC) for possible interventions, that they would have equal opportunity to share the project benefits, and that any potential negative impacts are properly mitigated.

The VMGF recognizes that the VMGs are frequently among the most marginalized and vulnerable segments of the population. Thus, their economic, social, and legal status often limits their capacity to defend their right to land, geographical territories, and other productive resources, and restricts their ability to participate in and benefit from development projects

It is therefore, expected that this VMGF will ensure that VMGs are sufficiently and meaningfully consulted and it will provide for the screening and review of future activities or sub projects under ECAAT to ensure that:

- a) VMGs located in the geographical area of the ECAAT project coverage receive full project benefits in a culturally appropriate manner that is age and gender sensitive taking into account key aspects such as the existing land ownership patterns, access to and control over productive resources, traditional division of labor, disability and inter-generationally inclusion;
- b) Potential adverse effects on VMGs will continually be identified and those adverse effects avoided, minimized, mitigated, or compensated for.
- c) At project implementation stage, Vulnerable and Marginalized Group Plan (VMGP) are developed based on this VMGF if the social screening confirms presence of identified Vulnerable and Marginalised Groups.

### **2.3 VMGF Objectives**

The main objectives of the VMGF are;

- 1. To promote sustainable development benefits and opportunities for VMGs in a manner that is transparent, culturally appropriate and inclusive.
- 2. To promote full and meaningful participation of the VMGs in project design, implementation and monitoring based on their own defined needs and priorities
- 3. To ensure a process of Free, Prior, and Informed Consent/consultations (FPIC) of affected VMG communities
- 4. To recognize and respect the culture, customary rights, knowledge, and project relevant practices of VMGs to enhance culturally appropriate benefits
- 5. To support and meaningfully engage VMGs to adapt to changing conditions in a manner and timeframe acceptable to them

### **3.0 RELEVANT LEGAL, POLICY AND REGULATORY FRAMEWORKS**

The VMGF shall operate within the framework of International Instruments, National Constitution (1995), Policies and Laws. Accordingly, the VMGF development process was informed by the existing Policy and Legal Framework at national and international level. This section highlights some of the relevant Legal, Policy and Regulatory Frameworks.

#### **3.1 Constitution of Uganda**

Article 32 of the constitution provides for affirmative action in favour of marginalized groups. The State shall take affirmative action in favour of groups marginalized on the basis of gender, age, disability or any other reason created by history, tradition or custom, for the purpose of redressing imbalances which exist against them. Parliament shall make relevant laws, including laws for the establishment of an equal opportunities commission, for the purpose of giving full effect to clause (1) of this article. Article 37 of the Constitution places Right to culture and similar rights. Every person has a right as applicable to belong to, enjoy, practise, profess, maintain and promote any culture, cultural institution, language, tradition, creed or religion in community with others.

#### **3.2 Uganda Vision 2040,(2013)**

The Uganda Vision 2040 stipulates a plan to promote equal opportunities and enjoyment of human rights for both men and women, provides for care and protection of vulnerable groups either by age, social class, location, disability, gender or disaster, ensure gender responsive policies, programmes and actions.

#### **3.3 The Equal Opportunities Commission Act, 2007**

This Act is relevant constitutional provision with respect to the situation of VMGs, it gives the Commission the State's constitutional mandate to eliminate discrimination and inequalities against any individual or group of persons on the ground of sex, age, race, colour, ethnic origin, tribe, birth, creed or religion, health status, social or economic standing, political opinion or disability, and take affirmative action in favour of groups marginalized on the basis of gender, age, disability or any other reason created by history, tradition or custom for the purpose of redressing imbalances which exist against them; and to provide for other related matters.

#### **3.4 National Land Policy 2011**

The new land policy addresses contemporary land issues in Uganda and regarding land rights of ethnic minorities. The Policy stipulates that Government shall in its use and management of natural resources, recognize and protect the right to ancestral lands of ethnic minority groups. In addition, it also provides that Government shall pay prompt, adequate and fair compensation to ethnic minority groups that are displaced from their ancestral land by government action. Under the policy, Government will take measures among others to pay compensation to those ethnic minorities that have in the past been driven off their ancestral lands for preservation or conservation purposes. *"The new land policy recognizes the rights of IPs/VMGs to their ancestral lands and should effectively address their issues and concerns related to land matters in Uganda"*

#### **3.5 The Social Development Sector Plan (SDSP) 2015/16-2019/20**

The SDSP promotes equal opportunities and enjoyment of human rights for both men and women, provides for care and protection of vulnerable groups either by age, social class, location, disability, gender or disaster, ensure gender responsive policies, programmes. The elimination of

discrimination and inequalities against the vulnerable and marginalized groups is a priority area of action.

### **3.6 The Land Act 1998, the UWA Act, and National Environment Statute of 1995.**

These laws protect customary interests in land and traditional uses of forests by the vulnerable and marginalized people. However, restrictions are also provided for in regards ownership status and as well activities allowed in these areas by the government of Uganda. This therefore nullifies full customary land rights of indigenous peoples.

### **3.7 The Uganda National Culture Policy**

The Uganda National Culture Policy recognizes indigenous minorities that are marginalized; some of these are faced with loss of identity, which threatens their existence. Article 5.3 guarantees social inclusion of the marginalized groups including; some children, youth, women, the disabled, the elderly, people living with HIV/AIDS and indigenous minorities who are marginalized by some socio-cultural practices. The Policy interventions focus on affirmative action to ensure that these categories of people participate in and benefit from cultural life. In addition, Article 7 sub section 7.1 of the Uganda National Culture Policy emphasizes the development and promotion of cultural industries to promote the livelihoods of the marginalized, the poor, and the vulnerable. Cultural industries create employment opportunities and produce economic gains and incomes at all levels. These cultural industries further contribute to cultural development by protecting and enriching cultural values, promoting creativity, optimizing skills and human resources. In addition, they express and convey messages that foster understanding and peace. Cultural industries shall therefore be promoted, protected and developed.

### **3.8 International Laws and Treaties**

Over the last 20 years Indigenous Peoples' rights have been increasingly recognized through the adoption of international instruments and mechanisms, such as the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) in 2007, the establishment of the United Nations Permanent Forum on Indigenous Issues (UNPFII), the Expert Mechanism on the Rights of Indigenous Peoples (EMRIP), and the UN Special Rapporteur on the Rights of Indigenous Peoples (UNSR).

**The United Nations Declaration on the Rights of Indigenous Peoples:** Uganda is a signatory to the United Nations Declaration on the Rights of Indigenous Peoples which affirms the right of indigenous peoples to the full enjoyment of the rights guaranteed in the various UN human rights instruments. The Declaration also enumerates a number of rights guaranteed to indigenous peoples which include: "The right to self-determination, the right to autonomy or self-determination in matters relating to indigenous peoples' internal and local affairs, right to maintain distinct political, legal, economic, social and cultural institutions, right to nationality, right to live as distinct people and not to be subjected to genocide, right not to be forcibly removed from their lands or territories, right to revitalize and practice their culture, right to redress, including restitution of cultural, intellectual, religious and spiritual property taken without prior consent, religion and language related rights, right to education and to establish education institutions tutoring in indigenous languages among others" Therefore, IPs/VMGs have the right to determine and develop priorities and strategies for the development or use of their lands or territories and other resources. They also have a right to choose to either be involved in the project or reject it or to choose particular components that meet their interests.

### 3.9 Existing Institutional Frameworks

In addition to the above defined policies, there are a number of institutions and structures in Uganda within which the VMGF should be anchored and operationalized in the country. These institutions are mandated to deal with the issues relating to the vulnerable and marginalised groups in the country. These include;

- **The Ministry of Gender, Labour and Social Development (MoGLSD):** The Ministry is mandated to empower communities to harness their potential through cultural growth, skills development and labour productivity for sustainable and gender responsive development. It is responsible for preservation of culture and social protection. The MoGLSD will therefore, ensure promotion of gender equality, labour administration, social protection and transformation of VMG communities in the project areas.
- **Ministry in Charge of Karamoja Affairs:** The Ministry is mandated to monitor and address the unique problems and development challenges of the marginalized communities in Karamoja sub region. The Ministry will monitor project activities to address social issues, such as water scarcity, food insecurity, insecurity and poverty among the VMG communities (especially the Ik) in Karamoja region.
- **The Uganda Human Rights Commission (UHRC): UNHCR:** The Commission is mandated, amongst others, to investigate violations of human rights and to monitor government compliance with its human rights obligations detailed in the Constitution. In line with its mandate, the Commission will investigate and publish its findings with regard to the human rights violations of the VMGs in ECAAT project areas and make recommendations on how these could be addressed.
- **The Equal Opportunities Commission:** Established by Act of Parliament, the Commission has the Constitutional mandate to eliminate discrimination and inequalities against any individual or group of persons on grounds of sex, age, race, colour, ethnic origin, tribe, birth, creed or religion, and take affirmative action in favour of groups marginalized on the basis of gender, age, disability or any other reason created by history, tradition or custom for the purpose of redressing imbalances which exist against them; and to provide for other related matters. In line with its mandate, The Commission will monitor ECAAT project activities, hear and determine complaints by VMGs against any action, practice, usage, tradition, culture or custom which amounts to discrimination, marginalization or undermines equal opportunity.

## **4.0 APPROACH AND METHODOLOGY FOR VMGF PREPARATION**

A three-step approach was adopted to generate the required information for preparation of this Framework. These include;

### **4.1 Joint Technical Team Consultations**

Meetings were held between the consultants, the client (NARO) and World Bank staff to gain common understanding of the requirements under OP 4.10 and FPIC was clarified to the client and consultants and key documents identified. These included previously approved VMGFs for similar projects. It was agreed that consultations with VMGs were key and that the process would be carefully documented. In principle, it was recommended that recently approved VMGFs would be used to guide the development of the ECAAT project VMGF. The meeting also provided clarifications on the deliverables, timelines and need for exhaustive consultations participation of all key stakeholders during the assessment.

### **4.2 Document Review**

The existing baseline information and literature material was undertaken to gain an in-depth understanding of the proposed project. A review of the World Bank Policy on Indigenous People and other World Bank safeguards policies and IPPFs/VMGFs of other World Bank projects was conducted to understand the requirements and scope of the VMGF preparation. Relevant documents were reviewed including; the Constitution of the Republic of Uganda (1995) and other relevant laws and policies relating to VMGs. International instruments were also reviewed to understand the rights and recognition of IPs/VMGs. Other documents reviewed included; the Uganda Vision 2040, Uganda National Development Plan (NDP) II 2015/16 - 2019/20 and the Agriculture Sector Strategic Plan for Uganda (ASSP) 2016/17 to 2019/20, UBOS surveys and abstract reports.

### **4.3 Stakeholder Consultations**

Following the Joint Technical Team Consultation and undertaking literature review, key project stakeholders and target beneficiaries were identified and consulted to assess the impact of ECAAT projects on the VMG in their geographical area.

#### *Key Informant Interviews*

Key informant interviews were conducted with some selected NARO officials and district technical officers to collect their opinions about VMGs' current farming systems in their respective geographical areas including availability of land and water for production, priority crops and livestock, current production practices and access to extension services, improved varieties and markets. Key Informants interviewed included; DAOs, DVOs, CAOs, District Planners, DPOs, and DCDOs and NGOs. The key informants were purposively selected based on their positions and roles regarding agriculture and VMGs to ensure that they provided a more in-depth analysis of the issues as they were knowledgeable on the issues agriculture and VMGs. Through KI interviews useful data was collected on current gaps, challenges and recommendations regarding VMGs role, participation or non-participation in agriculture.





*Figure 1: Key Informant Interview with the Director of Research BugiZARDI, Dr. Lawrence Oweru*

#### *Meeting with NARO and other stakeholders*

The VMGF preparation process took advantage of NARO stakeholders workshop organised in Mukono, Colline Hotel that was attended by a cross section of scientists and experts from, Operation Wealth Creation (OWC), State House, NGOs and scientists from Zonal Agriculture Research Institutes. The Consultant shared issues of concern regarding the Vulnerable and Marginalized Groups and their participation in ECAAT-Project. VMG pertinent Issues were discussed by participants and feedback provided to feed into the VMG development process.

#### *Meetings with research scientists*

Field visits were conducted to Zonal Agricultural Research Institutes (ZARDIs) including Kachwekano Zonal Agricultural Research Institute (Kachwekano ZARDI) in Rubanda district and Buginyanya Zonal Agricultural Research Institute (BugiZARDI) in Bulambuli district to conduct consultative meetings with senior research scientists for cassava, beans, wheat and rice on a range of aspects ranging of agronomic practices in the area. In particular, the consultant sought for information on VMGs' current farming systems including availability of land and water for production, priority crops and livestock, current production practices and access to extension services, improved crop varieties and markets.

#### *Meetings with farmers*

The consultant held meetings with farmer groups in Rubanda and Kween districts, especially those who live close to the Zonal Agriculture Institutes and are receiving technical support from the institutes. The discussions centered on how the scientists access farmers lands, terms of usage of the lands, benefits farmers receive, intellectual property rights from research findings, sharing of crop harvests amongst others. The consultant sought for farmer's perception of the VMGs' current farming systems including challenges, opportunities and their potential role and participation in ECAAT project.





*Figure 2: Group of Benet Farmers consulted during the assessment in Benet Sub County, Kween District*

### *Community Dialogues with VMGs*

Field visits were conducted in the geographical areas of the Batwa and Benet to conduct community dialogues to generate data on current farming systems in the respective geographical VMGs areas, land issues, water for production, priority crops and livestock, current production practices, access to information, improved varieties, extension services and markets. The discussions focused on potential positive and negative impacts of the project, measures to enhancing positive impacts, and strategies to minimize or mitigate negative impacts. Among the Batwa, community dialogues were conducted in Kacherere Village, Bufundi Sub County, Rubanda District, while among the Benet, were conducted in Benet Sub County, Kween District.

### *Adoption of the FPIC approach*

The dialogues meetings adopted FPIC approach and were facilitated through brainstorming, Focus group discussions ensuring a broad participation of community members including; community leaders, clan leaders, traditional leaders, youth, women and lobby groups. During the dialogue meetings, VMGs were given an opportunity to discuss freely either directly or through their own freely chosen representatives without any manipulation, intimidation, coercion or incentives. Decision-making was all inclusive regardless of gender, age, ethnicity or other factors. As part of the discussions, the consultant ensured that accurate and concise information was provided in an appropriate language well understood by VMGs. Among the Batwa community the Agronomist in charge of Bufundi Sub County and also a resident of the neighbouring village and very conversant with local language provided the interpretation. The agronomist is very well accepted among the Batwa community.

In order to secure the Free, Prior and Informed Consent (FPIC) of the VMG communities, prior meetings were held with VMG communities ahead of the field visits to the identified communities. Prior meetings were organized by the District Production Officers in Rubanda district for the Batwa community and in Kween district for the Benet community. The purpose of these meetings was to obtain their consent for the proposed discussions; to know whether they would be available

to talk to the consultation team; and to understand in advance their unique social tastes and preferences when being consulted. This was an important process to inform the VMG community about the project and to directly hear their concerns and seek recommendations that could inform the discussions with consultant. The approach was intended to ensure that consultations are designed in such a way to be effective in helping the consultant to understand the VMGs specific concerns and needs in the project. The FPIC method was helpful in establishing constructive dialogues with the VMG communities to freely discuss with the consultants thus, helping to identify challenges and specific needs to their areas and make appropriate recommendations with unbiased participation or opinions.



*Figure 3: Community Dialogue with the Batwa Community facilitated in the local language by the Sub County Agronomist, Bujumbura Sub County, Rubanda District.*

#### *Field observations*

Field observations were carried out during the field visits to VMG communities help obtain some additional untold information e.g. state of infrastructure and facilities, cultural practices, means of livelihoods etc. to further understand farming systems and production practices among the Vulnerable and Marginalized Groups.

## 5.0 KEY ISSUES, POTENTIAL IMPACTS OF PROJECT ON VMGS

The 1995 Uganda's Constitution referred to 56 indigenous communities in Schedule 3. This schedule was recently amended to include other minorities which have sought to assert their right to identity increasing the official number of ethnic groups to 65.

Among the 65 ethnic groups, there are 3 ethnic groups in Uganda that have been identified as satisfying the World Bank's policy for the identification of Indigenous Peoples also referred to as Vulnerable and Marginalized Groups in Uganda. These include the traditional hunters and gatherers communities such as the *Batwa* also known as *Twa* in the West and the *IK* in Kaabong/Karamoja and the *Benet/Ndorobo* in the Mt. Elgon region. The Uganda 2011 State Report to UPR also identifies these communities as indigenous: "Uganda has indigenous communities who include the Batwa in the West; Benet in the Mt. Elgon region; the Tepeth and Ik in Karamoja"<sup>3</sup>. The common characteristics of the VMGs include; social exclusion, uncertainty of land and natural resource tenure system, deprivation from mainstream government services and lack of participation in development processes. Health and education indicators are much lower than those of the rest of the community, often due to difficult

### *The Batwa*

The Batwa are forest peoples spread all over the Great Lakes region and parts of Central Africa. In Uganda, the Batwa, who number around 6,200 (3,022 Male and 3,178 female), live primarily in the south-western region in the districts of Bundibugyo, Kisoro, Kanungu and Kabale. The Batwa have historically depended on the forest for hunting and fruit gathering as their main source of livelihood. They believe in getting free food and natural resources provided by nature. The Batwa in Uganda were dispossessed of their ancestral land when Bwindi and Mgahinga forests were gazetted as national parks in 1991. Subsequently, Batwa community remains landless and insecure with high levels of impoverishment and marginalization due to forced evictions and exclusions from their ancestral without compensation.

### *The Ik*

The Ik are believed to have been the first group of people to arrive in what later became Karamoja. According to the 2014 National Population and Housing Census, the Ik population is about 13,935 and live on the edge of the Karamoja/Turkana region along the Uganda/Kenya border. Having been displaced, when their land was converted into part of the Kidepo National Park, the Ik now live in several small villages. They are located in the mountainous parishes of Lokwalmoi, Kamion and Timu in Kaabong District, which are difficult to access due to poor roads, leaving them lacking basic services such as health and education. Their rituals and traditions are centered in the Timu forest which is steadily receding.

The Ik are marginalized and have largely been left out of decision-making processes both at the local and central government level. Equally, the security of the Ik peoples is at risk largely due to continued land wrangles, violent incidents of men being killed in the wilderness, women and girls being raped and children abducted are common in the area. In March 2016, for instance, four people were killed at Narukeny in Kamion Parish and over 89 head of cattle lost. The land tenure of the Ik remains insecure, 70 per cent of the Ik's land has been lost to conservation initiatives.

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<sup>3</sup>The International Work Group for Indigenous Affairs (IWGIA), 2017 Indigenous World Report

Furthermore, due to neighbouring pastoralists and agro-pastoralists encroaching on their land, the Ik continue to experience forced evictions and exclusions from ancestral lands without community consultation, consent, or adequate compensation.

#### *The Benet*

The Benet, who number a little more than 8,500, live in the north-eastern part of Uganda. They live in very remote and inaccessible parts on the slopes of Mountain Elgon and depend on the forest as hunter-gatherers and are excluded from mainstream society. These people have had a longstanding feud with the authorities over their ancestral land, which was declared a protected area in 1926 without their consent or compensation. In 2005, the High Court ordered the government to return the protected land to the Benet community. However, the ruling has to this day not yet been implemented. Whereas, the government of Uganda in 2015 had promised to seek an immediate solution by resettling the Benet people on alternative lands and allowed them to graze its livestock in the gazetted forest and beyond, up on the mountain, the Benet community are continuously being harassed, beaten and mistreated. The future of the Benet community remains insecure due to forced evictions and exclusions from their ancestral lands resulting in lack land for grazing their cattle which is their main source of live hood. They continue to suffer a lot of insecurity and live in fear, unsure of when their woes will end.

The social assessment identifies a number of issues that hinder farming among VMG communities. Majority of the VMGs are on temporary land which is inadequate to practice extensive farming as well as pastoralism. Current farming practices in the 3 communities of Batwa, Ik and Benet is rudimentary characterized by poor farming methods, mainly using manual labour force. The main crops grown for subsistence farming include; Irish Potatoes, cabbage, rice, and maize among others. Whereas, some VMG communities such as, the Ik and Benet would prefer to practice traditional livestock farming, this is not possible due to lack of land for grazing. Being hard to reach, VMG communities have limited access to information and extension services. They lack agriculture facilities and implements like irrigation water points, storage facilities, improved seedlings, pesticides and manure hence, soil fertility is poor resulting in low crop yield and constant famine among these communities. Equally, access to markets for local produce is a big challenge.

### **5.1. Key Issues and Concerns of VMGs**

There are a number of concerns currently affecting the Vulnerable and Marginalized Groups in Uganda. Their social economic systems tend to exist separately from that of the mainstream community, and they tend to have minimal or no interaction with the socio-economic and legal systems of national governments, as a result, they suffer from weak political representation and discrimination and negative stereotyping from mainstream society. The common characteristics of these groups include uncertainty of land and natural resource tenure, social exclusion, deprivation from mainstream government programmes and services and limited on non-participation in political and development processes.

The different categories of the Vulnerable and Marginalised Groups in Uganda have specific issues of concern affecting their communities that impact on agriculture. These issues have to be into consideration as part of ECAAT project implementation in order to enhance project benefits. These include among others:

#### ***The Batwa***



**Lack of Land:** Since 1991 when the Batwa in Uganda were dispossessed of their ancestral land for gazetted Bwindi and Mgahinga forests national parks, they have remained landless and insecure. The only available land inhabited by the Batwa is temporary land donated by NGOs like; the Adventist Development and Relief Agency (ADRA), Bwindi Mgahinga



Conservation Trust (BMCT) and African International Christian Ministry (AICM). On average each household occupies 2 plots, approximately 0.125 acres per household. Due to very small landholding the Batwa mainly practice rudimentary farming, they are unable to practice crop rotation and use manure, thus rendering their land infertile. The predominant crops cultivated by the Batwa include; Irish potatoes and cabbage. Because of the geographical terrain of the Batwa land, the community occasionally experiences landslides as a result of soil erosion due to heavy rains thus affecting their farming.



**Stigma and Discrimination:** There is a negative stereotyping of the Batwa. The Non-Batwa ethnic groups hold discriminatory views of the Batwa and they judge them as “*inferior*”, “*uncivilized*” and “*Primitive*” which stigmatizes them. Because of this negative stereotype, the Batwa are continuously humiliated, offended or degraded.

*“The Batwa are primitive, they don’t go to hospital, they are not interested in progress and they should be led by outsiders...”Member Kiizi Framers Group, Ikumba Sub County, Rubanda District*

Despite, the continued marginalization, Batwa are slowly changing their life patterns and are now being accepted among the other ethnic groups e.g. enrolling in neighbouring schools and attending community churches and serving as Church Wardens.

In view of the discriminatory view about the Batwa, ECAAT project design must ensure that the FPIC process is adhered to address stigma and discrimination among the Batwa and other VMGs to ensure that their rights are protected as enshrined in the Constitution of Uganda and they are allowed to freely and meaningfully participate and benefit from ECAAT project activities that are culturally sensitive to their needs. On the other hand, ECAAT project should take advantage of the positive behaviour changes among the Batwa to promote agriculture. For instance, Batwa Church Wardens should be used as “*change agents*” to mobilise the Batwa community for ECAAT project implementation and also serve as a link to the neighbouring non-Batwa communities.



**Deprivation of Government Services:** Batwa receive very limited support from government, they depend mainly on NGOs, donors and well-wishers for survival. They are excluded from most of the government development programs and services including agriculture health and education. For instance, most the Batwa community (over 95%) have not had any formal education. Only 2 Batwa men have attained University education and only one woman is currently attending University.

Although Rubanda District has tried to extend agricultural services to the Batwa by providing a fulltime sub county Agronomist to serve Bufundi Sub County, predominantly inhabited by the Batwa the district has not provided farm implements like seedlings, fertilizers and pesticides. Previous promises made by the district to support the Batwa have not been honoured.

*“We do not receive any support from the district, we do not have seedlings and our crops are destroyed by diseases but have no drugs. The district Councillor promised to support us but we have not received the support ....”Batwa Community Woman representative, Bufundi Sub County, Rubanda District.*

Whereas the district supports a number of Farmers’ Groups; none of these Farmers Groups include the Batwa. Equally, the Batwa do not receive support from Kacwenkano Zonal Agriculture Development Institute (KAZARDI) although they are located in the

Institute's catchment area. Whereas, KAZARDI carries out a number of field trials to improve farmers' yields and conducts farmers' trainings, none of these services have been conducted in Batwa area despite some previous requests made by the Batwa seeking for technical support from KAZARDI. Under ECAAT Project, a deliberate effort should be made to include the Batwa in project design and implementation. Accordingly, the district and KAZARDI should prioritize the Batwa community and work closely with them to ensure that they benefit from the various components of the project while ensuring that cultural interests are protected.

*"Here at the Institute we do not have any program targeting the Batwa, sometime back some Batwa men visited us and left behind their contact but unfortunately we did not follow up..." Scientist, Kacwenkano Zonal Agriculture Development Institute (KAZARDI), Rubanda District*

- ☞ **Commodities Preferred by the Batwa:** Unlike the Benet and the Ik, who prefer cattle keeping as well as potato growing, the Batwa prefer sheep and bee keeping as well as chicken rearing, because they consider cattle keeping and cultivation of potatoes labour intensive especially for the men, they believe in getting free food and natural resources provided by nature. Most of the potato and cabbage growing is done by women with minimal participation of men who prefer selling their labour, working on non-Batwa farms as Security Guards. ECAAT project has to come up with a strategy to mobilise and sensitive Batwa men on the benefits of farming and lure them into potato growing and other cereals like rice and wheat since they may not have adequate land for grazing sheep. In addition, the Batwa should be provided with the necessary farm implements as well as facilities to support agricultural initiatives in the community.

*"The government should support us with sheep and bee keeping. Our men are not interested in potato growing, that is the work of women..." Batwa Community Chairperson, Kacherere Village, Bufundi Sub County, Rubanda District*

- ☞ **Non Political Representation:** The Batwa are not represented at various levels of local government. They do participate effectively during elections; they are often manipulated using alcohol. Although they are sometimes invited to participate in some district meetings their views are never considered in decision making.

*"Batwa are not represented, the District Counsellor of Bufundi County is not known to the Batwa. Political leaders only appear during elections, they deceive our people with alcohol and they never come back..." Batwa Community Chairperson, Kacherere Village, Bufundi Sub County, Rubanda District*

Although the Batwa are not represented, they have their own local leadership that includes women. "Ngozi Group". The local Committee governs the Batwa community including conflict resolution without involving the district leadership or the police. ECAAT project should take advantage of this local community structure that could be oriented on project objectives and used for community mobilisation as well conflict resolution.

- ☞ **Poor Road Infrastructure:** Bufundi Sub County, the home for the Batwa is hard to reach due to the terrain and poor maintenance of feeder roads. This in turn affects agricultural extension services to the Batwa community as well as the marketing of the local produce. A few 4 wheel drive vehicles that access the community charge very high transport costs which quite prohibitive.

In order to ensure successful implementation of ECAAT project, government should consider opening up of new roads and provide regular preventive maintenance to improve access to the Batwa community.

Batwa community can be mobilised to participate effectively in ECAAT project implementation through their already existing community leadership structures “*Nguzi Group*” to spearhead agriculture activities as well as address grievances and conflicts associated with the project. However, there is need to gazette specific farmland for the Batwa and introduce affirmative action to promote inclusion and meaningful participation of the Batwa in Project Planning, implementation and monitoring at all levels. In addition, Batwa community should be made more accessible by opening up feeder roads to ease delivery of agricultural implements and project activity monitoring, as well as enhancing local market for agricultural produce.

### ***The Ik***

☞ **Inadequate land for Farming:** Ik community is a non-pastoral community who mainly depends on farming coupled by wild gathering and hunting. However, following eviction from the natural forests, their rituals and tradition e.g. bee keeping, collection of herbal medicine, wild gathering including hunting is slowly being eroded as a result of reduced territory of the Timu forest in which they resided in the past hence; greatly minimizing their center for rituals and traditions. The Ik are now predominantly agriculturalists and their life entirely depends on land cultivation using manual labor. The main crops cultivated by the Ik include; maize, Irish potatoes, sorghum and beans. However, they do not have adequate land for farming hence; they tend to concentrate on the same land every year without practising crop rotation or use of fertilizers thus resulting in very low crop yield. Ik communities experience water scarcity especially during the dry season resulting in a number of conflicts due to competition over the few available water sources/sheds with the neighbouring pastoral communities like the Dodoth and Turkana who are predominantly pastoralists and always require water and pasture.

While (70%) of the Ik's land was lost to conservation initiatives, the land crisis has been worsened by continued encroachment on their land by the neighbouring Karamojong communities of Dodoth ethnic group that has been threatening to chase the Ik out of it. The Ik also experience periodic drought which is one of the leading cause of famine every year in the area. However, despite these numerous challenges, the Ik hardly access agriculture extension services and implements. On a positive note, due to land scarcity and degradation, the Ik have developed interest in environmental conservation. In May 2016, the National Forest Authority–NFA together with National Environment Authority–NEMA established a Voluntary Group known as Timu Environment Conservation Group. This group has been moving around the Ik community to sensitize them on the importance of environmental conservation in relation to the current climate changes.

ECAAT project should also take advantage of the existing Timu Environment Conservation Group to mobilise and sensitise the community with the view to address the challenges of climate change and variability and manage the drought as well prevent continued degradation of the land. Early warning information should be made readily available, timely disseminated, and understood by the Ik community. The Group should be used to promote “CLIMATE SMART AGRICULTURE” in the context of ECAAT project agricultural transformation.



- ☞ **Insecurity and theft of food:** The Ik people, typically known to be a non-violent group of people are vulnerable to constant attacks especially from dominant pastoral groups, the Kenya Turkana warriors and the fellow Uganda Dodoth who came to rob food and animals leading to frequent famine. Although Ik land is rich for pasture, because of the continued insecurity, the Ik no longer keep livestock since it is a source of further insecurity from raiders. However, due to the love of their culture for cattle keeping, many Ik have ventured outside of their community and learned the language of surrounding tribes in order to herd cattle for other ethnic groups as a source of employment.

Insecurity in Ik area is likely to affect ECAAT project implementation hence; government should improve security in area to curb against constant attacks and theft of food by the neighbouring Turkana and Dodoth tribes. As part of ECAAT project implementation, there is also need to initiate conflict resolution and reconciliation programs across border to promote reconciliatory talks and dialogue meetings with the Turkana traditional and local leadership in order to enhance speedy resolution of conflicts as well as mitigate continued attacks and theft of food among the Ik community. With the improved security, the Ik community should be supported under ECAAT project to revive livestock farming which was otherwise their main source of livelihood in the past. Most important, this intervention will be culturally appropriate and therefore highly welcome by the Ik community.

- ☞ **Limited of Political Representation:** Until recently, the Ik have not been effectively represented at various levels of local government. This has for long denied them the opportunity participate in decision making and lobbying for government programs, thus denying them critical services like education, health and agriculture. However with the creation of the Ik Sub County in 2010 that was upgraded to a constituency in 2016, the Ik now have a Member of Parliament as well as an LC III Chairperson to effectively represent their view at the district and national level. Furthermore, the Ik have registered a Community Based Organization called “Ik Agenda Development Initiative-IADI to voice community issues of concern, to authorities at all levels. The CBO Advocates for people’s rights and responsibility as well as offering community policing.

- ☞ **Exclusion from Government services and Programs:** For a long time the Ik community have lived in isolation due to remoteness of their location that was inaccessible to local and central government as well as NGOs. The vital relief aid that has targeted the region has often not reached them. It is more directed to groups residing in the valley areas. For this reason, they have for long been neglected and excluded from national development programs. Although some services have now been initiated following IADI continuous advocacy for developmental programs such as, education, health, social protection and livelihoods, these services are still inadequate to cover the entire Ik community. For instance, so far there are only two government aided schools and five Health Center IIs for the 13,935 Ik population. Worse still, these facilities are poorly manned and poorly equipped and are several kilometers apart making them hard to reach by the targeted Ik population.

Government and Kween district local government should take cognisance of the continued exclusion of the Ik from government services and programs and ensure that they are included in the ECAAT project. The project should take advantage of the improved political climate and empowerment of the Ik community. The newly elected Ik Member of Parliament and other local government leaders should be meaningfully engaged to affectively mobilise and advocate for participation of the Ik in ECAAT project ensuring that planned project activities benefit them and are culturally sensitive to the needs of the people.

- ☞ **Poor Road Infrastructure:** Ik land has the poorest roads in Karamoja Sub region making the community inaccessible to agriculture extension services as well as access to external markets.

Maintenance of the main roads and opening up of feeder roads in the Ik community should be a pre-requisite to ECAAT project implementation, if the Ik community is to benefit from the project. The governance should prioritize road infrastructure development as part of its support to ECAAT project.

### ***The Benet***

- ☞ **Lack of Land:** The majority of Benet people referred to as the “*Terient*” about (5,000 – 6,000) are the most marginalized and are living in the 2 camps of “Kisangani” and “Rwanda” on temporal settlement provided by government. These are mainly involved in cattle keeping and Bee keeping as their main source of livelihood. Benet land is communal with an average land holding of approximately 1.5 acres per household; although some few of the Benet occupy about 3 acres of customary land. Although Benet practice both farming and pastoralism, due to lack of land for grazing, majority are involved in Irish Potato and cabbage growing mainly using manual labor and practicing poor farming methods. Due to continued illegal tree cutting in the area, Benet land has suffered degradation resulting in prolonged droughts

Since Benet people live on temporal settlement with limited farming land, they do not have enough land for infrastructure expansion and provision of facilities such as water sources/sheds. It is therefore, critical for government to acquire and allocate land to the Benet for agricultural improvement under ECAAT project. Extension services should be enhanced to offer training in improved farming techniques such as rows, spacing, and priming in order to increase yields. In light of the continued degradation of Benet land, ECAAT project should initiate programs for sensitising Benet community to address challenges of climate change and variability to prevent land degradation in the area. Early warning information should be readily available, timely disseminated, and understood by the local community. In addition, the project should consider introducing drought tolerant crop varieties to address famine problems associated with drought.

- ☞ **Insecurity and Cattle Rustling:** Benet suffer continued rustling raids of the Karimojong and Kenyan Pokots, they are also continuously being harassed and beaten by the Wild Life Authority thus affecting their grazing patterns and livelihood. In fact, some of them are killed in this process. Two Benet people were reported killed in January 2018, a week preceding consultations for the VMGF in Kween District. Furthermore, during the months of September and November 2016, two Benet people were shot dead in Bukwo district while grazing their cattle on the moorlands in the park though permission had been granted to them prior to the elections

- ☞ **Cultural Erosion:** Due to the restricted use of the natural forests, Benet’s rituals and traditions of hunting and gathering of fruits and medicinal herbs for their livelihood are being eroded and as result they experience frequent famine. However, the change in culture has had some positive impact like adoption of health seeking behaviour including abolition of FGM in some clusters of the Benet. In support of some of these cultural changes, NGOs like Action Aid is helping to put up health centres to serve the Benet community.

ECAAT project should take advantage of these positive changes and integrate the work of Action Aid in the project with the view to promote nutrition services using the established

health centres as nutrition information outlets.



**Lack of agricultural facilities and Implements:** Benet people have adopted subsistence farming as a means of livelihood mainly focussing on Irish Potatoes, cabbage and maize growing although the preferred crops are wheat and barley. However they still lack facilities and implements like seed varieties, pesticides and other facilities such as; water irrigation points for crops and animals, stores as well market for their local produce. In an effort to promote agriculture among the Benet, Buginyanya Zonal Agriculture Institute (BugiZARDI) and the Kween District have provided support in form of training in potato and apple growing as well potato seedlings multiplication on small plots of land and storage. Some prospective farmers have received different varieties of Banana suckers which are doing well. Unlike the Batwa men who are less involved in farming, Benet men are more involved in farming than women.

*“We are trying to work very hard to produce food, but we lack support from the district, our crops are destroyed because we do not have pesticides, extension workers also rarely visit us....” Member, Benet Lobby Farmers Association, Benet Sub County, Kween District*

Benet have also acquired Irish Potato Storage facility with the help of the JICA Programme, however it inadequate due to the increased demand for storage (see Figure 1).

In order to enhance project benefits, there is need to mobilise women groups to participate more in farming in order to benefit from ECAAT project. The project should promote Wheat and Barley varieties which is the most preferred type of crops in the area. In addition, the project should consider introducing or expanding the existing facilities including storage facilities, irrigation points as well as introducing other crops varieties like rice and wheat which grow in the area. Provision of storage facilities will help to reduce post-harvest losses due to pests; it will also allow Benet farmers to sell agricultural products later when prices are higher.

Figure 4: Irish Potato Storage Facility in Benet County, funded by European Union through RTB- ENDURE project



**Slow Adoption to new Technologies:** Although the Benet people are eager to use new technologies, they are very slow in adapting to these technologies. This is further exacerbated

by lack of extension services in the community.

Under ECAAT project there is a need to engage more extension workers as well as establish farmer field schools to offer continuous mentoring and coaching on the new technologies. In addition, ECAAT project should organise exposure visits to other VMGs like the Batwa and Ik to provide an opportunity for interaction and mutual learning and possible replication of good practices and other local copying mechanisms that promote farming among VMGs.



**Poor Road Infrastructure:** Benet community is a hard to reach due to poor road infrastructure. The first public road to the Benet community was introduced recently, only 10 years ago. The roads are not motorable to ordinary vehicles, only 4 Wheel Drive vehicles can reach the Benet community. The poor road network affects agricultural extension services to the community as well as marketing of the local produce.

As part of the infrastructure development and facilities expansion, ECAAT project should prioritize opening up and maintenance of roads in the area to improve access; this could be done through co-funding arrangement with the government or the district. Government has already provided road equipment and trained teams to make Arch bridges which are user friendly for the terrain in Benet land.



**Lack of access to political space:** Due to continued marginalization, exacerbated by low literacy levels, the Benet people are not able to access political space in the country. Their representation at the various levels of local government remains very low. After serious lobbying with government and the district the Benet people were granted a sub county in 2010 after. Following the creation of the Benet sub county, Benet people are now represented at LC III Council but still with no political representation at the LC V district level.

*“Benet people have been marginalised for a very long time, we are not represented at the district and our views are never considered in decision making. For instance, it took us more than 50 years to get a Benet sub county which was only granted in 2010.....” Benet Community Leader, Benet Sub County, Kween District*

Because of low political representation, the Benet people tend to miss out on government services like education, health and roads which tend be highly politicised in local governments. Action Aid has supported Benet in advocating and lobbying government for political space as well as permission to graze their cows in the gazetted forest. A **“Benet Advocacy Group”** has been established and trained by Action Aid to spearhead advocacy activities among the Benet. ECAAT project should take advantage of this Group to mobilise and sensitise Benet community for project implementation.



**Marginalization of the Youth:** Whereas the youth participate actively in farming and grazing of cattle, they do not benefit from the proceeds. According to the Benet culture youth are not supposed to own property.

*“Here in Benet community, the youth work very hard in farming but according to the culture they do not own property and therefore do not benefit from the sales of the local produce .....” Benet Community Leader, Benet Sub County, Kween District*

In order to address continued marginalisation of the youth among the Benet and ensure that they benefit from ECAAT project, there is a need to make a deliberate effort to target them. For example, “Youth Farmers Groups” should be initiated and supported with the necessary technologies and implements. Since this likely to disrupt the social cultural settings, it should be done in consultation with local community leadership for concurrence and

sustainability.

## 5.2 Key Stakeholder Issues and Concerns from the consultation meetings

Below is a summary of some key issues and concerns arising from the discussions with the different project stakeholders.

- ☞ Due to their nature of isolation and continued marginalization, VMG communities may be extremely difficult to involve in ECAAT project implementation. In order for them to fully participate in the project, they need to be effectively mobilized and sensitized, through their local structures and systems.
- ☞ Since VMGs have historically suffered land grabbing, any land acquired for project development under ECAAT Project among VMG project areas should be compensated for in line with the Resettlement Policy Framework (RPF)
- ☞ Since VMGs have no tenure of the land where they have been resettled, government should consider giving them titles.
- ☞ The roads in VMG areas are impassable, so it is difficult for them to access services under ECAAT project. It may be difficult to undertake mechanisation due to challenges in transportation of equipment and machines to VMG project areas to construct water sources, storage facilities etc.;
- ☞ Women, youth and other vulnerable populations tend to be left out in government programs and projects. Special measures to include women, youth and other vulnerable groups in the communities should be taken to ensure that they are included in ECAAT Project;
- ☞ Majority of stakeholders do not possess the necessary social development expertise to work with VMGs. There is need for capacity building to empower project stakeholders with appropriate knowledge and skills to work with VMGs. On the other hand, experienced CBOs and NGOs that are acceptable to VMG should be effectively utilized in ECAAT project implementation;
- ☞ Conflicts especially among the Ik and Benet tend to arise during the dry season due to competition between those who want to use the water for their animals and those who want it for human consumption;
- ☞ Whereas the technical services provided by the Zonal Agricultural Institutes is highly appreciated by Farmer's groups, especially improved and drought resistant crops and pesticides to address emerging diseases, these services are not being accessed by VMG communities especially the Batwa and the Ik;
- ☞ Despite the growing problems of pests becoming resistant to pesticides mainly due to adulteration, poor storage and lack or failure to give correct dosage VMG communities lack information on about this new trend of pests and diseases;
- ☞ Issues of climate change and variability due to continued land degradation in VMG area has resulted in landslides and prolonged droughts thus affecting crop production and

household food security. This has resulted in persistent famine among VMG communities. Under ECAAT project appropriate remedial measures should be put in place and VMGs mobilized and sensitized about climate change adverse effects and how to prevent them.

### 5.3 Potential Project Impacts on VMGs

ECAAT project activities will have both positive and negative impacts on the VMG communities. However, it should be noted that minimal, if any, negative impacts are anticipated as a result of the project. Most of the impacts anticipated will be positive for all communities, including for VMGs. NARO and other project stakeholders are committed to ensure that negative impacts are mitigated or minimised, while the positive impacts will be augmented through appropriate safeguard measures as outlined in the VMGF in order to enhance the project impact.

During ECAAT project implementation, NARO in consultation with the VMG and other project stakeholders will through the FPIC process carefully screen activities of all ECAAT subprojects for a preliminary understanding of the nature and magnitude of potential impacts, and explore alternatives to avoid or minimize any adverse impacts as outlined in the VMGF. All relevant project stakeholders including; VMG community elders/leaders, local government leaders, civil society organizations and other partners who have experience working with VMGs and other vulnerable groups will be consulted in this process. If the sub-project has likely adverse impacts on the VMGs, a VMGP will then be prepared to guide implementation of project activities.

#### 5.3.1 Potential Beneficial Impacts

In the context of ECAAT Project, the VMGs in the project areas are likely to receive long term project benefits including;

- (viii) Access to agricultural equipment, technology and infrastructure to enhance production
- (ix) Improved farming methods through improved technologies will enhance food production base and their ability to grow enough food to feed their families as well as improved nutrition through variety of crops (cereals, pulses, vegetables, and fruits)
- (x) Improved feeder roads and foot bridges that will link them with market sites
- (xi) Enhanced business management skills to enable them better manage and market their agricultural products
- (xii) Increased access to external markets will improve income from their agricultural produce leading to increased household income and improved livelihood
- (xiii) Improve knowledge, communication and instruction with other ethnic groups as a result of project interactions, which is necessary for participation in development initiatives
- (xiv) Adoption of longer sustainable means of livelihood through modern crop cultivation thus, changing from the culture and livelihood style of fruit gathering and hunting which is not sustainable.

#### 5.3.2 Potential Adverse Impacts

The main social risk is that of exclusion of the VMGs from the project. Other Social risks envisioned in the implementation process include:

- (viii) Propagation of conflicts among VMGs due to adoption of more TIMPs that are likely to change land use thus affecting VMGs communities especially.
- (ix) Social disruption of the VMG communities due to the introduction of new innovations and technologies that may change natural resource use practices and access. This may lead to conflicts within and between neighbouring communities and other stakeholders.



- (x) VMGs might be excluded because of low literacy levels, low capital base, language barrier and other cultural barriers that may exclude especially the women and youth from decision making processes.
- (xi) Creation of dependency among VMG communities for hand-outs as a result of free seed distribution and other facilities. This has the risk of affecting self-help and sustenance among the VMG community.
- (xii) Propagation of conflicts with the neighbouring communities as a result of inequitable provision and distribution of new facilities among VMGs e.g. water sources/sheds, storage facilities etc. leading competition and conflicts over the new project facilities
- (xiii) Improved knowledge, business skills and management might disrupt the socio-cultural fabric leading to inequality aspects like gender and inter-generational disparities among VMG communities leading to internal conflicts

Tables below 5.3A – 5.3C summarise the potential positive and the likely negative impacts of the project under the different project components.

## Component 1: Supporting work on Regional Commodity Programs

Table 5.3A: Summary of Project Impacts Analysis on VMGs

Project Activities	Positive Impacts	Negative Impacts
Advancing innovations and solutions along the VCs, including post-harvest management, food safety, and development of food products	<ul style="list-style-type: none"> <li>Enhanced technology of production along the entire commodity value chains, including providing farmers with access to technical knowledge and improved farming methods</li> <li>Reduced post-harvest storage losses especially for the grains, minimised wastage and improved food safety</li> <li>Increased income base by extending production base to processing and marketing through value addition</li> </ul>	<ul style="list-style-type: none"> <li>New innovations may change natural resource use practices and access leading to social disruption of the VMG communities as well as conflicts within and between neighbouring communities and other stakeholders</li> <li>Slow technology adoption by the VMGs as a result of current traditional culture of hunting, gathering and pastoralism as well as low literacy levels. This might affect ECAAT Project Cycle.</li> <li>Resistance due to fear of losing their indigenous livelihoods and practices.</li> </ul>
Establishing strong linkages with the private sector, especially agribusinesses involved in both input and outputs markets for food commodities and products	<ul style="list-style-type: none"> <li>Strong linkages with the private sector with the private sector will unveil opportunities for VMGs to participate in agribusiness ventures</li> <li>Increased access to external markets leading to increased income from their agricultural produce</li> </ul>	<ul style="list-style-type: none"> <li>Low incentive to venture in demanding commodity value chain investments due to traditional reliance on nature e.g. hunting, gathering, pastoralism.</li> <li>VMGs tend to be located in rural, isolated hard to reach areas with poor road access. Issues like remote locations with poor road connectivity, long distances and transport costs might discourage the private sector establishing linkages with them.</li> <li>Due to low literacy levels, VMGs are likely to be manipulated by the private sector and will therefore not benefit from these linkages.</li> </ul>
Building capacity for information, communication	<ul style="list-style-type: none"> <li>Improved knowledge, communication and instruction with other ethnic groups which is necessary for participation in development initiatives</li> </ul>	<ul style="list-style-type: none"> <li>VMG might be excluded because of language barrier, given their very low literacy levels.</li> </ul>

Project Activities	Positive Impacts	Negative Impacts
and knowledge management for development.	<ul style="list-style-type: none"> <li>Enhanced ability to handle and manage conflicts</li> </ul>	<ul style="list-style-type: none"> <li>Cultural barriers that may exclude women and youth from decision making processes</li> <li>Improved knowledge might cause disruption of socio-cultural fabric leading to inequality including gender and inter-generational disparities among the VMG community. This could result into internal disharmony including GBV and social conflicts.</li> </ul>
Organizing farmers into producer organizations, and linking them to markets	<ul style="list-style-type: none"> <li>VMGs will be provided with an opportunity to partner with other ethnic groups in their neighbourhood that they require to optimize their development opportunities</li> <li>Enhanced participation in decision making processes</li> <li>Increased access to external markets</li> </ul>	<ul style="list-style-type: none"> <li>Lack of local institutional frameworks like Village Savings and Livelihood Associations (VSLAs) and low capital base might limit participation of VMGs in producer organisations.</li> <li>Resistance by VMG to federate within the producer organisations from dominant societies.</li> <li>Local governments and other development partners have limited capacity and expertise working with VMG and thus might opt to concentrate on other dominant communities</li> <li>Organizing farmers into producer organizations might lead to creation of new institutional structures among the VMGs which might cause social disruption and conflicts with other farmers groups</li> </ul>
Establishing breeding programs for crops and animals that are more resilient to climate, weather, and diseases and demand less feed and water	<ul style="list-style-type: none"> <li>Skills will enhance their ability to grow enough food to feed their families</li> <li>Reduced crop failure, early maturing, drought resistant crops leading to</li> </ul>	<ul style="list-style-type: none"> <li>Seed distribution has the risk of creating dependency among communities for hand-outs thus affecting self-help and sustenance among the community. Free distribution creates high expectations among recipients that the project will continue to provide seeds year in year out</li> </ul>

Project Activities	Positive Impacts	Negative Impacts
resources like the dairy goat are attractive options	<p>increased farm produce, reduced famine and increased household income</p> <ul style="list-style-type: none"> <li>Improved nutrition through variety of crops (cereals, pulses, vegetables, and fruits)</li> </ul>	<ul style="list-style-type: none"> <li>Poor crop performance when seeds distributed do not fit local contexts or do not reflect farmer variety preferences. This might discourage VMG farmers who might be newly introduced new seed varieties</li> </ul>
Educate farmers on nutritional value of food, the benefits of these nutrients, how to prepare local recipes from these foods without losing the nutrition value, food safety hazards at different stages (on-farm, harvesting, storage, prepared meals) and safe preservation of prepared meals	<ul style="list-style-type: none"> <li>Enhanced nutrition through improved knowledge in prepare local recipes from these foods without losing the nutrition value</li> <li>Improved food safety and reduced food poisoning</li> </ul>	<ul style="list-style-type: none"> <li>VMGs might be reluctant to participate due their nature of their feeding habits</li> <li>Language barriers in utilizing nutritional education</li> </ul>

## Component 2: Agriculture Education, Skills Development, and Service Delivery

**Table 5.3B: Summary of Project Impacts Analysis on VMGs**

Project Activities	Positive Impacts	Negative Impacts
Offer targeted student services (e.g. career development centers, mentorship programs) by providing relevant and quality education and developing skills	<ul style="list-style-type: none"> <li>Students from the Project area will benefit from relevant and quality education to support the VMG communities</li> </ul>	<ul style="list-style-type: none"> <li>Students from VMG communities will not benefit from this program due to low literacy levels among VMG communities</li> </ul>

that encourage innovation, entrepreneurship, and problem solving		<ul style="list-style-type: none"> <li>• Trained students may not be motivated to work in the project area inhabited by VMGs</li> </ul>
Offer more training opportunities for teaching and extension staff to update technical knowledge and pedagogy skills.	VMGs will benefit from the improved skills of extension to realise better farming methods and food production to feed their communities	Due to poor understanding and appreciation of the VMGs, extension staff may opt to concentrate on other dominant communities leaving out VMGs
Provision/expansion of the existing infrastructure and facilities	<ul style="list-style-type: none"> <li>• Access to improved equipment and infrastructure will enhance production</li> <li>• Good and accessible feeder roads and foot bridge that will link VMG production site with market sites</li> </ul>	<ul style="list-style-type: none"> <li>• Land use is likely to be changed due to adoption of more TIMPs. VMGs and especially Ikpastoralists are likely to lose grazing grounds for their livestock through upgrade of infrastructure e.g. irrigation systems and this may lead to resource use conflicts</li> <li>• Infrastructure development might require land acquisition which might cause displacement of VMGs or limit their participation since they have no land</li> <li>• Limited community involvement, hence lack of community ownership for the new/rehabilitated facilities. Expensive infrastructure investments completed without local community input and ownership face a risk of abandonment, poor use and maintenance and sustainability.</li> <li>• Provision of new facilities like water sources/sheds might result in conflicts due to competition over the new facilities especially among the Ik communities; with the neighbouring pastoral communities like the Dodoth and Turkana who</li> </ul>

		<p>predominantly pastoralists and require water and pasture all the time</p> <ul style="list-style-type: none"> <li>• There is a likelihood of increase of infectious diseases like STDs and HIV/AIDS due to increased interactions and social mixing of communitiesutilizing the new facilities</li> <li>• Rehabilitation of the existing infrastructure and facilities is likely to disrupt routine activities which might in turn affect the livelihoods of the VMGs</li> <li>• Infrastructure development tends to be highly politicised. This might disadvantage VMGs who may not benefit from the new facilities, since they have no political influence</li> </ul>
Joint review of the relevance of curriculum and training programs	<ul style="list-style-type: none"> <li>• VMGs will be consulted during the review process</li> <li>• The revised curriculum and training programs will integrate specific needs and skills requirements for VMGs</li> </ul>	VMGs may not be consulted and issues pertinent to them might be omitted in revisedcurriculum/training programs
Development of farm management and business development plans, including trainings on marketing, business, accounting, and financial management	<ul style="list-style-type: none"> <li>• This will provide an opportunity for VMGs to learn modern crop cultivation practices and enhance their ability to grow enough food to feed their families.</li> <li>• Influence in changing of VMG culture and livelihood style from fruit gathering and hunting which is no longer sustainable means of livelihood to modern crop cultivation.</li> <li>• Enhanced business management skills</li> </ul>	<ul style="list-style-type: none"> <li>• VMGs may not benefit from the program due to complexity of curriculum and training materials given their low literacy levels</li> <li>• Language barriers in utilizing marketing skills</li> <li>• Reluctance of VMGs to participate in training due to the nature of their lifestyle and livelihood e.g. pastoralism</li> </ul>



	<ul style="list-style-type: none"> <li>• VMGs will be knowledgeable and empowered to lobby and negotiate for better prices</li> </ul>	
Developing ICT-based platforms for agricultural advisory services (e.g. mobile apps, e-marketing services, e-extension, pest and disease control, nutrition awareness, etc.)	<ul style="list-style-type: none"> <li>• Information dissemination and feedback will be improved at community level</li> <li>• Improved monitoring and reporting for ECAAT project activities</li> </ul>	<ul style="list-style-type: none"> <li>• VMGs may not benefit from this intervention due to lack of mobile phones and other ICT facilities</li> <li>• VMGs may be reluctant to use mobile phones and other ICT facilities</li> </ul>
Strengthening leadership and governance capacity	Enhancing capacity for leadership and governance especially at community will greatly improve conflict resolution as well as Grievance Redress Mechanism	Enhanced leadership and governance might disrupt the socio-cultural fabric leading to inequality aspects like gender and inter-generational disparities VMG communities leading to complaints and conflicts

### Component 3: Supporting Enabling Policies and Agricultural Markets

Table 5.3C: Summary of Project Impacts Analysis on VMGs

Project Activities	Positive Impacts	Negative Impacts
Participatory identification of new policies for harmonization	<ul style="list-style-type: none"> <li>• VMGs will be consulted during the policy review process</li> <li>• Harmonised policies will prioritize VMGs</li> </ul>	<ul style="list-style-type: none"> <li>• VMGs may not be consulted and issues Pertinent to them might be omitted in the harmonised policies</li> <li>• Due to low literacy levels VMGs may not effectively participate in the policy review process</li> </ul>
Provide agribusiness incubation grants to help farmers access markets	<ul style="list-style-type: none"> <li>• Improved packaging of local products for marketing</li> <li>• Increased income base by extending production base to processing and marketing through value addition</li> </ul>	<ul style="list-style-type: none"> <li>• VMGs may not access the grants for failure to meet the conditions/ requirements for grant approvals</li> <li>• VMGs might be reluctant to participate since this initiative might be demanding on their part. VMGs especially the Batwa often associate intensive labor to members of dominant societies</li> </ul>
Develop WRS system whereby a producer, trader or processor deposits grains into a registered warehouse and the warehouse operator issues a warehouse receipt stipulating the quality, quantity, type of commodity,	<ul style="list-style-type: none"> <li>• Improved commodity grades and standards</li> <li>• Competitive price fixing platform on a commodity exchange</li> <li>• Enhancing market efficiency and mitigating price risks</li> </ul>	<ul style="list-style-type: none"> <li>• VMGs may fail to participate due low capital base. They may not afford to wait for better prices on market</li> <li>• Due to low literacy levels VMGs might be manipulated by the powerful producers, traders and processors participating in the WRS</li> <li>• Since producers and traders have limited knowledge and expertise working with VMGs they may opt to</li> </ul>

date deposited, and name of depositor		work with the other dominant communities leaving out VMGs
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## 5.4 Proposed Mitigation Measures

To avoid or minimize adverse impacts and, at the same time, ensure enhancement of benefits and full participation of the Vulnerable and Marginalized Groups, several measures shall be instituted including;

- The ECAAT project will ensure that all project design frameworks and consecutive processes and activities are disclosed in culturally appropriate and accessible manner using FPI-Consultation guidelines stipulated in this document;
- Ensuring that VMGs and their organizations are fully incorporated in selection, design, and implementation process;
- Ensuring coordinated attempt to equitably distribute project services
- ECAAT project to undertake specific impact assessments of proposed project on the economic and social development of VMGs and dominant communities.
- ECAAT project in collaboration with the identified VMGs should screen all subprojects for potential impacts.
- The project management should ensure outreach activities to VMGs to raise awareness on the importance of agriculture for improved livelihoods and economic development

Tables below 5.4A – 5.4C summarise the proposed mitigation measures under the different project components.

## Component 1: Supporting work on Regional Commodity Programs

Table 5.4A: Proposed Mitigation Measures

Project Activities	Negative Impacts	Mitigation Measures
Advancing innovations and solutions along the VCs, including post-harvest management, food safety, and development of food products	<ul style="list-style-type: none"> <li>New innovations/technologies may change natural resource use practices and access leading to social disruption of the VMG communities as well as conflicts within and between neighbouring communities and other stakeholders</li> </ul>	<p>The mitigation measures related to this negative impact area are categorised with respect to (i) change in natural resource use practices and access, (ii) Social disruptions, and (iii) conflicts</p> <ol style="list-style-type: none"> <li>Sensitise all stakeholders including the VMGs and neighbouring communities to appreciate the project</li> <li>Involve all people who derive a livelihood (including neighbouring communities) from the natural resources including: women, local leaders, herbalist and craftsmen in the selection of sites for project interventions including field demonstration sites. <ul style="list-style-type: none"> <li>Avoid placing demonstration sites on land that has or is considered by the VMGs as high value for traditional reasons, or natural resource conservation including local herbs or other social and cultural materials.</li> <li>Through verification with local leaders and communities, the project will ensure that land with pre-existing conflicts is avoided for demonstrations.</li> </ul> </li> <li>Facilitate dialogue among VMGs and neighbouring communities to ensure the boundaries of the land identified for project activities are clear and free from conflict (land conflicts tend to escalate when economic activities increase)</li> <li>Strengthen existing conflict resolution structures through training and sensitisation on grievance</li> </ol>

	<ul style="list-style-type: none"> <li>• Slow technology adoption by the VMGs as a result of current traditional culture of hunting, gathering and pastoralism as well as low literacy levels. This might affect ECAAT Project Cycle.</li> <li>• Resistance due to fear of losing their indigenous livelihoods and practices.</li> </ul>	<p>redress (i.e. Elders traditional structures e.g. Ngonzi Among the Batwa)</p> <ul style="list-style-type: none"> <li>v. Use already successful farmers (modal farmers) to educate the community on the value of technological innovations being introduced. This may include some community members visiting successful farmers who have used new technology in other parts of Uganda.</li> <li>vi. Mobilise exiting institutions (NGOs/FBOs) to educate the community on the project.</li> </ul> <p>VMGs should access functional adult literacy education and services to enable them gradually understand available agro-related information and technologies and help them adapt to new technologies as well as appreciate agriculture as worthwhile source of livelihood.</p> <ul style="list-style-type: none"> <li>• Identification of early adopters to manage the demonstrations as contact farmers among the VMGs</li> </ul>
Establishing strong linkages with the private sector, especially agribusinesses involved in both input and outputs markets for food commodities and products	<ul style="list-style-type: none"> <li>• Low incentive to venture in demanding commodity value chain investments due to traditional reliance on nature e.g. hunting, gathering, pastoralism.</li> <li>• VMGs tend to be located in rural, isolated hard to reach areas with poor road access. Issues like remote locations with poor road connectivity, long distances and transport costs might discourage</li> </ul>	<ul style="list-style-type: none"> <li>• Comprehensive appraisal should be carried out among VMGs to prepare them for agribusiness of their choice.</li> <li>• Agribusiness development process should be conducted in a phased manner to allow VMGs slowly integrate with external private sector partners</li> <li>• The private sector must be lobbied and facilitated to include VMGs in their agribusiness linkage program</li> <li>• Private Sector should work through already existing NGOs trusted by VMGs to enhance their engagement with private sector entities.</li> </ul>



	<p>the private sector establishing linkages with them.</p> <ul style="list-style-type: none"> <li>• Due to low literacy levels, VMGs are likely to be manipulated by the private sector and will therefore not benefit from these linkages.</li> </ul>	
Building capacity for information, communication and knowledge management for development.	<ul style="list-style-type: none"> <li>• VMG might be excluded because of language barrier, given their very low literacy levels.</li> <li>• Cultural barriers that may exclude women and youth from decision making processes</li> </ul>	<ul style="list-style-type: none"> <li>• Working through existing NGOs can help overcome language barriers including designated district officials from neighbouring villages who can speak the language or are from the VMG community.</li> </ul>
Building capacity of the VMGs to avoid social disruptions including GBV concerns in communities	<ul style="list-style-type: none"> <li>• Improved knowledge might cause disruption of socio-cultural fabric leading to inequality including gender and inter-generational disparities among the VMG community. This could result into internal disharmony including GBV and social conflicts.</li> </ul>	<p>To address this an NGO will be contracted to roll out the GBV prevention and response program tailored to the project. The activities include but not limited to the following:</p> <ul style="list-style-type: none"> <li>• Conduct an assessment to identify risk factors and drivers of GBV and whether the project is likely to contribute to GBV and existing structures handling GBV in the community (traditional and formal)</li> <li>• Identify GBV mitigation strategies for land, harvest and marketing seasons. GBV could spike due to competition for scare or increased resources</li> <li>• Integration of GBV into training/farm oriented activities</li> <li>• Engage men as allies in GBV prevention and response including champions for women's economic advancement –preventing resistance and backlash to women's participation and economic empowerment</li> </ul>

		<ul style="list-style-type: none"> <li>• Building relationships at household level based on cooperation and joint decision making at household and working places</li> <li>• Ensure existence and implementation of sexual harassment policies by all contractors to enhance safety of women and girls including codes of conduct of workers and their enforcement</li> <li>• Based on the gender divisions of labour, target labour reducing technology to aspects of the value chain that contribute to drudgery and getting children particularly girls out of school and provide farm labour</li> <li>• Ensure existence of survivor centered response services which include emergency health care, counselling and psychosocial support</li> <li>• Promoting women's decision making on land use, use of affirmative action under ECAAT e.g. prioritizing jointly owned and female owned farms/land for project activities and enterprises.</li> <li>• Educating the VMGs farming communities about the importance of joint ownership of productive resources such as land. Identifying farmer role models within the community to act as agents of change.</li> <li>• Promote household and family farm approaches.</li> <li>• Elevate women and girls as leader's and agents of change in project programming and policy. Deliberately targets need to be agreed for women's participation in leadership and decision-making in project activities.</li> <li>• Enhance women's physical safety during all project activities from production to marketing and use of resources from farm sales. Safety will be critical at all levels. On farm, during training activities, transportation of commodities, at value addition points and market spaces</li> </ul>
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		<ul style="list-style-type: none"> <li>• Creating spaces for women voices –building women’s farmer capacity for bargaining and negotiated</li> </ul>
Organizing farmers into producer organizations, and linking them to markets	<ul style="list-style-type: none"> <li>• Lack of local institutional frameworks like Village Savings and Livelihood Associations (VSLAs) and low capital base might limit participation of VMGs in producer organisations.</li> <li>• Resistance by VMG to federate within the producer organisations from dominant societies.</li> <li>• Local governments and other development partners have limited capacity and expertise working with VMG and thus might opt to concentrate on other dominant communities</li> <li>• Organizing farmers into producer organizations might lead to creation of of newinstitutional structures among the VMGs which might cause social disruption and conflicts with other farmers groups</li> </ul>	<ul style="list-style-type: none"> <li>• Consider exemption of VMGs from mandatory contributions or do so in kind, since they have low incomes</li> <li>• Use existing culturally accepted local leadership structures other than introducing new project based structures</li> <li>• Empower local governments and other development partners with social development expertise to work with VMG communities</li> </ul>
Establishing breeding programs for crops and animals that are more resilient to climate, weather, and diseases and demand less feed and water	<ul style="list-style-type: none"> <li>• Seed distribution has the risk of creating dependency among communities for hand-outs thus affecting self-help and sustenance among the community. Free distribution creates high expectations among recipients that</li> </ul>	<ul style="list-style-type: none"> <li>• To avoid dependency creation seeddistributions will have to be limited to a specific period</li> <li>• VMG farmers should be informed and educated about seed multiplication, planning and savings for future seed purchases</li> <li>• VMG should be sensitised on the possibilities of poor crop performance when seeds distributed do notfit local</li> </ul>

resources like the dairy goat are attractive options	<p>the project will continue to provide seeds year in year out</p> <ul style="list-style-type: none"> <li>• Poor crop performance when seeds distributed do not fit local contexts or do not reflect farmer variety preferences. This might discourage VMG farmers who might be newly introduced new seed varieties</li> </ul>	contexts to avoid over expectation
Educate farmers on nutritional value of food, the benefits of these nutrients, how to prepare local recipes from these foods without losing the nutrition value, food safety hazards at different stages (on-farm, harvesting, storage, prepared meals) and safe preservation of prepared meals	<ul style="list-style-type: none"> <li>• VMGs might be reluctant to participate due to their nature of their feeding habits</li> <li>• Language barriers in utilizing nutritional education</li> </ul>	<ul style="list-style-type: none"> <li>• Need to sensitize VMGs on the benefits of good nutrition including disease prevention.</li> <li>• Need for translation of manuals in local dialect and utilise more of visual aid demonstration</li> </ul>

## Component 2: Agriculture Education, Skills Development, and Service Delivery

**Table 5.4B: Proposed Mitigation Measures**

Project Activities	Negative Impacts	Mitigation Measures
Offer targeted student services (e.g. career development centers, mentorship programs) by providing relevant	<ul style="list-style-type: none"> <li>• Students from VMG communities will not benefit from this program due to low literacy levels among VMG communities</li> </ul>	<ul style="list-style-type: none"> <li>• Organise tailor made vocational training targeting children of VMGs</li> <li>• Create and offer some incentives to attract graduate and post graduate students to work in VMGs project area</li> </ul>

and quality education and developing skills that encourage innovation, entrepreneurship, and problem solving	<ul style="list-style-type: none"> <li>• Trained students may not be motivated to work in the project area inhabited by VMGs</li> </ul>	
Offer more training opportunities for teaching and extension staff to update technical knowledge and pedagogy skills.	Due to poor understanding and appreciation of the VMGs, extension staff may opt to concentrate on other dominant communities leaving out VMGs	<ul style="list-style-type: none"> <li>• Empower Extension Staff with social development and gender expertise through tailored courses to enable them work effectively with VMG communities</li> <li>• Enhance community monitoring for social accountability to hold extension workers accountable to the communities they serve</li> </ul>
Provision/expansion of the existing infrastructure and facilities	<ul style="list-style-type: none"> <li>• Land use is likely to be changed due to adoption of more TIMPs. However the project doesn't envisage any relocation of VMGS</li> <li>• Limited community involvement, hence lack of community ownership for the new/rehabilitated facilities. Expensive infrastructure investments completed without local community input and ownership face a risk of abandonment, poor use and maintenance and sustainability.</li> <li>• Provision of new facilities like water sources/sheds might result in conflicts due to competition over the new facilities especially among the Ik communities; with the neighbouring pastoral communities like the Dodoth and Turkana who predominantly pastoralists and require water and pasture all the time</li> </ul>	<ul style="list-style-type: none"> <li>• Efforts should be made to rehabilitate/improve already existing facilities e.g. stores and dams and only create new ones where they are critically needed to avoid the need for land acquisition and displacement of people.</li> <li>• NARO will seek free, prior and informed consent from the vulnerable communities and undertake a comprehensive stakeholder engagement.</li> <li>• Facilities provided should vary by region, by the socio-economic status of VMGs and farming culture and priorities as outlined in the social assessment findings</li> <li>• The project must ensure equitable distribution of facilities like water sources/sheds to VMG</li> </ul>

	<ul style="list-style-type: none"> <li>• There is a likelihood of increase of infectious diseases like STDs and HIV/AIDS due to increased interactions and social mixing of communitiesutilizing the new facilities</li> <li>• Rehabilitation of the existing infrastructure and facilities is likely to disrupt routine activities which might in turn affect the livelihoods of the VMGs</li> <li>• Infrastructure development tends to be highly politicised. This might disadvantage VMGs who may not benefit from the new facilities, since they have no political influence</li> </ul>	<p>as well as the neighbouring non-VMG ethnic groups to avoid service provision gaps which might lead to competition over the new facilities and conflicts and attacks of the VMGs. Equitable distribution will help to promote peaceful coexistence</p> <ul style="list-style-type: none"> <li>• Mainstream HIV Prevention in ECAAT Project activities and ensure that VMGs are sensitized to avoid contracting STDs and HIV</li> <li>• Rehabilitation of the existing infrastructure and facilities should be carried out in a phased manner, expedited and time bound to avoid disrupting routine VMG activities. Where possible alternative temporal facilities e.g. water points, pasture land should be provided during infrastructure development process.</li> <li>• Promote peaceful coexistence between VMGs and neighbouring communities by continuously identifying core grievances and drivers of conflict and work with conflictmitigators to address them. Establish local structures to manage facilities e.g. Water User Committees</li> <li>• Ensure a transparent process in allocation of the new infrastructure and facilities. Affirmative action should be implemented to ensure that VMGs benefit from the new and upgraded facilities</li> </ul>
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Joint review of the relevance of curriculum and training programs	VMGs may not be consulted and issues pertinent to them might be omitted in revised curriculum/training programs	Ensure that VMGs are consulted in the review of the curriculum and training programs
Development of farm management and business development plans, including trainings on marketing, business, accounting, and financial management	<ul style="list-style-type: none"> <li>• VMGs may not benefit from the program due to complexity of curriculum and training materials given their low literacy levels</li> <li>• Language barriers in utilizing marketing skills</li> <li>• Reluctance of VMGs to participate in training due to the nature of their lifestyle and livelihood e.g. pastoralism</li> </ul>	<ul style="list-style-type: none"> <li>• Prior to training, assessments should be conducted to gather pertinent information about existing IGAs among VMGs so that it focuses where it can add value and have the most success and impact</li> <li>• Training materials should be simplified, translated in local languages and made more concise, less theoretical, and more visually oriented.</li> <li>• For effective training Farmers and Pastoralist Field Schools (FPFS) are recommended for effective programming especially among the Ik and Benet</li> <li>• Since VMG may not fully benefit from agribusiness initiatives, they should be introduced to alternative livelihood IGAs that are culturally appropriate such as mat and basket weaving, pottery among the Benet. IGA intervention should vary by region and by the socio-economic status of VMGs.</li> </ul>
Developing ICT-based platforms for agricultural advisory services (e.g. mobile apps, e-marketing services, e-extension, pest and disease control,	<ul style="list-style-type: none"> <li>• VMGs may not benefit from this intervention due to lack of mobile phones and other ICT facilities</li> <li>• VMGs may be reluctant to use mobile phones and other ICT facilities</li> </ul>	<ul style="list-style-type: none"> <li>• Sensitise VMGs on the benefits of ICT in agricultural transformation</li> <li>• Provide mobile phones to VMG communities and train them on their use</li> </ul>

nutrition awareness, etc.)		
Strengthening leadership and governance capacity	Enhanced leadership and governance might disrupt the socio-cultural fabric leading to inequality aspects like gender and inter-generational disparities VMG communities leading to complaints and conflicts	Leadership and governance should be based on already existing local structures e.g. “Ngozi” among the Batwa and Benet Lobby Group among the Benet. It should be culturally sensitive and universally accepted by VMGs

### Component 3: Supporting Enabling Policies and Agricultural Markets

**Table 5.4C: Proposed Mitigation Measures**

Project Activities	Negative Impacts	Mitigation Measures
Participatory identification of new policies for harmonization	<ul style="list-style-type: none"> <li>• VMGs may not be consulted and issues Pertinent to them might be omitted in the harmonised policies</li> <li>• Due to low literacy levels VMGs may not effectively participate in the policy review process</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure that VMGs are consulted policy review and harmonization process</li> <li>• Subject the Policy review process to the Equal Opportunities Commission that should take keen interest of VMGs issues before policy approval</li> </ul>
Provide agribusiness incubation grants to help farmers access markets	<ul style="list-style-type: none"> <li>• VMGs may not access the grants for failure to meet the conditions/ requirements for grant approvals</li> <li>• VMGs might be reluctant to participate since this initiative might be demanding on their part. VMGs especially the Batwa often associate intensive labor to members of dominant societies</li> </ul>	<ul style="list-style-type: none"> <li>• VMGs should be given preferential treatment to ensure that they participate. Terms and conditions for accessing grants should be flexible including waving fees/cost sharing</li> <li>• VMGs should be sensitised on the benefits of agribusiness incubation and value addition for improving their livelihoods</li> <li>• Assist VMGs to identify viable activities/products for agribusiness incubation and allocate grants</li> </ul>
Develop WRS system whereby a producer, trader or processor deposits grains into a registered warehouse and the warehouse operator issues a warehouse receipt stipulating the quality, quantity, type of commodity, date deposited, and name of depositor	<ul style="list-style-type: none"> <li>• VMGs may fail to participate due low capital base. They may not afford to wait for better prices on market</li> <li>• Due to low literacy levels VMGs might be manipulated by the powerful producers, traders and processors participating in the WRS</li> <li>• Since producers and traders have limited knowledge and expertise working with</li> </ul>	<ul style="list-style-type: none"> <li>• Provide a start-up capital to enable VMGs to participate in WRS. Where necessary consider exemption of VMGs from any mandatory contributions or fees.</li> <li>• Sensitise producers and traders on the plight of VMGs and advocate for their participation in the WRS.</li> </ul>

	VMGs they may opt to work with the other dominant communities leaving out VMGs	
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## 6.0. FRAMEWORK FOR ENSURING FREE, PRIOR AND INFORMED CONSULTATION

### 6.1. Free, Prior and Informed Consultation

Free, prior and informed consultation (FPIC) refers to a process whereby affected vulnerable and marginalized communities, freely have the choice, based on sufficient information concerning the benefits and disadvantages of the project and how these activities occur. OP 4.10 requires that a process of free, prior, and informed consultation, with the affected vulnerable and marginalized group, of the potential positive and adverse effects of the project being undertaken. The chances that the proposed ECAAT project activities will result in significant adverse impacts for vulnerable and marginalized communities are minimal. However, the O.P 4.10 and good practice requires that the VMGs be informed of the project and consulted prior to project implementation.

#### The Elements of Free, Prior and Informed Consultation

- Free – people are able to freely make decisions without coercion, intimidation or manipulation
- Prior – sufficient time is allocated for people to be involved in the decision-making process before key project decisions are made and impacts occur
- Informed – people are fully informed about the project and its potential impacts and benefits, and the various perspectives regarding the project (both positive and negative)
- Consultation – there are effective uses of consultation methods appropriate to the social and cultural values of the affected Indigenous Peoples' communities and their local conditions and, in designing these methods, gives special attention to the concerns of Indigenous women, youth, and children and their access to development opportunities and benefits.

*Adapted from UN Permanent Forum on Indigenous Interests (UNPFII), the Tebtebba Foundation, the International Indian Treaty Council and others.*

This VMGF establishes an appropriate gender and inter-generationally inclusive framework that provides opportunities for consultation each stage of project preparation and implementation with the affected VMGs. *Free and prior informed consultation of the vulnerable and marginalized communities will be conducted at each stage of the project, and particularly during project preparation, to fully identify their views and ascertain their broad community support for the project.*

### 6.2. Component Investment Screening

Screening of all the ECAAT sub projects will be a mandatory requirement prior to implementation to determine if VMGs are included. This will be done to determine whether VMGs are present or have collective attachment to the project area. The screening will be carried out by Social Safeguard Officers of Social consultants hired by NARO who are well versed with the social and cultural issues of the VMGs norms in the project area (see Annex 3).

It is important during the screening phase of the sub project implementation to carefully identify who will be adversely affected by the selected subprojects as it may not impact the entire group or it may impact non-vulnerable group living in their midst or parts of several different groups only some of which are vulnerable and marginalized.

### 6.3. Preparation of Social Screening Form

The ECCAAT Social assessment specialists will prepare the screening forms in collaboration with the executing agency for the specific component considered for implementation. A sample screening form is shown in annex 3. The OP 4.10 of the World Bank suggests “using the term ‘indigenous peoples’ in a generic sense to refer to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees:

- *Self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;*
- *Collective attachment to geographically distinct habitats or ancestral territories in the operational area and to the natural resources in these habitats and territories;*
- *Customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and*
- *An indigenous language, often different from the official language of the country or region.”*

Therefore, during the screening exercise, the above stated definition and characteristics of VMGs according to the Bank will be used to screen and determine if the VMGs that meet the threshold for O.P 4.10. If the results show that there are VMGs in the zone of influence of the proposed component, a Social Assessment (SA)/analysis will be planned for those areas.

#### **Screening Criteria:**

The executing partners responsible for subproject preparation and implementation will visit all VMGs settlements near the selected subproject areas, which may be affected and influenced by the subproject components. Public meetings will be arranged in selected communities by the ECAAT (PCU) with the VMGs and their leaders to provide them information and to seek their views on the subproject being undertaken. During this visit, the screening team mentioned above will undertake screening of the VMGs with the help of the community leaders and local authorities. The screening will cover the following aspects:

- (i) Name(s) of VMGs in the area;
- (ii) Total number of VMGs in the area;
- (iii) Percentage of VMGs to that of total area/locality population
- (iv) Number and percentage of VM households along the zone of influence of the proposed subproject.
- (v) Will a VMGPs be required if a subproject passes through any VMG?



## 6.4 Screening Process Initial

Screening of sub-project impacts on VMGs will be conducted as early as possible in the sub-project cycle to categorize the impacts and identify subsequent approaches and resource requirements to address VMG issues with due consultation with community and district representatives. A Social Safeguard Specialist recruited by ECAAT (PCU) will identify VMGs groups, their population (number and ratio), and their characteristics as compared to the main population in the sub-project influence zone through primary and secondary data information collection. Consultative meetings will be carried out with District Local Government officials, VMGs, and NGOs with a presence in those areas to assess the likely impact of the sub-project on each subgroup. The Social Development Specialist will utilize the VMG Screening Sheet using (Muchemi J. et al., 2015) (Annex 3) to ascertain whether the screened VMG's meet the criteria stipulated by World Bank OP 4.10. The documented characterization of the groups will be scrutinized against indicators in this screening sheet. In addition a Social Screening Form for ECAAT Project (Annex 4) will be completed and the characteristics of VMGs mentioned in OP 4.10 will be used as a basis for identification of VMGs. Screening will also be carried out based on group discussion with the communities in the project areas in order to identify presence of VMGs and other vulnerable groups. If the results of the screening indicate the presence of VMGs in the or have collective attachment to the subproject zone of influence, a social assessment will be undertaken for those areas and a Vulnerable and Marginalised Group Plan (VMGP) prepared in accordance with the requirements of the World Bank policy.

## 6.5 Social Assessment

This will involve the identification and documentation of potential project impacts on the VMG communities through community consultations. Some of the envisaged impacts, both positive and negative and proposed mitigation measures are indicated in tables; 5.3A, 5.3B, and 5.3C (for the positives) and 5.4A, 5.4B, and 5.4C (for negatives). Through consultations, the assessment will also determine whether VMGs are present in the project area.

ECAAT (PCU) will engage in free, prior, and informed consultation with the VMGs and will ensure that it;

- (i) Establishes an appropriate gender and inter-generationally inclusive framework that provides opportunities for consultation at each stage of project preparation and implementation among the implementing structures, the VMG's, the VMG Organizations (VMGOs) if any, and other local civil society organizations (CSOs) identified by the affected VMG's;
- (ii) Uses consultation methods appropriate to the social and cultural values of the affected VMGs and their local conditions and, in designing these methods, gives special attention to the concerns of VMG's women, youth, and children and their access to development opportunities and benefits; and
- (iii) Provides the affected VMGs with all relevant information about the project (including an assessment of potential adverse effects of the project on the affected VMGs communities) in a culturally appropriate manner at each stage of project preparation and implementation.

The social assessment will gather relevant information on demographic data; social, cultural and economic situation; and social, cultural and economic impacts. The methodology for Social Assessment will use combined qualitative and quantitative analysis method. Quantitative analysis is preferred for complex social assessment analysis such as for population structure, educational level

and socioeconomic indicators. Qualitative indicators that cannot be quantified should be analyzed and evaluated through a combination of qualitative and quantitative analysis, but primarily qualitative analysis. However, in this case the impacts are expected to be minimal and the social assessment/analysis will be in line with the scope of impacts identified and indeed will focus more on how to enhance coverage to more VMGs. Information will be gathered through community dialogues, focus group meetings within the VMG communities, including their leaders, NGOs, CBOs, and other affected persons. Discussions will focus on potential positive and negative impacts of the subproject, measures to enhancing positive impacts, and strategies/options to minimize and/or mitigate negative impacts. The level of detail of the assessment will depend on subproject activities and their potential impacts on local communities. If the subproject is small and has no or few adverse impacts, this assessment will be done as part of early project preparation by NARO mainly based on secondary sources and NARO's own experience working in the project area. In all cases the assessment will be based on consultations with the affected communities.

For small scale projects with no direct impacts on indigenous communities, the social assessment report will be short and will include a brief overview of the indigenous communities affected by the project, project activities as they relate to the local communities, how project implementation will address the particular circumstances of VMGs, and how they will participate and be consulted during implementation. For bigger subprojects, a more elaborate report is required and should include the following elements, as needed:

- (i) A description, on a scale appropriate to the project, of the legal and institutional framework applicable to VMGs;
- (ii) Baseline information on the demographic, social, cultural and political characteristics of the affected indigenous communities, and the land and territories which they traditionally owned, or customarily used or occupied and the natural resources in which they depend;
- (iii) Description of key project stakeholders and the elaboration of a culturally appropriate process for consultation and participation during implementation;
- (iv) Identification and evaluation based on free, prior, and informed consultation with the affected VMGs' communities, of measures to ensure that the VMGs receive culturally appropriate benefits under the project and measures necessary to avoid adverse effects, or if such measures are not feasible, identification of measures to minimize, mitigate, or compensate for such effects.

The ECAAT (PCU) will on the basis of social analysis and FPI Consultation proceed with respective sub-project after satisfying itself that the affected VMG communities provide their broad support to the project. Where such support will be provided, the PCU will prepare a detailed social assessment report which will be submitted to the World Bank for review.

Based on the report, the project will develop appropriate mitigation measures to avoid or minimize adverse effects on VMG communities. In case of limited resettlement impacts, specific actions for VMGs will be spelled out in resettlement plans and/or social development plan for the subproject. If social assessment identifies that the project will have significant differential impact compared to the mainstream population, a VMGP will be prepared to enhance equitable distribution of project benefits and promote participation and development of VMG communities.

Affirmative action within ECAAT (PCU) to address VMG historical inequalities and ensure equitable distribution of project benefits will be applied as follows;

- (i) Ensure that VMG farming communities access particular technologies /commodities that are appropriate for their farming systems. These may not necessarily be the ECAAT priority technologies but better placed for their income generation purposes and geographical location.
- (ii) Ensure that separate technology demonstrations sites are deliberately located in the VMGs communities for their easy and convenient access.
- (iii) Ensure that VMGs are provided with input and market information for their commodities prior to engagement in production interventions
- (iv) Ensure that an appropriate partnership framework is developed between ZARDIs where VMG communities are situated, local government and the VMGs. This will ensure that the communities have access to extension and research services.
- (v) Ensure that educational materials, technology brochures and other training materials are translated into the VMGs local languages.
- (vi) Ensure that VMG local leaders in the different VMG communities are deliberately consulted and engaged in making decisions concerning project interventions

The VMGP developed will consist of a number of activities and include mitigation measures of the potential negative impacts through modification of project design and development assistance to enhance distribution of project benefits.

## **6.6 Stakeholder Identification and Consultation**

Participation of VMGs in selection, design and implementation of the project components will largely determine the extent to which the VMGF objectives would be achieved. To ensure benefits have as wide a reach as possible and where adverse impacts are likely, the ECAAT (PCU) will undertake prior and informed consultations with the likely affected VMGs and those who work with and/or are knowledgeable of VMGs' development issues and concerns. The primary objectives would be to examine the following:

- (i) To seek their inputs/feedback on how to maximize benefits, accessibility and how to avoid or minimize the potential adverse impacts associated with the project;
- (ii) Identify culturally appropriate impact mitigation measures; and
- (iii) Assess and adopt agricultural opportunities, which the SA could promote to complement the measures required to mitigate the adverse impacts.

The stakeholder consultation will include, as appropriate;

- (i) Inform affected indigenous communities about project objectives and activities
- (ii) Discuss and assess possible adverse impacts and ways to avoid or mitigate them
- (iii) Discuss and assess potential project benefits and how these can be enhanced
- (iv) Discuss and assess land and natural resource use and how management of these resources may be enhanced
- (v) Identify customary rights to land and natural resource use and possible ways of enhancing these
- (vi) Identify and discuss (potential) conflicts with other communities and how these might be avoided

- (vii) Discuss and assess food security and how it might be enhanced through project interventions
- (viii) Elicit and incorporate indigenous knowledge into project design
- (ix) Facilitate and ascertain the affected communities' broad support to the project
- (x) Develop a strategy for indigenous participation and consultation during project implementation, including monitoring and evaluation.

All project information provided to VMGs should be responsive to the local needs and Local languages should usually be used. Efforts should be made to include all community members, including women and members of different generations and social groups. NARO (PCU) will work with District Community Development Officers, experienced local community organizations and NGOs is appropriate to carry out the consultations. The experience of locally active NGOs and VMGs experts will be useful.

Affected stakeholders will be identified through a culturally appropriate process for consulting with the VMGs at each stage of project preparation and implementation. A stakeholder mapping exercise will be conducted for each of the proposed investment where there is a likelihood of VMGs being affected and the stakeholder mapping process will ensure that all the interested and affected stakeholders are identified and included in the social assessment process including impact identification and mitigation.

The stakeholders in collaboration with the agencies within ECAAT (PCU) implementing the project will facilitate and arrange for consultative meetings with VMGs. These meetings will be conducted based on free and prior information about the proposed project and the stakeholders will also be informed about the potential adverse impacts of the project on the VMGs. Such consultation will include use of indigenous languages, articulation by VMGs of their views and preferences and allowing time for consensus building. Representatives of the Vulnerable and Marginalized Groups in collaboration with the local administration in the sub project area will select a venue that is considered appropriate by all the parties.

Engagement will be based on honest and open provision of information, and in a form that is accessible to VMGs. Engagement will begin at the earliest possible stage, prior to substantive on-the-ground activity implementation. Good practice community engagement, in the context of Vulnerable and Marginalized Groups and projects, will aim to ensure that:

- (i) Vulnerable and Marginalized Groups have an understanding of their rights
- (ii) Vulnerable and Marginalized Groups are informed about, and comprehend the full range (short, medium and long-term) of social impacts – positive and negative – that can result from the proposed investment
- (iii) Any concerns that Vulnerable and Marginalized Groups have about potentially negative impacts are understood and addressed by SEQIP and the Executing Agencies
- (iv) Traditional knowledge informs the design and implementation of mitigation strategies and is treated respectfully
- (v) There is mutual understanding and respect between the SEQIP/DPC&D and the Vulnerable and Marginalized Groups as well as other stakeholders
- (vi) Vulnerable and Marginalized People aspirations are taken into account in project planning so that people have ownership of, and participate fully in decisions about, community development programs and initiatives

- (vii) The project has the broad, on-going support of the Vulnerable and Marginalized Groups
- (viii) The voices of all in the Vulnerable and Marginalized Groups are heard; that is, engagement processes are inclusive.

### **6.6.1 Strategies for Inclusion of Women and Youth**

While it is important to acknowledge that there is progress in gender targeting within the agriculture sector, it should not automatically be assumed that public projects are gender sensitive. Gender relations could be even worse within VMGs. The ECAAT PCU and its executing partners will need to be sensitive to the exclusion of women and young people in the decision-making process. Therefore deliberate efforts will be made to ensure full participation of women in all aspects of the project. During the Social Assessment, where it is determined that traditional decision-making structures exclude women and younger people, it may be necessary to obtain input from these groups by less direct means (for example, and where possible, via community needs surveys and baseline studies, or through informal discussions with small groups).

## **6.7 Capacity Building**

During the vulnerable and marginalized peoples 'orientation and mobilization process, the interest, capacity and skills of the VMGs and their institutions, CBOs and NGOs, including social screening, will be assessed. The stakeholders will be trained on strategies for enhancing social inclusion such as: (i) good communication, (ii) social awareness actions, (ii) creation and utilization of databases on vulnerable communities and groups such as: marginalized communities, women, youth, person with disabilities, aged members of the community; (iv) group dynamics among others. The skills gained will be used to mobilize and create awareness among the VMGs, develop Community Development Plans, build capacity on VMG and support the VMG to implement, monitor and evaluate their action plans

Training for the VMGs will include among others; resource mapping, record keeping, basic account keeping and monitoring and evaluation. The staff within the ECAAT (PCU) will provide training for the partner implementing agencies including existing NGOs working with VMGs in social assessment, implementation of the VMGF with special attention to developing their knowledge on VMGF background, history and areas of concern as well as their skills for community orientation, free, prior and informed consultative planning, Participatory Rural Appraisal (PRA) tools and techniques.

VMG capacity enhancement will require all project stakeholders to observe fundamental principles of; sensitivity to local and community experiences, working by invitation and commitment, not imposition; facilitation rather than intervention of 'experts'; Gender sensitivity, mutual learning (facilitators with community, community with facilitators, community with community, among community members, organization to organization); a grounding in universal human rights; participatory approaches with space for listening, inclusion, agreement, and expressions of concerns; team formation at the organizational and community levels for implementation; respect for differences, mutual trust and working in partnership with non-governmental and community-based organizations.

## 6.9 Role and responsibilities of NGOs/CBOs

As reflected under the various components of the Framework, NGOs and CBOs will play a key role in the development and implementation of VMGPs and in particular, the FPIC processes in the context of screening, social assessment and stakeholder consultation and planning.

- An NGO will be contracted to implement GVB activities.
- In addition, NGOs/CBOs will be involved in capacity building in order to mobilise and provide the necessary technical support to the VMGs for their enhanced participation in ECAAT projected implementation.
- NGOs will be involved in monitoring and evaluation activities depending on their level of involvement.

## 6.10 Bank Decision on Sub Project Investments

In deciding whether to proceed with the project, the ECAAT (PCU) will then ascertain, on the basis of the social assessment and the free, prior, and informed consultation, whether the affected VMGs' provide their broad support to the project. Documentation of broad community support will be provided by minutes prepared from all meetings held with the VMGs. The minutes will be verified and authenticated by community representatives. Where there is such broad community support, the PCU will prepare and submit to the Bank a detailed report that documents:

- (i) The findings of the social assessment/analysis
- (ii) The process of free, prior, and informed consultation with the affected VMGs;
- (iii) Measures, including project design modification, that may be required to expand access to or address adverse effects on the VMGs' and to provide them with culturally appropriate project benefits;
- (iv) Recommendations for free, prior, and informed consultation with and participation by VMGs during project implementation, monitoring, and evaluation; and
- (v) Any formal agreements reached with VMGs'.

The Bank will review the process and the outcome of the consultation carried out by the ECAAT (PCU) to satisfy itself that the affected VMGs have provided their broad support to the project. The Bank will pay particular attention to the social assessment and to the record and outcome of the free, prior, and informed consultation with the affected VMGs' as a basis for ascertaining whether there is such support for the project.

## 7.0 GRIEVANCE REDRESS MECHANISM FOR ECAAT

The cultural, economic, social, or political institutions of the vulnerable and marginalized groups are not so distinct from those of the mainstream society or culture. However, the VMGs are social groups with identities, are often among the most marginalized and vulnerable segments of the population. In many cases, their economic, social, and legal status limits their capacity to defend their rights to, and interests in, lands and natural and cultural resources, and may restrict their ability to participate in and benefit from development projects like the transmission line.

In view of the above, NARO will through a highly consultative and participatory process put in place a Grievance Redress Mechanism (GRM) that will provide an avenue for handling complaints and grievance redress and achieving remedies for local communities at different levels especially the VMGs. The goal of GRM is to promote a mutually constructive relationship and enhance the achievement of project development objectives. The GRM will ensure that complaints are directed and handled expeditiously by the relevant agencies ensuring responsiveness and accountability. Feedback/ complaints shall be encouraged among all workers and community members throughout the project and resolved without undue delay. This will also be closely monitored and reported. However, while a project-specific feedback and complaints mechanism is to be set up, the GRM will to a great extent adopt use of the existing grievance redress and conflict resolution mechanism of the VMG guided by local communities' leadership/administrative structure.

### 7.1 Anticipated Project related Grievances

Since ECAAT project implementation will involve a wide range of stakeholders at various levels, there is like hood of grievances.

Project related grievances may include;

- (i) Abuse of farmers by extension workers;
- (ii) Employment opportunities offered by the projects denied to the locals;
- (iii) Households denied farm implements e.g. drought-resistant seeds, pesticides etc.;
- (iv) Competition and conflict for water for irrigation, storage facilities etc.;
- (v) Complaints on the use of experiment fields by the research scientists;
- (vi) Possible assaults amongst workers in infrastructures works;
- (vii) Possible assault of VMG farmers by workers or vice versa;
- (viii) Poor road infrastructure and connectivity and high transport costs;
- (ix) Social disruption of the VMG communities as a result of adaptation to new innovations/technologies;
- (x) Manipulation and cheating by the private sector and other project stakeholders;
- (xi) Exclude women and youth from decision making processes;
- (xii) Neglect/avoidance of VMG communities by extension staff, local governments and other development partners due to limited capacity and expertise working with VMGs;
- (xiii) Emergence of new project related institutional structures among the VMGs usurping the traditional powers of the local leadership structures, causing social disruption and conflicts;
- (xiv) Poor crop performance due to poor seeds distribution;
- (xv) Failure to compensate displaced VMG households and persons;



- (xvi) Failure to access VMG sacred sites, cultural and spiritual values that the VMGs attribute to lands and territories they traditionally owned, or customarily used;
- (xvii) Rap and defilement due to increased interactions and social mixing of communities as a result of project activities;
- (xviii) Complexity of curriculum and training materials given to VMGs;
- (xix) Failure to access agribusiness incubation grants;

## 7.2 Principles of GRM

The grievance mechanism should follow the following principles:

- Should be scaled to address the risks and impacts on affected persons,
- Should be culturally appropriate, be clear and accessible for any individual or group at no cost (vulnerable groups),
- Should be transparent and including regular reporting, and
- Should be preventive of retribution and to not impede access to other remedies.

Furthermore, the grievance mechanism should be designed to provide access to specific target groups, e.g. girls and women who, might be subject to sexual harassment during construction, would need avenues to submit grievances that protect their privacy.

## 7.3 Grievance Log – Documentation and Recording

A verbal or a written complaint from aggrieved person will be received by the Project Manager or a person assigned in the project as the Grievance Officer (GO) and recorded in a grievance log (electronically if possible). Grievances can be lodged at any time, either directly to the Contractor, Sub-county/District Office or via the grievance committee member. The process for lodging a complaint is outlined below:

- (i) The GO will receive a complaint from the complainant.
- (ii) The GO will ask the claimant questions in their local language write the answers in English and enter them in English onto the Grievance Form.
- (iii) A representative of the VMG community and LC-1 Chairman shall witness translation of the grievance into English.
- (iv) The GO reads the complaint in English and translates it into the complainant's local language on the Grievance Form.
- (v) The local leader and the complainant both sign the Grievance Form after they both confirm the accuracy of the grievance.
- (vi) The GO lodges the complaint in the Grievance Log.

### *Understanding Root Causes of Conflict*

Although it is not always possible to identify root causes, some issues will warrant deeper analysis in order to better understand the issue and avoid its further escalation. In the absence of a tailored methodology for analyzing community-related disputes and grievances, these methods may be adapted to guide this analysis. Funding will be allocated in during the preparation of each VMGP to support community-based research to highlight the VMGs perspective, which could further provide a deeper



understanding of the causes of conflict.

#### **7.4 Levels of Grievance Redress Mechanism for ECAAT**

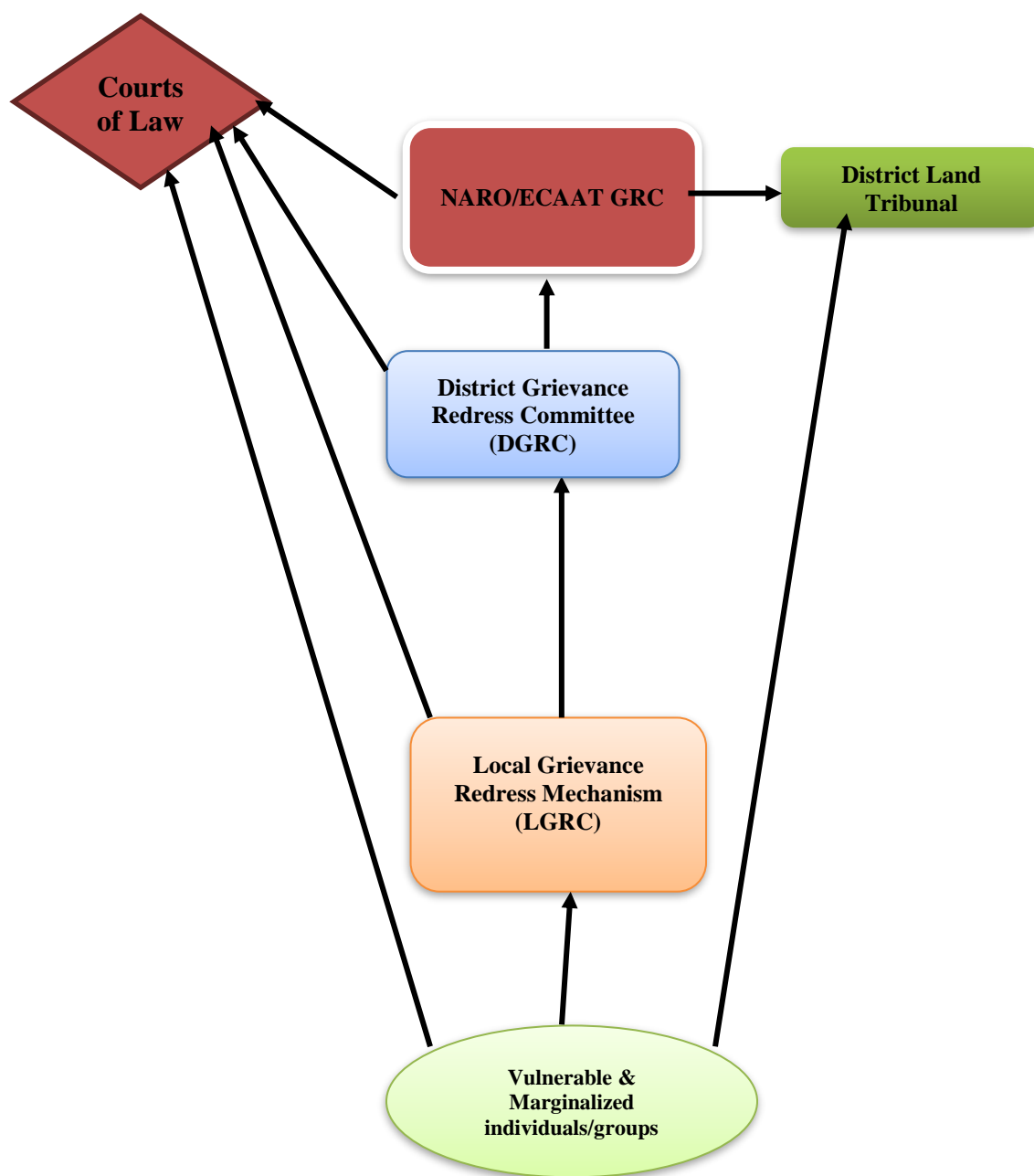
The GRM mechanism will have different levels for complaints handling and grievance redress for local communities and especially VMGs. GRCs at all levels will be selected in transparent manner, oriented and trained on the project objectives, activities and importance of GRM for such development projects including how these are received, logged, handled, referred and followed up. The committees will be popularised among different stakeholders during different community engagements so that they are aware of their existence and how they can be utilised for conflict resolution. (Figure 5 below shows the different levels of complaints handling and grievance redress).

At the village level a Local Grievance Redress Committees (LGRC) will be initiated to record grievances and also help in mediation. This committee will be comprised of among others; a trusted village elder, clan leader, a religious representative, and other vulnerable group representatives of relevance to the village i.e. women, youth and the disabled. The GRM process will adopt the local leadership structures that already exist among the VMG communities. It will be preferable to orient and train those structures to play the role LGRC e.g. Local Leadership structures like “Ngozi” among the Batwa and Village Peace Committees (VPCs) that already exist at the village level in Karamoja Sub region.

Since the traditional leadership among VMG communities administer land and people and also contribute to the creation of rules that regulate the lives of those under their jurisdiction, and are called on to solve disputes among their subjects, it is critical that they are meaningfully involved in the GRM processes especially at the Zonal level to avoid parallel structures which might cause conflicts. At village people are free to take their disputes to the LGRC or can directly seek legal redress. Efforts will be made to ensure that disputes are resolved at the village level as far as possible. If this fails they can be referred to the Zonal level where the safeguards officer together with zonal staff can find a solution. At zonal level the safeguard focal will be responsible for receiving, referring and tracking complaints. At any stage the aggrieved is free to seek legal interventions.

It is important to note that, not all conflicts and grievances will be addressed by the Project GRM. Cases that involve assault, gender based violence; rape and “serious” theft are not resolved under this framework but are instead referred to the police for appropriate prosecution process.

*Figure 5: Complaints Handling and Grievance Redress System for ECAAT*



## 7.5 Coordination of GRM at the district level

The Social safeguards Focal person at Zonal level will oversee and coordinate grievance issues at the district level including: setting up of LGRCs; provision of Grievance Logbooks and related logistics; training and orientation of LGRCs; and providing advice on grievance resolution. He/she will be responsible for compiling records of all grievances raised and their mediation for the whole district.

The grievance mechanism for the implementation process is as follows:

- (i) The Project Affected Person (PAP) will lodge their grievances with the LGRC, by completing a Grievance Form which will be signed by the leader of the LGRC and the PAP/complainant. This will then be lodged in the Grievance Log/Register provided by the Safeguards Focal person at ZARDI level;
- (ii) The PAP should expect a response from the LGRC within seven days of filing the complaint. If the issue is not resolved, the LGRC will forward the complaint to the GRC at the District County;
- (iii) The GRC at the District will be given a fourteen-day notice to hold a meeting. Two days after the meeting, the GRC will call the PAP and LGRC for discussions and resolution. The resolution will be presented to the PAP in written form within the same day of the meeting;
- (iv) If there is no resolution to the grievance, the GRC at the district and the PAP shall then refer the matter to the District Land Tribunal for land-related issues and to NARO/ECAAT PCU for all other grievances. At any one time the PAP will be free to seek legal redress.

## **7.6 Reporting of Grievances**

The Safeguards Focal person will compile quarterly reports on the grievance management at the district and Zonal levels. The reports will include: number of complaints received in that quarter; those that have been resolved and an action plan for those pending.

## 8.0 MONITORING, EVALUATION AND REPORTING

Monitoring should be participatory and include the monitoring of beneficial and adverse impacts on VMGs within project impact areas. M&E should be based on free, prior and informed consultation with the VMGs who should play an integral role in its implementation. Continuous monitoring will be carried out to ascertain that, the proposed mitigation measures are being implemented and that, there is compliance to the terms and conditions for approval of sub project activities. Monitoring will be critical to ensure that all the required social mitigation measures, set out in the VMGP for the project are adhered to and implemented satisfactorily.

The specific objectives of monitoring and evaluation will include;

1. An assessment of the compliance of activities undertaken in relation to the objectives and methods identified in the VMGF;
2. An assessment of the consultation procedures that have taken place at the community and individual level;
3. An assessment on whether the affected communities have had access to mitigation activities;
4. The occurrence of grievances and extent of resolution of disputes;
5. An evaluation of the impact of the Project on income and standard of living within the VMG communities; and
6. Identification of actions that can improve the positive impact of the Project and mitigate potential negative impacts.

The VMGPs will indicate parameters to be monitored, institute monitoring milestones and indicate provision for resources necessary to carry out the monitoring activities.

The ECAAT/PMU will work with the same committees proposed for Grievance management to monitor and evaluate project activities. They will ensure:

- Provision of timely information about all grievances arising as a result of project activities;
- Any grievances that have not been resolved at a local level and require resolution through the involvement of the ECAAT/PMU are identified.
- Timely completion of project obligations for all VMGs grievances;

The monitoring of VMGPs will be integrated in the overall ECAAT project implementation process and M & E Framework with specific M&E indicators defined. The key VMGP monitoring indicators will include among others the following;

### ***VMGP Monitoring Indicators***

- *Number of consultations with VMGs at all stages of ECAAT Projects*
- *Number of Screened and implemented sub-projects*
- *Number of project beneficiaries disaggregated by gender*

- *Number of VMGs meetings;*
- *Number of VMGs sensitized*
- *Number of Trainings and Attendance by VMGs*
- *Number of Meetings held by VMG leaders,*
- *Number and type of VMG issues addressed through the GRM*

## 8.1 M&E Reporting

The M&E reports for each sub project investment will be prepared by each ZARDI focal person and will be presented to VMGs for feedback. A final copy will be sent to the ECAAT PCU and recommendations made will be used to fine-tune the VMGP. Findings with regard to social safeguards will be periodically reported by the PCU as one of obligations the project. Accordingly, PCU will be required to prepare quarterly monitoring reports and share them with the relevant stakeholders and post them on the MAAIF and NARO websites, and further submit to World Bank for review.

### *External Review*

Every year an independent external evaluation will be carried out to further crosscheck the quality and to guarantee that the indigenous peoples' dignity, human rights, economies, and cultures are respected by the ECAAT project, that all decisions which affect any of these are based on the free, prior, and informed consultation with them; and that the indigenous peoples receive social and economic benefits that are culturally appropriate. The evaluation will further assess whether that adverse effects on the indigenous peoples' communities are, as much as possible, avoided, and if this was according to the VMGPF.

The report will highlight, among others;

- (i) Reporting period and monitoring locations
- (ii) Key aspects monitored among VMG communities such as; irrigation points, dams, stores, trainings undertaken, climate change awareness etc.
- (iii) The extent of compliance with VMGF procedures, good practices, challenges and lessons learned to improve VMGF future performance;
- (iv) The occurrence and magnitude of any negative impacts due to project-funded activities and any other associated outcomes
- (v) Key recommended follow up issues, actions, time frame and responsibility centre(s)

## 9.0 VMGF BUDGET

The budget provides financial estimates required to support implementation of the VMGPs. The budget will mainly support administrative issues of the Social Safeguard Officer and Zonal staff as well as capacity building activities. Key activities to be supported will include; social assessment and

surveys, capacity building programmes, facilitation of NGOs and other partners in preparation and implementation of the VMGP.

**Table 7.1: Budget estimates for VMGF Implementation**

<b>Component/Activities</b>	<b>Estimated Cost (USD)</b>
Logistical support to the SSO office and Staff at national and ZARDI level for the development, implementation and monitoring of VGMPs	400,000
Preparation of VMGP (hiring of a consulting firm)	100,000
Training of Implementing Agencies and District stakeholders in in VMG and vulnerable groups issues (including long and short-term courses)	200,000
Support to NGOs, and other partners to mobilize and implement some of the activities like GBV and conflict management	200,000
Support to local partners including Grievance management committees to implement project activities	200,000
Miscellaneous	90,000
<b>Estimated Total</b>	<b>\$990,000</b>

## 10.0 PUBLIC DISCLOSURE

The VMGF will be disclosed in compliance with relevant laws of Uganda and the World Bank Operational Policies. A workshop will be organized at the national level to disseminate the framework to the Zonal Focal Persons and institute scientists. The Zonal Focal persons will in turn hold zonal workshops to disseminate to the VMGs and other stakeholders. The VMGF will be disseminated in the local language or in other forms easily understandable to affected communities, oral communication methods with visual illustrations will be used to communicate the proposed plans to affected communities.

Once finalised, as part of public disclosure a summary of the VMGF will be published in the local national newspaper dailies preferably the New Vision and the Monitor newspapers and uploaded on MAAIF and NARO websites and invite the public to access and review the documents. NARO will also provide copies to its research institutes that will be participating in the project.

After The World Bank has reviewed and approved the VMGF as part of the overall proposed project for funding, the implementing agency (NARO) will share the final VMGF again with the public and affected communities. The final VMGF will also be disclosed at The World Bank Info shop Web site and made available to any interested persons for public information and comments/feedback as will be necessary.

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## ANNEX 1: GUIDELINES FOR STAKEHOLDERS' CONSULTATION

### Regional Eastern and Central Africa Agricultural Transformation Project – ECAATP

#### Guidance for Key stakeholders Consultations for Vulnerable and Marginalized Groups' Framework (VMGF)

##### Methodology

The Consultant will conduct site visits to carry out consultations with the relevant district key stakeholders and community members for primary data collection using participation approaches. Community members will be consulted through Community Dialogues and Focus Group Discussions as follows:

1. Men group - 18 and above
2. Youth Group (Mixed male and female, age group 15 - 35)
3. Women group -18 and above

District level stakeholders will be consulted through face to interviews. Key Informant interviews will be arranged for the different relevant stakeholders to be consulted.

##### Targeted Stakeholders

1. LC V Chairpersons
2. Chief administrative officers
3. LC V Secretary for Production
4. District Agriculture officer
5. ZARDI Area Managers
6. NGO/CBO representatives dealing in agriculture targeting VMGs

**Preamble:** Prior to consultations with the stakeholders, the Facilitator will give a detailed background of upcoming project

#### I. Tool1: Guiding Questions for VMG community members

1. What livelihood and economic activities are available for in your community? *Probe for targeted beneficiaries taking gender into consideration and challenges*
2. What other form of livelihood and economic activities would you consider suitable for your community?
3. What are the existing social and cultural norms in your community (*Probe for both negative and positive cultural norms*)



4. How do these social and cultural norms impact on agriculture and natural resources utilization? *Probe for land tenure system, traditionally or customarily owned and accessed and natural resources they depend on*
5. Who is most affected (*Probe for impact on men, women, adolescents and children*)
6. What is being done to address social and cultural norms that impact on agriculture and natural resources utilization in your community? (*Probe: Who is doing what? i.e. the role of Government, district, NGOs, CBOs etc.*)
7. Please describe the farming practices in your area?
8. How can this project address the negative social norms and strengthen positive social and cultural norms in enhancing agriculture as well as natural resources utilization?
9. Describe any cultural practices that are available for enhancing agriculture and sustainable use of natural resources? *How can these be integrated with project interventions?*
10. In your opinion, what are the community fears about the project? *Probe for likely conflicts with district authorities and neighbouring communities. What would you want to see in this project to address your fears?*
11. How will the family set up be affected by the project interventions?
12. Please suggest ways of handling conflict arising out of project interventions. *Probe for conflicts interventions at different levels i.e. individual, family/household, clan, community and district*
1. Please suggest ways how the community can be meaningfully involved to enhance the project and ensure that the community members receive culturally appropriate benefits under the project. *Probe for inclusion, participation, information disclosure, conflict handling mechanism and consultation with the affected VMGs*

## II. Tool 2: Guiding Questions for district level stakeholders

2. What livelihood and economic activities are available for VMGs in your district? *Probe for targeted beneficiaries taking gender into consideration and challenges*
3. What other form of livelihood and economic activities would you consider suitable for VMGs?
4. What are the existing social and cultural norms among VMG community in your district? *(Probe for both negative and positive cultural norms)*
13. How do these social and cultural norms impact on agriculture and natural resources utilization? *Probe for land tenure system, traditionally or customarily owned and accessed and natural resources they depend on*
5. Who is most affected *(Probe for impact on men, women, adolescents and children)*
6. What is being done by the district to address social and cultural norms that impact on agriculture and sustainable use of natural resources in the VMGs community? *(Probe: Who is doing what? i.e. the role of Government, district, NGOs, CBOs etc.)*
7. How can the upcoming project address the negative social norms and strengthen positive social and cultural norms in enhancing agriculture as well as natural resources utilization?
8. Please describe the farming practices among the VMGs in your area?
9. Describe any cultural practices that are available among the VMGs for enhancing agriculture and sustainable use of natural resources? *How can these be integrated with project interventions?*
10. In your opinion, what are the district fears about the upcoming project? *Probe for likely conflicts with the VMGs and neighbouring communities. What would you want to see in this project to address your fears?*
11. How will the district set up be affected by the project interventions?
12. Please suggest ways and mechanism of handling conflict arising out of project interventions. *Probe for conflicts interventions at different levels i.e. individual, family/household, clan, community and district*
13. Please propose possible measures to be undertaken by the district necessary to avoid adverse effects. *If such measures are not possible, propose measures to minimize, mitigate, and/or compensate for such effects and to ensure that the VMGs receive culturally appropriate benefits under the project.*
14. What kind of capacity/assistance does your district/NGO/CBO require to effectively address negative impacts of the project?

## ANNEX 2: LIST OF KEY STAKEHOLDERS CONSULTED



ECAAT ENVIRONMENTAL SOCIAL SAFEGUARD FARMER GROUP CONSULTATION  
REGISTRATION FORM

09/01/2018

NO	NAME	ORGANISATION	DESIGNATION	SIGNATURE
	Lano Jimmy	NARO	Rice Producer	
	Maria Francis	NARO	Representative	
	Lanza Willy	NARO	Cassava	
	Kabagamba Joseph	"	Cassava	
	Kimbe Habibu	"	"	
	Namadiu Aisha	"	"	Natouu
	Nabwanuka J	NARO	"	Nabwanuka
	Namugonja Robert	NARO	Cassava	
	Kasabula Muhamadu	NARO	"	
	Kiwewa Renema	"	"	Renema
	Kiwewa MORS	NARO	Cassava	
	Namugonja Felicitas	NARO	Cassava	

Scienhsb



ECAAT ENVIRONMENTAL SOCIAL SAFEGUARD FARMER GROUP CONSULTATION  
REGISTRATION FORM

09/01/2018

NO	NAME	ORGANISATION	DESIGNATION	SIGNATURE
01	BARISIYOT Jemimah	Farmer	Community Leader	Jemimah
02	MARY KAHAYA	"	Farmer	Kahaya
03	lene Twimungisha	"	"	lene
04	BATUNSA JUSTINE	"	"	Batunsa
05	Nakalema SPRING	"	"	Nakalema
06	SENKINAKU JAHU	"	"	Jahu
07	TUMWESIGYE HERBERT	"	Farmer	Herbert
08	Lumba Michael	"	Farmer	Michael
09	KASOZI Robert	"	"	Robert
10	NAGAWA Florence			Florence

0772555392  
-  
0752368730  
0773077327  
0781325522  
0780813459  
0778649687  
0780157241  
0782099017  
0772450891



# ECAAT ENVIRONMENTAL SOCIAL SAFEGUARD SCIENTISTS CONSULTATION

10/01/18

## REGISTRATION FORM

NO.	NAME	ORGANIZATION	DESIGNATION	SIGNATURE
	Etiang Joseph	Kachwekano	Soil Scientist	
	AYATHURA RONALD KUTEESA	KAZARDI	LIVESTOCK SCIENTIST	
	KUULE MATTHEW	KAZARDI	Ag Director/Ag Prog	
	MWESIGE ROSE	KAZARDI	Leader	
	CHEBWEI ALFRED	KAZARDI	Human Resouce	
	MWESIGE ROSE	KAZARDI	Entomology Scientist	
	MUGISA JOHN	ECAAT/UK CONSULTANT	CONSULTANT	
	Abimbisire Michael	Resistant NACARI	R/assistant	
	Max A. Anyum	Consultant RPF CIP	RPF Consultant	
		Consult		



ACTIVITY: ECAATP GENDER AND ENVIRONMENTAL SOCIAL SAFEGUARDS FRAMEWORK MEETING

DATE: 31/Jan/2018

VENUE: BUGINYANYA STATION (Consultations with Scientists and Technicians)

NO	NAME	DESIGNATION	TEL/E-MAIL	SIGNATURE
	Brian Ouyegire	hivestock scientist	0772345830 brianouyegire@nvo.gov.ug	
	Arthur Wacwira	Pathologist / RO	0782429527 arthurwacwira@gmail.com	
	Andhoro Constantine Chet	Aquaculture Scientist	0782228987 acconstantine88@gmail.com	
	OKELLO JASPER	AGROFORESTRY SCIENTIST / RO	0712/0752996181 jasperokello2016@gmail.com	
	Pande James	CWP Technician	0772842233 pandejames02@gmail.com	
	BUGI LUKEM	LIVESTOCK TECHNICIAN	0752-341069 bugi.lukem@yahoo.com	
	Kalimbu Kenneth	Crop Technician	0995673872 kalimbukeneth@yahoo.com	
	Quingo Richard	hivestock / Ag SA	0788197007 richardquingo@yahoo.com	
	Dr. Myrica J. H.	Vet. Consultant	0772412386 ecssocialsafeguards@ecss.gov.ug	







ACTIVITY: ECAATP GENDER AND ENVIRONMENTAL SOCIAL SAFEGUARDS FRAMEWORK MEETING

DATE:

VENUE: ~~BUGINYANYA STATION~~ BENET SUBCOUNTY FARMER GROUP

NO	NAME	DESIGNATION	TEL/E-MAIL	SIGNATURE
	MWANGA MOSTS	Farmer	-	ngsu
	CHEROB SOPHY	farmer	0787249038	
	CHEKNOTI JULIET	Farmer	0771923987	
	Malinga Dominic	Farmer	0784949454	
	Chemos alfred	farmer	0777704356	
	Chelangat Fredmark	farmer	0778147291	
	Cheset martha	//	0785081692	
	Kekop Jean	farmer	-	
	Chelanga Juliet	Farmer	-	



### ANNEX 3: VMG SCREENING SHEET FOR ASCERTAINING PRESENCE OF VMG'S

VMG Screening Sheet using (Muchemi J. et al., 2015<sup>4</sup>)

	Criteria	Details
World Bank OP 4.10	1.0 Identity	
	Self-identification	
	Recognition of this identity by others	
	2.0 Collective attachments	
	Distinct habitats	
	Ancestral territories	
	Natural resources	
	3.0 Distinct Customary institutions	
	Cultural Institutions	
	Economic Institutions	
	Social Institutions	
	Political Institutions	
	4.0 Indigenous Language (provide example)	
	Indigenous language	
	Neighbouring languages	

<sup>4</sup>Muchemi Julius, Joyceta Gupta, Karin Pfeffer; and Mike McCall.2016, Devolved Governance in Kenya: Participation of Vulnerable and Marginalized Communities in County Planning and Development Agenda *(forthcoming)*

	National Language	
	5.0 Social assessment	
	Population (small)	
	Unique culture	
	Traditional lifestyle	
	Traditional Livelihood	
	Geographic location	
	Distinct Language	

## ANNEX 4: SOCIAL SCREENING FORMS FOR ECAATP ACTIVITIES

To be filled by ECAATP /PCU Team

<b>A. BACKGROUND INFORMATION</b>	
A 1. Type/description/justification of proposed activity	
A 2. Location of activity	
A3. Duration of activity	
A 4. Focal point and person for activity	
<b>B. EXPECTED BENEFITS</b>	
B1. Benefits for local people	
B2. Benefits to Vulnerable and Marginalized Groups (VMGs)	
B3. Total Number of expected beneficiaries	
B4. Total Number of expected Vulnerable and Marginalized Peoples beneficiaries	
B5. Ratio of B4 and B5; Are benefits distributed equitably?	<input type="checkbox"/> YES <input type="checkbox"/> NO If NO state remedial measures
<b>C. POTENTIAL ADVERSE SOCIAL IMPACTS</b>	
C1. Will activity entail restriction of access of VMP to lands and related natural resources	<input type="checkbox"/> YES <input type="checkbox"/> NO If yes exclude from project
C2. Will activity entail commercial development of natural and cultural resources critical to VMGs	<input type="checkbox"/> YES <input type="checkbox"/> NO If yes exclude from project
C3. Will activity entail physical relocation of Vulnerable and Marginalized Peoples <input type="checkbox"/> YES <input type="checkbox"/> NO If yes exclude from project	<input type="checkbox"/> YES <input type="checkbox"/> NO If yes exclude from project
<b>D. CONSULTATION WITH IP</b>	
D1. Has VMP orientation to project been done for this group?	<input type="checkbox"/> YES <input type="checkbox"/> NO

D2. Has PRA/RRA been done in this area?	<input type="checkbox"/> YES <input type="checkbox"/> NO
D3. Did the VMP give broad support for project	<input type="checkbox"/> YES <input type="checkbox"/> NO

Prepared by: \_\_\_\_\_ Verified by: \_\_\_\_\_

Date: \_\_\_\_\_ Date: \_\_\_\_\_

*Note: Attach sketch maps and other relevant documents.*

## ANNEX 5: CHECKLIST FOR TRACKING VMGP IMPLEMENTATION

To be filled at community level projects as part ECAAT project review and monitoring

Criterion	Y	N	Explanation
<b>Screening</b>			
1. Have all VMGs in project area been identified (is screening adequate)?			Not stated
			The names of some groups have been mentioned; baseline survey has been proposed; Aggregates all groups together
			Detailed description of all indigenous groups is given
<b>Social Assessment</b>			
2. Has a social assessment been done (Is baseline data given)?			Not stated. Follow up and verify. Must be commensurate to impacts.
			Proposed to collect all relevant data - no specifics; data briefly stated; or not updated, data not disaggregated
			Disaggregated population data of IP; relevant socio-economic indicators have been stated; data that needs to be collected are listed;
3. Has legal framework been described?			Not stated. Verify and include.
			Brief mention of framework given. Expand on relevant sections.
			Constitutional provisions, legal statutes and government programs in relevant sectors related to indigenous peoples stated
Have benefits/ adverse impacts to VMGs groups been identified?			Not Discussed
			Potential impacts have been briefly discussed
			Potential positive and negative impacts identified and discussed
<b>Consultation, Participation, Community Support</b>			
			Not determinable. Follow up.

Have VMGs been involved in free, prior and informed consultation at the project implementation stage? Are there any records of consultation?			Brief mention that consultations have taken place; no details provided. Verify and secure documentation and follow up.
			Detailed description of process given; appropriate methods used, interlocutors are representative
Does project have verifiable broad community support (and how has it dealt with the issue of community representation)?			Not stated
			States that VMG groups will be involved in preparing village/community action plans; participation process briefly discussed
			Detailed description of participation strategy and action steps given
7. Is there a framework for consultation with VMG during the project implementation?			No
			Passing mention
			Detailed arrangements
<b>Vulnerable and Marginalized Groups Plan</b>			
8. Is there a specific plan (implementation schedule)?			Not stated. Develop one.
			Flexible time frame (activities need to be proposed); given activity wise; year-wise distribution; mentioned but integrated into another project document (RAP, etc.); no separate treatment; combined with RAP;
			Detailed description given
9. Does the VMGP include activities that benefit VMGs?			Not stated
			Activities stated but not detailed
			Activities clearly specify
10. Are activities culturally appropriate?			Not stated
			Cultural concerns noted but not explicit
			Activities support cultural norms
			Not stated

11. Have institutional arrangements for the VMGP been described?			Mentioned but integrated into another project document (RAP, etc.); no separate treatment
			Detailed description of agencies involved in implementation of plan, including applicable IPO's or tribal organizations.
12. Is a separate budget earmarked for the VMGP?			Not stated
			Mentioned but integrated into another project document (RAP, etc.); not broken down activity-wise
			Detailed description given
Are there specific monitoring indicators?			Not mentioned
			Proposed that monitoring indicators shall be designed later; Project outcomes that need to be monitored are stated
			Monitoring indicators disaggregated by ethnicity
Has a complaint/conflict resolution mechanism been outlined?			Not mentioned. Needs to be effected.
			Passing mention of mechanism in document
			Detailed description and few concrete steps of mechanism given
Were the VMP/VMGF disclosed in Infoshop and in Country in an appropriate language?			No, then need to consult and disclose.
			Disclosed in Infoshop make it available at county and community level
			Detailed Summary in appropriate form, manner and language
<b>Special Considerations</b>			
17. What other consideration can be taken to be pro-active to assure that VMGs are aware of the project, participate and benefit from of benefits in the commercial			None
			Passing mention
			Detailed considerations

development of natural and cultural resources?			
18. Does the sub-project require the physical relocation of VMGs?		N	The project will NOT physically relocate families and/or individuals under the CDD component. Should a proposed sub-project require physical relocation other options should be considered as there will be no relocation undertaken for the CDD projects at community level.



## ANNEX 6: DOCUMENTARY EVIDENCE OF CONSULTATIONS/IMAGES



*Figure 7: Consultative Meeting with farmers in the outskirts of Kachwekano ZARDI in Kabale*

*Figure 8: Consultative Meeting with NARO Management and Staff held in Mukono*



*Figure 9: NARO Scientists consulted at Kachwekano ZARDI in Kabale*





*Figure 10: Consultative Meeting with BugiZARDI Scientists and Staff in Bulambuli District*

