Feasibility Study for an Integrated Watershed Management Program for the Kagera River Basin

Grant No. TF095177

Annex D: Environmental and Social Management Framework and Stakeholder Engagement Guide

10 December 2012

LTS

If you have to print, we suggest you use, for economic and ecological reasons, double-sided print-outs as much as possible.

LTS International Ltd, Pentlands Science Park, Bush Loan, Penicuik, EH26 0PL, United Kingdom

Tel. +44 (0)131 440 5500 | Fax. +44 (0)131 440 5501 | Email: mail@ltsi.co.uk

Website: www.ltsi.co.uk

Registered in Scotland Number 100833

CONTENTS

TABLES

FINAL ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK

1. INTRODUCTION

This Environmental and Social Management Framework (ESMF), has been developed for the Integrated Watershed Management Programme (KIWMP) for the Kagera Basin. The framework contains baseline information on the Kagera, national, regional and international policies with relevant environmental and social aspects for the programme, World Bank safeguard policies, proposed country programmes, environmental and social implications of the proposed projects, the project approval and screening process, monitoring plan, institutional framework and capacity development.

It is meant to be used a management tool during project implementation. It describes the steps to be undertaken in the final selection and implementation of projects to be supported under KIWMP so that potential negative environmental and socio-economic impacts can identified and mitigation measures implemented.

The ESMF also provides a framework to enable communities/beneficiaries to screen projects and institutional mechanisms and responsibilities to address adverse environmental and social impacts.

Information for the ESMF has been derived from secondary sources such as the Preliminary Nile Equatorial Lakes Subsidiary Action Programme (NELSAP) ESMF, NELSAP Transboundary Cooperative Framework and Management Strategy and from outputs of the Feasibility Study on Integrated Watershed Management Programme (FS-KIWMP) which involved numerous stakeholders from district, national and regional levels.

1.1.1 Programme Objectives and rationale

The overall KIWMP Programme development objective is to advance long term investments and capacity building to leverage investment opportunities in the Kagera Sub-basin.

The immediate objective of the Kagera Sub-basin Integrated Watershed Management Programme is to provide continued and enhanced support to the sustainable watershed management of the Sub-Basin in order to improve the living conditions of the people, create alternative livelihoods, enhance agricultural productivity, protect the environment and in the long term reduce sediment transport and siltation of infrastructure and prepare for sustainable development oriented investments.

The overriding regional significance of this will be its contribution to enhanced food security and poverty alleviation in the Sub-basin and its long term contribution to arresting degradation of the natural resource base.

1.1.2 Programme Composition

The programme composed of four country programmes i.e. Burundi, Rwanda, Tanzania and Uganda country programmes and two wetland transboundary projects. Within each programme are watershed and wetland sub-projects as depicted in the Table 1 below:

Table 1: Kagera Basin Integrated Water Management Investment Programme Projects

Country	Project Title
Burundi	Integrated Watershed Management, Akanyaru Sub-watershed
Burundi	Stabilisation of Banks of Watercourses and Hillside Afforestation to reduce erosion and siltation, Ruvubu-1, Ruvubu-2 and Gitega Sub-watersheds
Burundi	Hill irrigation and rainwater harvesting in Cankuzo, Karuzi, Kirundo, Muyinga and Ruyigi Provinces
Burundi	Protection of Ecosystems through Environmental Flows, Ruvubu National Park.
Burundi	Alternative Livelihoods for Wetland Communities thru' Ecosystem Approach in the Nyamuswaga Wetlands.
Burundi	Assessing Impacts on Wetlands of Water Harvesting and Development on Groundwater Resources.
Rwanda	Soil & Water Conservation, Soil Improvement, Improved Fodder Production and Re-forestation, Akanyaru Sub-watershed, Nyaruguru District
Rwanda	Soil Conservation, Rainwater water harvesting, small-scale irrigation, Fruit and Fodder trees, Kagitumba Sub-watershed
Rwanda	Sustainable fishing at Lake Muhazi.
Rwanda	Protection of Wetland Ecosystems thru' Maintaining Environmental Flows.
Rwanda	Artificial wetlands for sustainable urban drainage
Tanzania	Soil Conservation in Karagwe and Ngara Districts
Tanzania	Protection and Conservation of Water Sources in Muleba and Biharamulo Districts
Tanzania	Supply of potable water to 15 villages, Kayanga, Bunazi and Kyaka Townships in Karagwe and District.
Tanzania	Flood Management in the Bigomba and Burugi Valleys: Ngara, Biharamulo & Muleba Districts.
Tanzania	Robust evidence base to inform management decision-making
Tanzania	Feasibility Study for Fisheries in Karagwe District, + Fish Ponds
Uganda	Land Rehabilitation in Kikagate Sub-County, Isingiro District
Uganda	Integrated Water Resource Management (IWRM) project, Kakuuto County in Rakai District
Uganda	Integrated Water Resource Management Project, Maziba catchment, Kabale District.
Uganda	Robust Evidence Base for informed Wetlands Management Decision Making
Uganda	Assessment of Potential for Payment for Environmental Services from Polluting Sources, Kagera-4 Sub-watershed
Uganda	Soil Conservation and Rehabilitation, Sustainable Wetlands

Country	Project Title
	Management and Alternative Livelihoods for Wetlands Communities through Ecosystem Approach, Ntungamo and Kagitumba (North) Sub-watersheds

1.2 Environmental and Social Management Framework

1.2.1 Objectives

The aim of this ESMF is to provide an overall framework for environmental and social management of the planned programme activities under the KIWMP of the Kagera Basin shared by Burundi, Rwanda, Tanzania and Uganda.

The ESMF seeks to:

a. Enhance positive and sustainable environmental and social outcomes associated with project preparation and implementation;

b. Integration of environmental and social aspects associated with the numerous projects into the decision making process;

c. Minimize environmental degradation as a result of either proposed individual projects or their cumulative effects and;

d. Minimize impacts on ecosystems.

The objectives of the ESMF include the following:

a. Establish clear procedures and methodologies for the environmental and social planning, review and approval of the projects under country programmes to be prepared under NELSAP;

b. Specify roles and responsibilities, and outline the necessary reporting procedures, for managing and monitoring environmental and social concerns related to projects;

c. Determine the training, capacity building needed to successfully implement the provisions of the ESMF.

1.2.2 Approach and Methodology

Information for the ESMF has been derived from secondary sources such as the Preliminary NELSAP ESMF, NELSAP Transboundary Cooperative Framework and Management Strategy and from outputs of the project identification exercise under the Feasibility Study on Integrated Watershed Management Programme (FS-KIWMP) under which this ESMF is an Annex. Information has also been derived from the Rwanda ESMF for the Lake Victoria Environmental Management Programme Phase II.

The project identification exercise under the overall FS-KIWMP involved numerous stakeholders from district, national and regional levels during various stages of project identification. Consultations on project identification took place at district level in the four countries. Other views on project identification were solicited from three regional workshops attended by representatives from district and national governments and civil society.

1.2.3 Users of the ESMF

This ESMF has been designed for the NELSAP Project Management Unit (PMU), the National Liaison Officers (NLOs) in each country and the project implementers who will be government technical departments at national and district levels and other stakeholders such

as civil society and community based organisations. It will assist these stakeholders in identifying and mitigating the potential environmental and social impacts of the potential future investment watershed and wetland projects during the preparation and implementation stages. It will also be useful to development partners who will be interested in financing the different projects under the country programmes.

2. BASELINE INFORMATION[1]

2.1 Agricultural Production

Land within the Kagera Basin is primarily used for agriculture, which accounts for over 75% of the productive uses of land in the basin. A study by WSP International (2003) found that the agricultural systems are characteristic of East and Central Africa, notably the dry land agro-pastoral system, based on savannah grasslands rich in indigenous plant and animal species, and the intensive, diversified cereal and banana-based cropping systems. However, the varying ecologies provide for a range of locally-adapted cropping, livestock and fishing activities and livelihood systems that are strongly influenced by water availability and quality.

The range of farming systems and social organisation has built on local knowledge generated over its long history of domestication and resource utilisation, evolving from the prehistoric hunters and fisher folk, to sedentary agriculture based on sorghum and finger millet and, subsequently, more intensive systems to meet increasing demands of the growing human populations and their livestock.

Nonetheless, the farming system remains essentially subsistence agriculture, with low or negligible purchased inputs, high labour input and limited sale of surplus food and cash crops (banana, maize, coffee), and livestock products (meat, milk, hides, breeding stock). Limited areas are under commercial farms (sugar cane, horticulture, coffee, tea). Some of the drier areas in eastern Rwanda and the drier belt across the North West Tanzania–Uganda border were, until recently, still used for semi-nomadic pastoralism – but most pastoralists have now settled to adopt other livelihoods. More widely across the basin there is a breakdown in traditional land protocols that regulate grazing.

The farming landscapes and the socio-economic and cultural context vary widely within and among districts and countries. The land use-livelihood systems can be classified in four main types, with several sub-types according to management intensity and biological diversity:

- Livestock based systems: transhumant/free grazing, paddock/ ranch;
- Mixed systems: agro-forestry, crop-livestock (tethered, zero grazing); crop-fish;
- Perennial arable/tree based systems: mainly banana and coffee, but also tea, cassava, mangoes, avocadoes;
- Annual cropping systems – cereal based and integrated to various extents with legumes, tubers and some agro-forestry species (e.g. *Grevillea, Cedrella, Calliandra).*

The livestock sector provides milk and meat to urban markets; however, many livestock products are consumed at home by farmers and herders. In mixed systems, livestock is an important source of manure, especially in densely populated areas, and cattle and small stock are a way of accumulating capital to insure the household against risk. In Rwanda and Burundi, cattle and other small stock were decimated during the genocide and wars; however, in lowland provinces, cattle herds have quickly rebuilt, as large herds were brought

[1] This baseline information has been adapted from the NELSAP Transboundary Cooperative Framework and Management Strategy (2008) by COWI Uganda.

back by 'old' refugees from Tanzania and Uganda. Small stock numbers have not rebuilt so fast but are an asset that is more widely owned, especially by women.

The traditional banana-based cropping system, still present in parts of Tanzania, has three typical land use types in a concentric pattern, with decreasing management intensity and hence fertility with distance from the central homestead: i) the intensive perennial banana – coffee home garden (kibanja), with multi-layers and mixed crop species and varieties (beans, maize, fruit trees) where nutrient cycling is concentrated; ii) small fields of mixed annual crops (kikamba) with lower inputs, poor soil fertility and risk of vermin damage; and iii) extensive annual crops (omusiri), such as yams and Bambara groundnut, with long fallow periods and uncontrolled burning on low quality grasslands on steep, shallow or sandy soils (rweya), these are grazed, cut for mulch in the kibanja and for house thatch and provide useful trees (e.g. Maesopsis eminii, Ficus spp, Markhamia platcalyx, oil palm and castor).

The resulting human-induced transfer of nutrients, in addition to variations in soil, land form and hydrology has led to large differences in soil fertility across the basin. Traditional land use systems sustained high productivity with low external resource inputs relying on rotations, fallows, shifting cultivation and transhumance / nomadic livelihoods. Increasing pressures on land resources are leading to changing land use systems, overexploitation of resources and greater reliance on poorer lands for crop and livestock production. In turn, this exacerbates poverty and vulnerability to environmental and health shocks, as well as inability to satisfy basic requirements – food, shelter clothing and access to health services, education and safe drinking water.

2.2 Forestry Resources

Natural forests are distributed unevenly in the Basin. They are mainly concentrated in the upper part of the Basin and less dominant in the lower part where forest cover is limited to relatively small artificial plantations and wind break strips surrounding agricultural fields.

The Rwandan part of the Basin mainly consists of unevenly distributed savannas and mixed forests occupying an area of about 90,000 hectares. It is further observed that the hilly northern and western catchments, where the drainage network originates, are facing degradation due to cultivation on very steep slopes.

The Burundian part of the Basin is dominated by savannas and pockets of forests. Important protected areas are; the Ruvubu National Park (50,000 ha); and the Kibira National Park (40,000 ha). The vegetation types in the forests are determined by altitude. The Bugesera Depression has a lower population density and hence has not been extensively degraded.

The Kagera region in Tanzania is fairly well endowed with natural forests covering 51.5% of the land area. However, Mwanza region has lost most of its tree cover and now only has about 130 km^2. Afforestation is being encouraged, and a four-pronged policy approach to forest cover increase is being pursued in Tanzania. The policy areas are: forest-land management; forest-based industries and products; ecosystem conservation and management; and institutions and human resources – all for the benefit of present and future generations.

In Uganda, forest reserves cover an estimated 1.5 million ha, representing about 7% of the country. They comprise 732,000 ha of high tropical forests, 775,000 ha of savannah forests and 25,000 ha of plantation forests. Forestry contributes to about 3% of the GDP and provides for more than 95% of the country's timber requirements. About 400,000 ha of forest are available for industrial use. The major potential exports include veneer; saw wood and furniture.

2.3 Mineral Resources

The mining industry in the basin is a major land use activity. Artisanal exploitation of the ores exists in the Burundi and relates to alluvial gold, Cassiterite, Columbo-tantalite and Wolframite. The activities have a significant negative impact on the environment because they cause pollution of the rivers by solid loads and an excessive silting of bottoms of valleys, making them unsuitable for agriculture.

Similarly in Rwanda, Cassiterite, Coltan, Wolfram and Colombo tentalum and other valuable materials such as sand, gravel and stones are obtained in various parts of the basin. Mining sand and stones is, however, not well regulated and there are concerns for the destruction of other natural resources particularly wetlands and fragile hillsides. Mining activities support significant proportions of livelihoods and local economies but there are concerns that current mining activities in Rwanda are not sustainable. The Government of Rwanda has intervened by outlawing mining in some areas, but appropriate mechanisms are needed to ensure a delicate balance between environment and livelihoods.

Mining in Kabarole is a major cause of pollution in the Nwogere, a tributary of the River Kanyaru. The storage of mine waste dumps, mercury contamination resulting from artisanal mining activities and the continued pumping of saline wastewater from mines and quarries poses a major pollution threat the swamp and lake region of the basin.

2.4 Wildlife Resources and Tourism

2.4.1 Biological diversity

The Lake Victoria Basin is a unique ecosystem sustaining a rich biological diversity of both flora and fauna. It features an ecological network with a stable pattern of natural processes. The sub catchments within Lake Victoria Basin contain various interacting micro-ecosystems that play a major role in maintaining and conserving biodiversity at the national and basin level.

The Kagera River Basin, in Rwanda and Burundi, is a typical example of these sub-ecosystems. It is here that the Akagera National Park, a nature reserve of high biological stature, is located. The basin has also been recognized to contain major wetland areas, which provide a habitat for various birds and animals. Sections of the Basin also enjoy international recognition and special protection under the United Nations Education Social Cultural Organization. Biodiversity in the basin consisted of about 500 species of fish prior to the introduction of the Nile Perch; approximately 200 bird species; a number of wild animal species and over 250 plant species.

2.4.2 Nature reserves and protected areas

The basin is endowed with a variety of wild life and sceneries with huge potential for nature and ecotourism. Sites for tourism include national parks, game reserves, wetlands, forests and unique physical features. The Basin has some of the best wildlife areas in the world. The wider Lake Victoria Basin has been designated as an Important Bird Area (IBA) with 70 IBAs. Endangered bird species in the Lake Basin include the vulnerable Papyrus Yellow Warbler Chrolopeta gracillostris and Papyrus Gonolek Laniarius mufumbiri.

Nature reserves in the Kagera basin suffer encroachment from agricultural development, livestock grazing and human settlements, partly resulting from high population growth and increasing levels of poverty. Subsistence hunting is prevalent in some places, leading to poaching and devastating bush fires.

In Rwanda there are three protected areas namely: Nyungwe Forest National Park in the West; Akagera National Park in the East; and the Volcano National Park in the north. The three protected areas constitute critical watersheds. These ecosystems provide unique

physical and geographical characteristics that support a variety of different life forms spread over different altitudinal ranges.

In addition to the economic returns from tourism, these Parks provide habitat to some of the rarest species, making them internationally important biodiversity sites. The parks in Rwanda are a major tourist attraction, contributing substantially to the economy through tourism revenues. There is, however, the pressure of encroachment on the park areas. For example, the Akagera National Park area was reduced from 331,000 ha in 1956 to 255,000 ha in 1992 and more was lost for refugee resettlement after the 1994 civil strife leaving only about 90,000 ha of the original park area.

However, the Kagera Basin area is yet to fully develop into a tourist destination. Potential for navigation of the river has been deemed as low and therefore barely developed. Significant investment is also required to put in place utilities and facilities in the tourism industry such as increased hotel accommodation, providing travel and tour operations, professional tour guiding, tourism promotion, and capacity building and linkages with supportive institutions. Eco-tourism is an important income earner in the hospitality industry. The element of environmental conservation, community development and leisure travel is a potential area for the basin's tourism development, which should be explored and exploited.

2.4.3 Wetlands[2]

Located in the Great Lakes Region of Africa, the River Kagera drains a basin area of 59,800 km^2, distributed among Burundi (22%), Rwanda (34%), Tanzania (34%) and Uganda (10%) (DWD/WWAP, 2005). The River Kagera makes the largest contribution to Lake Victoria, the second largest freshwater lake in the world (Sene & Plinston, 1994). The Kagera basin is characterised by the existence of many lakes and marshlands (Figure 1.1). The lakes and marshlands attenuate river flows, and the Kagera flow has a high baseflow component resulting from the water storage in these lakes and marshlands (Sutcliffe and Parks, 1999). The marshlands along the river valleys are inundated during floods in the peak rainfall months of April and May, whilst the lowest water levels are in August-October.

In this report, the term "wetlands" include both marshlands, also referred to in the region as bogs, fens, marshes (called marais in French), and swamps, and open waterbodies i.e. lakes and rivers, according to the wider Ramsar (1971) usage. In this report, wetlands are defined as areas of land permanently or temporarily flooded by surface water or regularly saturated by groundwater and characterised by vegetation adapted to life in saturated soil conditions. The Kagera wetland vegetation is predominantly papyrus grass and floating mats of sedge (BRL, 2008). The wetlands support a rich biological diversity with many endemic species and rare flora and fauna, including 180 species of birds, restricted ranges of species and globally threatened species (FAO, 2000).

Wetlands play an important role in the food web and supporting biological diversity, and humans benefit socio-economically from wetlands in terms of the ecosystem services they provide. Water is vital for people, livestock and industries, as well as hydropower generation, agriculture, water-based transport, fisheries, waste discharge, tourism and environmental conservation. Wetlands, therefore, are of immense value to local and national economies, and thus poverty alleviation.

Marshlands cover 2.9% of the area of the Kagera basin and open water bodies another 1.6%, which does not reflect their significant importance to the basin as a whole. The lakes, marshlands and rivers are closely related as the Kagera basin is comprised of two principal types of marshland ecosystems. The first are lacustrine (associated with lakes) marshlands such as those around Lakes Cyohoha, Ihema and Rweru, and at Sango Bay where the Kagera river enters Lake Victoria. The second are riverine (associated with rivers)

[2] Adapted from the FS-KIWMP Wetlands Sectoral and Technical Report

marshlands such as those along the Akagera, Akanyaru, Kagera, Mugesera, Ngono and Nyabarongo rivers.

The main tributaries of the Kagera are the Akanyaru and Nyabarongo (which join to form the Akagera) from western Rwanda and the Ruvubu from Burundi, all of which have flatter sections where lakes and marshlands have formed. The Akagera and Ruvubu join to form the Kagera at Rusumo Falls where the channel drops 30 m over 1 km. Below Rusumo Falls, the Kagera is flanked by lakes and marshlands up to 15 km wide for approximately 200 km, before turning east towards Lake Victoria. The Mwisa and Ngono rivers from western Tanzania flow through lakes and seasonal marshlands for most of their length before joining the Kagera near its mouth where there are permanent wetlands.

2.4.4 Fisheries

In the up-stream catchment areas in Burundi and Rwanda, lakes with proven potential for commercial fisheries include lakes of southern Rwihinda and Coyoha, Rweru, Kazingiri, Gaharwa, Kirumbi and Bugesera located in the southern floodplain, Ihema, Kivumba and Rwanyakizinga located in Akagera National Park, and Bulera and Ruhondo found in Ruhengeri close to the border with Uganda. Riverine fish is being exploited for subsistence purposes. The fisheries of Lakes Rweru, Ihema and Muhazi can be commercially redeveloped as these lakes had commercial fisheries that collapsed during the civil strife in 1994.

2.5 Demographic and Socio-economic Characteristics[3]

The basin population in 2006 was estimated to be 16.5 million people; and expected grow to 32.8 million by 2030 based on average population growth rates for the period 1999-2015 of 3% per year, see Table 2 below.

Table 2: Population Distribution in the Kagera River Basin

Countries sharing the Kagera Basin	Land area km^2	% Land Area of Basin	Basin Share of National Population in millions (of total)	Basin Population Projections, in millions (growth rate)		Population Density in Kagera Basin (per km^2)	
			In 2002	in 2015	in 2030	in 2002	in 2015
Uganda	5,980	10	0.8 (of 24.4)	1.3 (3.9%)	3.3 (3.9%)	135	221
Tanzania	20,210	34	1.2 (of 34.4)	1.8 (3.1%)	2.9 (3.1%)	61 131**	- 220
Rwanda	20,550	34	7.6 (of 8.6)	10.7 (2.6%)	15.7 (2.6%)	372 <500**	519
Burundi	13,060	22	3.3 (of 6.6)	4.7 (2.9%)	7.3 (2.9%)	250	362
Totals	59,800	100	12.9	18.5	29.2	216	488

** Effective population density (excluding protected areas, etc.)

[3] Adapted from the NELSAP Transboundary Cooperative Framework and Management Strategy (2008) by COWI Uganda.

In Burundi, 46% are under 15 years of age. The river basin covers most of the surface area of Rwanda (80%) and a large share in Burundi (50%) - both among the poorest and most densely populated countries in the world with over 500 inhabitants per km^2 in the cultivable lands.

In Rwanda and Burundi over 90% of the populations are engaged in subsistence farming, with extremely small farms and fragmented plots (the mean area is 0.6 ha; only 2% of holdings exceed 3 ha.). In Uganda and Tanzania, some 80% of the population is rural and again the majority engaged in small-scale agriculture. Due to rural-urban migration, urban growth is significant, averaging over 4% growth/year in the largest cities, Kigali (650,000 persons), Bukoba (180,000 persons) and Mbarara (69,360 persons).

The majority of the rural population in the basin is very poor (few tools, poor housing, small land area, little disposable income); they are unable to invest in improved resources management or education (see Table 3).

Table 3: Socio-Economic Development Indicators

Indicators		Uganda	Rwanda	Tanzania, U. Rep. of	Burundi
HDI rank	2003	144	159	164	169
Human development index (HDI) value	2003	0.508	0.450	0.418	0.378
Life expectancy at birth (years) (HDI)	2003a	47.3	43.9	46.0	43.6
GDP per capita (PPP US$) (HDI)	2003	1,457 m	1,268 m	621	648 m
Adult illiteracy rate (% ages 15 and above)	2003b	31.1 p	36.0	30.6	41.1
Population living below $1 a day (%)	1990-2003c	..	51.7	19.9	58.4
Urban population (% of total)	1975d	8.3	4.0	10.1	3.2
	2003e,d	12.3	18.5	35.4	10.0
	2015e,d	14.2	40.5	46.8	14.6
Physicians (per 100,000 people)	1990-2004f	5	2	2	5
Population with sustainable access to an improved water source (%)	1990	44	58	38	69
	2002	56	73	73	79
HIV prevalence (% ages 15-49)	2003g	4.1 [2.8 - 6.6]	5.1 [3.4 - 7.6]	8.8 [6.4 - 11.9]	6.0 [4.1 - 8.8]
Malaria cases (per 100,000 people)	2000h	46	6,510	1,207 r	48,098
Tuberculosis cases (per 100,000 people)	2003i	621	628	476	519
GDP per capita annual growth rate (%)	1975-2003	2.6 s	-0.5	0.8 s	-0.9
	1990-2003	3.9	0.7	1.0	-3.5
Terms of trade (1980=100)	2002j	..	133	..	58
Official development assistance (ODA) received (net disbursements) (as % of GDP)	1990k	15.5	11.3	27.5	23.3
	2003k	15.2	20.3	16.2	37.6
Total debt service (As % of GDP)	1990	3.4	0.8	4.2	3.7
	2003	1.3	1.3	0.9	4.9
Ratio of estimated female to male earned income	l	0.67	0.62	0.71	0.72

Source: (UN, 2004; OECD, 2005; UN, 2005b; UNAIDS, 2005; UNESCO, 2005; WHO, 2005; World Bank, 2005)

Notes:
a. The HDI rank is determined using HDI values to the fifth decimal point.

b. Data refer to national literacy estimates from censuses or surveys conducted between 2000 and 2004, unless otherwise noted. Due to differences in methodology and timeliness of underlying data, comparisons across countries and over time should be made with caution. For more details, see http://www.uis.unesco.org/ev.php?ID=4930_201&ID2=DO_TOPIC.
c. Data refer to the most recent year available during the period specified.
d. Because data are based on national definitions of what constitutes a city or metropolitan area, cross-country comparisons should be made with caution.
e. Data refer to medium-variant projections.
f. Data refer to the most recent year available during the period specified.
g. Data refer to point and range estimates based on new estimation models developed by the Joint United Nations Programme on HIV/AIDS (UNAIDS). Range estimates are presented in square brackets. Regional aggregates refer to 2004.
h. Data refer to malaria cases reported to the World Health Organization (WHO) and may represent only a fraction of the true number in a country.
i. Data refer to the prevalence of all forms of tuberculosis.
j. The ratio of the export price index to the import price index measured relative to the base year 1980. A value of more than 100 means that the price of exports has risen relative to the price of imports.
k. ODA receipts are total net ODA flows from DAC countries as well as Czech Republic, Hungary, Iceland, Israel, Korea, Kuwait, Poland, Saudi Arabia, Slovak Republic, Turkey, United Arab Emirates, other small donors, including Estonia, Latvia and Lithuania, and concessional lending from multilateral organizations.
l. Calculated on the basis of data in columns 9 and 10 in table 25. Estimates are based on data for the most recent year available during the period 1991-2003.
m. Estimate based on regression.
n. Data refer to a year between 1995 and 1999.
o. UNICEF (United Nations Children's Fund). 2004. The State of the World's Children 2005. New York: Oxford University Press. Data refer to a year or period other than that specified, differ from the standard definition or refer to only part of a country.
p. Estimate produced by UNESCO Institute for Statistics in July 2002.
q. Estimates are based on outdated census or household survey information and should be interpreted with caution.
r. Data refer to 1999.
s. Data refer to a period shorter than that specified.

The communities living in the basin have limited access to improved technologies, information and services (research, credit, reliable markets, inputs and dispensaries). In upland areas, water is scarce both for domestic use and livestock as wells and watering points are mostly in lowland areas, or is sold from kiosks at prices most people cannot afford. In large areas of the basin, fuel wood is also in increasing short supply and alternatives such as paraffin or electricity are only accessible in the few urban centres.

Labour is a major constraint, especially due to the severe impacts of HIV/AIDS and malaria, which particularly affects women. Sickness also diverts limited incomes from investment in land for care and medicines. Markets are limited to certain commodities and prices for most agricultural products are extremely low and unreliable, often affected by urban pro-policies and exploitation by 'middle-men'.

Insecurity of land tenure restrains investment in the land and discourages youth from entering into agriculture due to delays in inheriting land and low potential incomes. As a result of HIV/AIDs and rural exodus, there is a serious generational loss in the transfer of local/ indigenous knowledge (traditional medicines, use/management of local species/ varieties, soil and water management, biocontrol of pests and diseases, etc.). Many households are headed by women, and as a result of the war, in Rwanda women now comprise 60% of the total population (WSP International, 2003).

Poverty in Burundi is particularly severe, where the economy has stagnated as a result of the civil war and insecurity (agriculture provides 95% of food needs and 80% of export income - largely tea and coffee; subsistence food crops occupy 90% of cultivated land). Refugee movements in recent decades have increased pressures on resources in the basin, increasing actual and potential conflicts between interest groups and countries and pressures on protected areas. Most notably, two-thirds of the Akagera National Park was de-

gazetted in response to population pressure after the civil strife in Rwanda in 1994, for use by return refugees as smallholder arable farms. Resettlement of refugees into these new areas has created major problems as the land resources are very fragile, settlers do not hold indigenous knowledge and wildlife in the park are endangered by reduced habitat area and poaching.

The highly variable biophysical conditions and varied land use-livelihood systems developed by different socio-economic and cultural groups, through local experiences, knowledge and exchange of germplasm and driven by needs and opportunities faced by the growing populations, has led to the conservation and development of characteristic highly adapted species (drought resistant plant species, mobile animal races) and high within-species diversity in the Kagera basin. However, this agro-ecosystems and biodiversity heritage is increasingly threatened by overexploitation of resources and resulting degradation which are influenced by the transboundary nature of the basin.

3. Policy Frameworks for Environmental and Social Aspects

The national, regional and international policy frameworks discussed in this section only pertain to the environment and social issues which the four countries will need to abide by for the implementation of the KIWMP. Other sectoral policies are not discussed here but can be referred to under Annex E of the main report.

3.1 National Policy Frameworks

3.1.1 Rwanda

Rwanda's policy framework for environmental management is grounded in four key documents: the National Environment Policy 2003, the Economic Development and Poverty Reduction Strategy (EDPRS), Vision 2020, and the Land Policy 2004. The position of environment in the overall national governance framework in Rwanda has become more prominent with successive institutional reforms.

a. National Environment Policy

The National Environment Policy was approved in 2003, and is the basis, alongside the Organic Law on Environment, for environmental protection and conservation activities in Rwanda. It outlines the objectives and principles of Rwanda's national environmental policy. The major objectives are to improve the standard of living and the sustainable use of natural resources and to protect and manage natural areas for balanced and sustainable development. The specific objectives of the environmental policy are to:

- Improve the health of the Rwandan people and promote their socioeconomic development through the sustainable management and utilization of natural resources and the environment
- Integrate environmental aspects into all policies, planning, and implementation activities carried out at the national, provincial, and local levels with total participation of the population
- Conserve and restore ecosystems and maintain dynamic ecology and systems health, especially national biological diversity
- Optimize sustainable use of natural resources
- Sensitize the population to environmental values and the relationships between the environment and development

- Ensure the participation of both individuals and communities in activities aimed at improving the environment, with particular attention to women and young people
- Ensure that the basic needs of Rwandans today and those of future generations are satisfied

b. Rwanda Organic Law

The Organic Law Determining the Modalities of Protection, Conservation and Promotion of the Environment in Rwanda ("the Environment Act") is the principal law on protection of the environment. It was passed in April 2005 to provide guidelines of protecting, conserving and promoting the environment in Rwanda. Its regulatory aims include conserving the environment, ensuring sustainable development that does not harm the environment as well as setting up strategies for protection of the environment. The Environment Act establishes the Rwanda Environment Management Authority as a body responsible for implementing government policy on environment, carrying out environmental monitoring on all development programmes and taking part in establishing procedures and safeguards to prevent damage to the environment.

c. Poverty Reduction (EDPRS 2007-2012)

Rwanda's EDPRS (2007-2012) builds on the relatively impressive achievements in human capital development during the PRSP. But it also represents a rapid departure from the PRSP, which focused on social sectors (health, education, water and sanitation), by giving greater priority to economic growth sectors, hence economic development and poverty reduction. The rationale for the shift was that focusing on social sectors was not sustainable without generating an economic growth to support them. The EDPRS has three flagship programmes, which provide strategic guidance to general and sectoral priority setting; resource mobilization and public expenditure allocations; and coordination of policy implementation.

d. Vision 2020 Umurenge

In Rwanda's Vision 2020 Umurenge, environment is among the priorities; it addresses sustainable management of national holdings, the environment, and such natural resources as soils, water, energy, and biodiversity. For managing and protecting natural resources and the environment, Rwanda plans to reach the following goals by 2020:

- Reduce the percentage of the population dependent on agriculture from 90 to 50 per cent
- Increase and update environmental protections adapted to sustainable management of natural resources
- Reduce by up to 60 per cent the rate of morbidity related to environmental degradation
- Decrease the number of fuel wood users from 50 to 24 per cent

3.1.2 Burundi

a. National Environment Strategy 2000

The National Environment Strategy of Burundi is a response to resolve conflict between the objectives of development and those of protection of natural and environmental resources, proposing measures suitable to restore or safeguard a balance between interests of development and those of environment. It aims at organizing a coherent and cooperative set

of complementary structures for better management of national and global environment. The specific objectives are: capacity building of the Ministry in charge of Environment (Ministry of Water, Environment, Territorial Administration and Urban Planning MWETAUP), the improvement of intersectional coordination for better management of environment for sustainable development, the adoption of a participative approach and principles of good environmental management in the planning and implementation of actions, the emergence and operation of associations, NGOs and groups defending environment.

b. Environment Code

This Code (Law No. 1/010 of June 30, 2000 on the Environmental Code in Burundi) sets the fundamental rules intended to enable the environmental management and protection against all forms of degradation so as to safeguard and promote the rational exploitation of natural resources, fight against pollution, and improve the population's living conditions in respect of the balance of ecosystems.

c. Poverty Reduction Strategy Paper (2006)

The PRSP casts Burundi towards a better future through reforms and programs whose objective is to build a new society of hope for Burundians early in the third millennium. The vision of the strategy is medium- and long-term development of Burundi for the reduction of poverty. "The promotion of sustainable and equitable economic growth" is one of four strategic lines affecting the environment. The PRSP's most pertinent points are the re-launching of agriculture, livestock, fisheries, and fish farming and the improvement of environment protection. For the re-launching of agriculture, livestock, fisheries, and fish farming, the PRSP provides several useful guidelines for agro-biodiversity conservation. For the improvement and protection of the environment, the PRSP also calls for the involvement of the private sector and other non-State bodies in the management and exploitation of natural resources.

3.1.3 Tanzania

The national policies related to the environment and watershed management in Tanzania are The National Poverty Eradication Strategy, Development Vision 2025, Poverty Reduction Strategy Paper, National Strategy for Growth and Reduction of Poverty, Agricultural Policy, Agricultural Sector Development Strategy, Agriculture and Livestock Policy, Mineral Policy, National Energy Policy, National Environmental Policy, National Fisheries Sector Policy and Strategy Statement, National Forest Policy, National Irrigation Policy, National Land Policy, National Water Policy, Natural Resources Law, Rural Development Strategy. Most of the policies stress the need for community participation and involvement in management of the environment and natural resources.

a. National Environmental Policy (1997)

The overall objectives of the Tanzania National Environmental Policy are: (i) To ensure sustainability, security and equitable use of resources for meeting the basic need of the present and future generations without degrading the environment or risking health or safety; (ii) To prevent and control degradation of land, water, vegetation, and air which constitute our life support systems; (iii) To conserve and enhance natural, including the biological diversity of unique ecosystems; (iv) To improve the condition and productivity of degraded areas including urban and rural settlements in order that all Tanzanians may live in safe, healthful, productive and aesthetically pleasing surroundings; (v) To raise awareness and understanding of the essential linkages between environment and development, and

promote individual and community participation in environmental action; and (vi) To promote international co-operation on the environmental agenda, and to expand participation and contribution to relevant bilateral, sub-regional, regional programs, including implementation of treaties.

b. National Strategy for Growth and Reduction of Poverty II (NSGRP II or MKUKUTA II)

The Strategy is a continuation of the government and national commitments to accelerating economic growth and fighting poverty. It is a successor to the first National Strategy for Growth and Reduction of Poverty implemented from 2005/06 to 2009/10. MKUKUTA II emphasizes: on (i) focused and sharper prioritization of interventions - projects and programmes in key priority growth and poverty reduction sectors; (ii) strengthening evidence based planning and resource allocation in the priority interventions; (iii) aligning strategic plans of Ministries, Departments and Agencies (MDAs) and Local Government Authorities (LGAs) to this strategy; (iv) strengthening government's and national implementation capacity; (v) scaling up the role and participation of the private sector in priority areas of growth and poverty reduction; (vi) improving human resources capacity, in terms of skills, knowledge, and efficient deployment; (vii) fostering changes in mind-set toward hard work, patriotism, and self-reliance; (viii) mainstreaming cross cutting issues in MDAs and LGAs processes; (ix) strengthening the monitoring and reporting systems; and (x) better implementation of core reforms, including further improvement of public financial management systems[4].

3.1.4 Uganda

a. National Environment Management Policy (1994)

The National Environment Management Policy for Uganda 1994 laid the foundation in which the subsequent policies, laws and strategies for sustainable development are anchored. Its overall goal is "sustainable social and economic development which maintains or enhances environmental quality and resource productivity on a long-term basis that meets the needs of the present generations without compromising the ability of future generations to meet their own needs".

The overall goal of National Environment Management Policy is to promote inter-generational equity and sustainable development that maintains and enhances environmental quality and resources periodicity to meet the needs of the present generation without compromising the ability of future generations to meet their needs.

Overall, the legal and policy framework for integrating environmental concerns in development is strong, and has actually become even stronger in the recent years. This has been shown in the case of the Constitution, National Environment Act and National Planning Authority Act. Further, whereas the policies and laws formulated in early 1990s broadly talk of socio-economic development, those in 2000s expressly specify the importance of poverty reduction and livelihoods. For example, one of the purposes of the National Forestry and Tree Planting Act 2003 is "to promote the improvement of livelihoods through strategies and actions that contribute to poverty eradication".

[4] United Republic of Tanzania (2010). National Strategy for Growth and Reduction of Poverty. Ministry of Finance and Economic Affairs.

b. Vision 2025

It aims at achieving the following: Attaining sustainable socio-economic development, which maintains or enhances environmental quality and resource productivity on a long-term basis in order to meet the needs of the present generation without compromising the ability of the future generation to meet their needs.

The overall poverty eradication strategy[5] is based on the following principles:

- The public sector's role is to intervene in areas where markets function poorly or would produce very inequitable outcomes.
- Where the public sector intervenes, it should use the most cost-effective methods, including the use of NGOs for service delivery where appropriate.
- Poverty-eradication is a partnership and should involve the closest possible integration of the efforts of government with its development partners.
- All government policies should reflect the importance of distributional considerations, of gender, of children's rights, and of environmental impacts.
- Each area of public action will be guided by the formulation of desired outcomes and the designs of inputs and outputs to promote them.

Strategic public action for poverty eradication is established on four pillars:

- Creating a framework for economic growth and transformation;
- Good governance and security;
- Actions which directly increase the ability of the poor to raise their incomes;
- Actions which directly improve the quality of life of the poor.

3.2 Regional Policies[6]

Regional environmental policies will also be relevant to the implementation of the KIWMP transboundary programme with respect to environmental and social issues. The relevant ones are outlined below:

a. Nile Treaties

There are about eleven treaties dealing with the consumptive use of the waters of River Nile and Lake Victoria. The riparian countries are under limited obligations under general international law to permit the lower riparian States an equitable share of the water, but then the exact modalities would be subject to fresh negotiations. The Nile Basin Initiative is currently addressing the issue of equitable utilization of the common Nile Basin water resources.

The Nile Basin Initiative seeks to harness the tremendous potential of the Nile for the benefit of the people of the Basin, both for now and for generations to come. This becomes a major challenge because as economic development accelerates, population increases and demand for water grows.

---

[5] Poverty Reduction Strategy Paper. Uganda's Poverty Eradication Action Plan, Summary and Main Objectives. Ministry of Finance, Planning and Economic Development, Kampala, Uganda. March 24, 2000

[6] Adapted from ESMF for Rwanda LVEMP II (2011).

Nile Basin Initiative's Shared Vision puts economic development at its centre. The Shared Vision is: *"To achieve sustainable socio-economic development through the equitable utilization of, and benefits from, the common Nile Basin water resources" or in short Sustainable development of the River Nile for the benefit of all".*

b. East African Community Protocol on Environment

The protocol was signed by the Partner States of the East African Community on 29th November 2003. It has relevant provisions for environmental and social management for the programme.

Article 5: Paragraph 4 provides that Partners States should promote sustainable utilization of water resources while taking into consideration factors such as ecology, geographic, climatic, hydrologic factors among others; the social and economic needs of each Partner States; the population dependent on the water resources; existing & potential uses of the water resources.

Article 6: Paragraph 1 identifies the protection and conservation of the basin and its ecosystem with emphasis on improving water quality and quantity; preventing the introduction of invasive species; conservation of biological diversity and forest resources; protection and conservation of wetlands and fisheries resources conservation. Part 2 of the article provides for the harmonization of laws and policies for stakeholder participation in protection, conservation and rehabilitation.

Sustainable agriculture and land use practices to achieve food security and rational agricultural production is provided for in Article 9.

Article 12 of the Protocol urges Partner States to develop national laws and regulations requiring project proponents to undertake Environmental Impact Assessments (EIA) and review of EIA reports to be done by all the Partner States if the potential impacts are likely to be trans-boundary and the same to apply for Environmental Audits in Article 13. Partner states should ensure control of pollution from non-point sources through legal, economic and social measures. This is provided for in Article 20 which further states that pollution control measures should promote sustainable forestry practices, appropriate agricultural land use methods, sanitation and hygiene within the basin.

Public participation is provided for in Article 22 which should be enhanced to influence government decisions on project formulation and implementation.

Article 23 of the Protocol provides that Partner States should promote Community involvement and mainstreaming gender concerns at all levels of socio-economic development especially in decision making, policy formulation and implementation of projects and programmes.

c. East African Climate Change Master Plan

This plan attempts to provide an effective and integrated response to regional climate change adaptation. It also seeks to enhance the mitigation potential of Partner States in the energy, infrastructure, agriculture and forestry sectors, streamline and harmonise existing and on-going trans-boundary mitigation and adaptation projects or activities and foster strong international cooperation to address issues related to climate change including enhancing the negotiating ability of the Partner States in the African Union and other forums including the UNFCCC. It also addresses the mobilisation of financial and other resources to implement the activities outlined therein. The implementation of KIWMP will have implications on climate change adaptation and mitigation and thus implementation of activities especially in the agriculture and forestry sectors will need to adhere to the provisions of this plan.

3.3 International Conventions

The KIWMP will also need to abide by international conventions related to the environment. They are outlined below:

a. United Nations Convention on Biological Convention (CBD)

The three goals of the CBD are to promote the conservation of biodiversity, the sustainable use of its components, and the fair and equitable sharing of benefits arising out of the utilization of genetic resources. Rwanda being a signatory of this convention it's supposed to work towards the achievement of the three goals.

The convention calls for the adoption of national strategies, plans and programmes for the conservation and sustainable use of biological diversity into their relevant sectoral and cross-sectional plans, programmes and policies. One of the tools that are prescribed for the management of biodiversity is EIAs. Article 14 of the convention addresses impact assessments, and the mitigation of negative impacts emanating from activity implementation.

b. Ramsar Convention on Wetlands

The Convention on Wetlands is an intergovernmental treaty which provides the framework for national action and international cooperation for the conservation and wise use of wetlands and their resources. There are presently 146 Contracting Parties to the Convention, with 1508 wetland sites. The Convention calls for governments to provide framework for national action and international cooperation for the conservation and wise use of wetlands and their resources. The KIWMP has second priority projects (Extension of RAMSAR sites) which will be implemented after Phase 1.

c. Convention on the Protection and Use of Transboundary Watercourses and International Lakes

The Convention of the Protection and Use of Transboundary Watercourses and International Lakes (Water Convention) is intended to strengthen national measures for the protection and ecologically sound management of transboundary surface waters and groundwater. The Convention obliges Parties to prevent, control and reduce water pollution from point and non-point sources. The Convention also includes provisions for monitoring, research and development, consultations, warning and alarm systems, mutual assistance, institutional arrangements, and the exchange and protection of information, as well as public access to information. This convention is important to the programme due to the Kagera basin's contribution to the Nile River and the Lake Victoria.

The Convention obliges Parties to prevent, control and reduce water pollution from point and non-point sources. The Convention also includes provisions for monitoring, research and development, consultations, warning and alarm systems, mutual assistance, institutional arrangements, and the exchange and protection of information, as well as public access to information. Article 3 of the convention calls for the application of environmental impact assessments, and other means of assessment for the prevention, control and reduction of transboundary watercourses and international lakes.

d. Convention on the Conservation of Migratory Species

The convention on migratory species (CMS) was adopted to conserve migratory species of wild animals given that migratory species are seen as an international resource. Such species may be terrestrial or marine. The conventions agreement on the conservation of

African-Eurasian migratory water birds is specific on the need to protect the feeding, breeding and wintering habitats, the main ones being wetlands and open water bodies. The convention is relevant due to presence of migratory bird species and other aquatic organisms within some of the project areas.

e. United Nations Framework Convention on Climate Change (UNFCCC)

The United Nations Framework Convention on Climate Change (UNFCCC) provides the basis for global action "to protect the climate system for present and future generations".

The Convention on Climate Change sets an overall framework for intergovernmental efforts to tackle the challenge posed by climate change. It recognizes that the climate system is a shared resource whose stability can be affected by industrial and other emissions of carbon dioxide and other greenhouse gases. The Convention enjoys near universal membership, with 189 countries having ratified.

The ultimate objective of this Convention and any related legal instruments that the Conference of the Parties may adopt is to achieve, in accordance with the relevant provisions of the Convention, stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system. Such a level should be achieved within a time frame sufficient to allow ecosystems to adapt naturally to climate change, to ensure that food production is not threatened and to enable economic development to proceed in a sustainable manner.

Under the Convention, governments:

- Gather and share information on greenhouse gas emissions, national policies and best practices.
- Launch national strategies for addressing greenhouse gas emissions and adapting to expected impacts, including the provision of financial and technological support to developing countries.
- Cooperate in preparing for adaptation to the impacts of climate change.

f. United Nations Convention to Combat Desertification

The objective of the United Nations Convention to Combat Desertification (UNCCD) is to combat desertification and to mitigate the effects of droughts in seriously affected countries, especially those in Africa. It seeks to achieve this objective through integrated approaches to development, supported by international cooperation and partnership arrangements, in affected areas. It lays emphasis on long term strategies to focus on improved productivity of land and the rehabilitation, conservation and sustainable management of land and water resources, leading to improved living conditions, in particular at the community level. The proposed KIWMP is designed to implement the requirements of the UNCDD.

4. WORLD BANK SAFEGUARD POLICIES

The ESMF takes into account World Bank Safeguard Policies that are relevant to environmental and social issues with respect to NELSAP projects. The proposed investment projects of the KIWMP have been subjected to these safeguards and the details are found in each Project Fiche.

Projects are categorized according to the World Bank, screening procedure (World Bank Operational Policy (OP 4.01). The procedure classifies projects into one of three environmental assessment categories A, B and C, depending on the type, location, sensitivity and scale of the project and the nature and the magnitude of its potential environmental and social impact. They are the following:

a. **Category "A" projects** potentially cause significant and irremediable environmental impacts; the projects require a full, detailed EIA, which needs to be approved before the Bank can give its support.

b. **Category "B" projects** cause lesser impacts, which are often essentially remediable or can be mitigated; the projects require the implementation of an Environmental Impact Evaluation (EIE), which requires fewer details than an EIA.

c. **Category "C" projects** have little or no environmental impact; the projects do not require an EIE or EIA.

Table 4 below outlined the different safeguards[7] that will be relevant to KIWMP projects.

Table 4: World Bank Safeguard Policies[8]

SAFEGUARD NO	SAFEGUARD DESCRIPTION	APPLICATION TO NELSAP PROJECTS
OP 4.01 (Environmental Assessment).	EA to be conducted for all projects that fall into either World Bank Category A or Category B.	The projects support the preparation of variety of infrastructure and may proceed to construction that could have adverse environmental and social impacts. The ESMF checklists are designed to identify these potential impacts, and propose practical ways of avoiding or mitigating them.
OP 4.04 (Natural Habitats)	The conservation of natural habitat is essential for long-term sustainable development. The Bank supports, and expects borrowers to apply, a precautionary approach to natural resources management to ensure opportunities for environmentally sustainable development. The Bank does not support projects that involve the significant conservation or degradation of critical natural habitats.	The projects may impact on natural habitats through encroachment, vegetation clearing or other nuisances. To address this concern, the ESMF will provide appropriate checklist tools, resource sheets and planning methods to identify any potential impacts of projects on natural habitats, reserves or protected areas, and to develop appropriate mitigation measures to minimize or avoid damage, or compensate for it.
OP 4.09 (Pest Management).	In Bank- Financing operations, pests are controlled through	The projects may support livestock or agricultural development. Preparation and eventual implementation could result in the introduction of

[7] Adapted from Preliminary NELSAP ESMF

[8] http://go.worldbank.org/4D2JSWFIW0

SAFEGUARD NO	SAFEGUARD DESCRIPTION	APPLICATION TO NELSAP PROJECTS
	IPM approaches, such as biological control, cultural practices, and the development and use of crop varieties resistant or tolerant to the pest. The Bank may Finance the purchase of pesticides when their use is justified under an IPM approach.	pest management activities in certain areas. The ESMF implementation tools and procedures are designed to identify the potential for the introduction or expansion of pest management activities, as needed, and prepare pest management plans if required.
OP 4.11Cultural Property	The Bank supports the preservation of cultural properties which includes sites with archaeological, paleontological, historical, religious or unique natural values. It seeks to avoid impacts on such sites	The projects may support the preparation and may implement activities that could have adverse impacts on existing cultural properties. To address this concern, the ESMF provides appropriate checklist tools, resource sheets and planning methods to identify any potential impacts of projects on cultural properties and to develop appropriate mitigation measures to minimize or avoid damage, or compensate for it.
OP 4.12 (Involuntary Resettlement).	People who have to be removed or who lose their livelihood as a result of the project must be resettled, compensated for all of their losses and they must be provided with a situation that is at least as good as the one from which they came.	The Projects may require land for construction of infrastructure which will impact on community livelihood. To ensure that current landowners are properly compensated, Resettlement policy frameworks will be undertaken and will guide the mode of compensation.
OP 4.20 Indigenous Peoples	This policy covers local indigenous people or distinct groups who are marginalized in society and who could be adversely affected by the project. The Bank does not support projects that negatively affect these peoples.	The Projects may require land or other natural resources which will affect indigenous people or distinct groups' livelihood. To ensure that current landowners are properly compensated, Resettlement policy frameworks will be undertaken and will guide the mode of compensation.
OP 4.36 (Forests).	The Bank's lending operations in the forest sector are conditional on government commitment to undertake sustainable management and conservation-oriented forestry. In forest areas of high ecological value, the Bank finances only preservation and light, non-extractive use of forest areas.	The projects may support the preparation of variety of infrastructure and may proceed to constructions that could have adverse impacts on existing forests. Criteria will be added to the ESMF checklist to address potential impacts on forestry resources. Project preparation will also ensure that avenues for awareness into community forest protection, illegal logging, and poaching are included.
OP 7.50 (Projects in International Waterways).	If a project has the potential to negatively affect the quality or quantity of water of a waterway shared with other nations the Bank will insist that a negotiated agreement be established between the two or more nations involved. Irrigation, drainage, water and sewage, industrial and similar projects that involve the use or potential pollution of international waterways (rivers, canals, lakes or similar bodies of water)	The projects are transboundary in nature, and involve drawing/use of water from shared water courses between two or more countries. The projects will follow the Nile Basin Initiative project notification procedures to notify riparian countries where the intervention is proposed about the Project and the anticipated scale of withdrawals.
OP 7.60 Disputed areas	Projects in disputed areas could affect relations between the country within which the project is being developed and neighbouring countries. Disputes	The Project may involve activities along border areas where the exact location of the international border is in dispute. Projects which may fall within the disputed area

SAFEGUARD NO	SAFEGUARD DESCRIPTION	APPLICATION TO NELSAP PROJECTS
	would be dealt with at the earliest opportunity.	will not be prepared and will be included in the exclusion list, unless and until there is confirmation from the riparian countries that the subject area is no longer considered to be under dispute

5. POTENTIAL ENVIRONMENTAL AND SOCIAL IMPLICATIONS

This section identifies the World Bank safeguard category each project belongs to and advises on the environmental and social issues that need to be addressed during the project preparation phase before implementation takes place. Table 5 below presents this information.

Table 5: Environmental and Social Implications, safeguards and recommended steps

		BURUNDI
Sub-Project Name and Category	Category Description	Environmental and social safeguards triggered
B0-1. Integrated Watershed Management, Akanyaru Sub-watershed	Category A	OP 4.01 (Environmental Assessment). The proposed interventions of irrigation, agroforestry, rainwater harvesting and rural infrastructure will have both positive and negative environmental impacts. OP 4.04 (Natural habitats). The project activities will impact on natural habitats through the rural infrastructure proposed. OP 4.09 (Pest management). Improving agricultural practices may require that pesticides are used. OP 4.11 (Cultural Property). The proposed infrastructure development of rural infrastructure, may affect cultural, archaeological, historical and religious sites. OP 4.12 (Involuntary Resettlement). The project will require land for construction of rural infrastructure which will impact on community livelihoods as it may lead to households who are internally displaced OP 7.50 (Projects in international waterways). The project is of a transboundary nature, and will involve drawing/use of water from shared water courses between two or more countries through the construction of the irrigation dam. An EIA will be required for each project with the use of the environmental and social checklists provided in the ESMF.
B-02. Stabilisation of watercourses and hillside afforestation to reduce erosion & siltation , Ruvubu 1, Ruvubu 2, and Gitega sub-watershed	Category B	Proposed interventions will trigger OP 4.04 (Natural habitats) as the construction of SWC structures may cause riverine biodiversity loss. The use of pesticides and fertilizers will trigger OP 4.09 (Pest Management) as their use may also cause biodiversity loss or water and soil pollution. The Bank finances pest management through Integrated Pest Management approaches and thus pest management plans will be required as specified under the ESMF implementation tools and procedures.

		Thus the checklists in the ESMF should be used to also conduct an EIE in order to identify mitigation measures against any negative impacts, avoid damage or compensate for it.
B0-3. Hill irrigation & rainwater harvesting in in Cankuzo, Karuzi, Kirundo, Muyinga and Ruyigi Provinces	Category A	The project has potential to cause significant and irremediable environmental impacts. It will thus require a full, detailed environmental impact assessment EIA with the use of checklists on the ESMF before the Bank can give its support. This project will trigger a the operationalisation of a number of World Bank Safeguards as follows: OP 4.01 (Environmental Assessment). The proposed interventions of irrigation, agroforestry, rainwater harvesting and rural infrastructure will have both positive and negative environmental impacts. Thus the checklists in the ESMF should be used to conduct a thorough environmental impact assessment before the project begins in order to identify mitigation measures against the negative impacts. OP 4.04 (Natural habitats). The project activities will impact on natural habitats through the rural infrastructure proposed. Thus the checklists in the ESMF should be used to conduct a thorough environmental impact assessment before the project begins in order to identify mitigation measures against the negative impacts, avoid damage or compensate for it. OP 4.09 (Pest management). Improving agricultural practices may require that pesticides are used. The Bank finances pest management through Integrated Pest Management approaches and thus pest management plans will be required as specified under the ESMF implementation tools and procedures. OP 4.11 (Cultural Property). The proposed irrigation dams may affect cultural, archaeological, historical and religious sites. To address this concern, the ESMF provides appropriate checklist tools, resource sheets and planning methods to identify any potential impacts of projects on cultural properties and to develop appropriate mitigation measures to minimize or avoid damage, or compensate for it. OP 4.12 (Involuntary Resettlement). The project will require land for the establishment of the irrigation dams which will impact on community livelihoods. To ensure that current landowners are properly compensated, Resettlement policy frameworks will be undertaken and will guide the mode of compensation. OP 7.50 (Projects in international waterways). The project is of a trans-boundary in nature, and will involve drawing/use of water from shared water courses between two or more countries through the construction of the irrigation dam. If the dam is

		constructed across one of the Kagera tributaries, this safeguard will need to be operationalised. However if it is a purely a water harvesting structure which does not affect the volume of flow to the Kagera tributaries the safeguard will NOT be operationalized. In case of the former scenario the project will follow the Nile Basin Initiative project notification procedures to notify riparian countries where the intervention is proposed about the Project and the anticipated scale of withdrawals.
BW 1. Protection of ecosystems through environmental flows , Ruvubu National Park	Category C	The project is of an academic nature with a few demonstration interventions on a small scale. Thus it will cause minimal negative impacts, which are often essentially remediable or can be mitigated. It will trigger OP 4.01 (Environmental Assessment) and OP 4.04 (natural habitats). Thus it may not require an EIA.
BW2. Alternative Livelihoods for Wetland Communities through an ecosystem approach in the Nyamuswaga wetlands.	Category B	The project will have improved agriculture on 5,000ha, beekeeping and fish farming. Thus it may cause some negative impacts such as soil and water pollution from fertilizers and pesticides and will trigger OP 4.01 (Environmental Assessment) and safeguard OP 4.04 (natural habitats) because some livelihood activities (fish farming) may interfere with natural habitats and biodiversity especially if the fish introduced are new species. An EIA is therefore advised before the beginning of the project to ensure that any potential negative impacts are addressed.
BW3. Assessing impacts on wetlands of water harvesting & development of ground water resources	Category B	The project is of an academic nature with a few demonstration interventions on a small scale. It triggers safeguard OP 4.01 (Environment Assessment), OP 4.04 (natural habitats) and OP 4.09 (Pest Management). The proposed activities will impact on natural habitats through the provision of alternative water sources and the increased use of boreholes for irrigation. Drilling of boreholes will require an EIA as the environment is disturbed during the construction and usage of the borehole.
		RWANDA
R-01. Soil & Water Conservation, Soil Improvement, improved Fodder Production and Re-forestation, Akanyaru Sub-watershed, Nyaruguru District	Category A	This is a Category A project as it will entail radical terracing on 36,330 ha. Small irrigation dams and feeder roads will also be constructed. This will result in environmental disturbance that will affect the biodiversity in natural habitat. The use of fertilizer and pesticides may also result in water and soil pollution. With the construction of dams, the water flow downstream and downstream benefits may also be affected in one way or another. This project will trigger OP. 4.01 (Environment Assessment), 4.04 (Natural habitats) and 4.09 (Pest Management). The construction of small dams for irrigation may interfere with water flow downstream and may trigger OP 7.50 (Projects in international waterways). Thus an EIA will be required before implementation. The ESMF has provided appropriate checklist tools, resource sheets and planning methods to identify any potential negative impacts of the project in order to develop appropriate mitigation measures to minimize or avoid damage, or

		compensate for it.
R-02. Soil Conservation, Rainwater harvesting, small-scale irrigation, Fruit and Fodder trees, Kagitumba Sub-watershed	Category A	This is a Category A project as it will entail construction of 50 dams covering an area of 1,250 ha, road construction and terraces over 39,000 ha. This will result in environmental disturbance that will affect the biodiversity in natural habitats. The use of fertilizer and pesticides may also result in water and soil pollution. With the construction of dams, the water flow downstream and downstream benefits may also be affected in one way or another. This project will trigger OP. 4.01 (Environment Assessment), 4.04 (Natural habitats) and 4.09 (Pest Management). The construction of small dams for irrigation may interfere with water flow downstream and may trigger OP 7.50 (Projects in international waterways). Thus an EIA will be needed before implementation. The ESMF has provided appropriate checklist tools, resource sheets and planning methods to identify any potential negative impacts of the project in order to develop appropriate mitigation measures to minimize or avoid damage, or compensate for it.
R-03. Sustainable Fishing at L. Muhazi.	Category A	This project can only be undertaken at feasibility level because of the serious potential environmental impacts if a full scale project is implemented. Thus the implementation of this project is not advised in Phase 1 of the programme. However a soil restoration and management and pollution control project can be implemented in the area with further investigation into the high concentrations of lead and a thorough EIA being conducted before any fishery activities are conducted. This is to mitigate against the negative impacts of biological magnification of heavy metals in fish and ultimately humans.
RW-01: Protection of Wetland Ecosystems through Maintaining Environmental Flows.	Category C	The project is of an academic nature with a few demonstration interventions on a small scale. Thus it will cause minimal negative impacts, which are often essentially remediable or can be mitigated. It will trigger OP 4.01 (Environmental Assessment) and OP 4.04 (natural habitats). Thus it may not require an EIA.
RW-02: Artificial Wetlands for Sustainable Urban Drainage.	Category A	OP 4.01 (Environmental Assessment). The proposed interventions of the construction of the artificial wetlands OP 4.04 (Natural habitats). The project activities may negatively impact on natural habitats through the infrastructure proposed. OP 4.11 (Cultural Property). The proposed development of artificial wetlands in two sites, may affect cultural, archaeological, historical and religious sites. OP 4.12 (Involuntary Resettlement). The project will require land for construction of infrastructure which may negatively impact on community livelihoods as it may lead to households who are internally displaced. Thus an EIA will be required with the use of

		the checklists provided in the ESMF.
		TANZANIA
T-01 Soil and water conservation in Karagwe and Ngara districts.	Category A	This project is a category A project because it will entail the construction of radical terraces over 68,000 ha in Karagwe and Ngara. Their construction will interfere with the soil structure and may lead to loss of biodiversity as their natural habitats are disturbed. During construction soil erosion may also take place and this will need to be addressed. Thus this project will require an EIA due to the expansive area that is targeted for radical terracing. It will also trigger OP 4.04 (natural habitats) and OP 4.09 (Pest management) as improving agricultural practices may require that pesticides are used. The Bank finances pest management through Integrated Pest Management approaches and thus pest management plans will be required as specified under the ESMF implementation tools and procedures. The environmental and social checklists in the ESMF should be used for the EIA to determine the appropriate mitigation measures To address this concern, the ESMF has provided appropriate checklist tools, resource sheets and planning methods to identify any potential impacts of projects on natural habitats, reserves or protected areas, and to develop appropriate mitigation measures to minimize or avoid damage, or compensate for it.
Project T-02: Supply of potable water to 15 villages, Kayanga, Bunazi and Kyaka Townships in Karagwe and District.	Category A	This is category A project as it will require construction of the potable water supply system which will disrupt natural habitats, may cause biodiversity and cultural property loss and people may be displaced. In addition there may be water and air pollution that may be emitted by the pump and this will need to be addressed during implementation to ensure that the type and or fuel used by the pump do not cause damage to the natural resources near it. An EIA has already been planned and budgeted for. The checklists in the ESMF and the resettlement framework outlined in the ESMF should be used to identify mitigation measures before the project is implemented. It will trigger OP 4.04 (Natural habitats) and OP 4.09 (Pest management) improving agricultural practices may require that pesticides are used. It will also trigger OP 4.11 (cultural property) and 4.12 (Involuntary resettlement). To address this concern, the ESMF has provided appropriate checklist tools, resource sheets and planning methods to identify any potential impacts of projects on natural habitats, reserves or protected areas, and to develop appropriate mitigation measures to minimize or avoid damage, or compensate for it. The Bank finances pest management through Integrated Pest Management approaches and thus pest management plans will be also be required as specified under the ESMF implementation tools and procedures. A resettlement action

		plan framework will also be required if people have to be resettled and this has been provided for in the ESMF.
T-03 Protection and Conservation of Water Sources in the Muleba and Biharamulo	Category A	This project is a category A project because it will entail the construction of radical terraces over 70,000 ha in Muleba and Biharamulo. Their construction will interfere with the soil structure and may lead to loss of biodiversity as their natural habitats are disturbed. During construction soil erosion may also take place and this will need to be addressed. Thus this project will require an EIA due to the expansive area that is targeted for radical terracing. The environmental and social checklists in the ESMF should be used for this EIA to determine the appropriate mitigation measures. It will trigger OP 4.04 (natural habitats). The proposed activities will impact on natural habitats through land rehabilitation, afforestation activities. To address this concern, the ESMF has provided appropriate checklist tools, resource sheets and planning methods to identify any potential impacts of projects on natural habitats, reserves or protected areas, and to develop appropriate mitigation measures to minimize or avoid damage, or compensate for it. It will also trigger OP 4.09 (Pest management). Improving agricultural practices may require that pesticides are used. The Bank finances pest management through Integrated Pest Management approaches and thus pest management plans will be required as specified under the ESMF implementation tools and procedures.
TW-01: Flood Management in the Bigomba and Burugi Valleys, Ngara & Mulemba Districts.	Category A	It has the potential to cause significant and irremediable environmental impacts. It triggers the following safeguards: OP 4.01 (Environmental Assessment). The proposed interventions of constructing the storage and supply infrastructure will have both positive and negative environmental impacts. OP 4.04 (Natural habitats). The project activities will impact on natural habitats through the portable water infrastructure proposed. OP 4.09 (Pest management). Improving agricultural practices may require that pesticides are used. OP 4.11 (Cultural Property). The proposed development of rural infrastructure, may affect cultural, archaeological, historical and religious sites. OP 4.12 (Involuntary Resettlement). The project will require land for construction of the storage water structures and this will impact on community livelihoods as it may lead to households who are internally displaced. OP 7.50 (Projects in international waterways). The project may impact on the volume

		of water flowing across international borders through the construction of dams.
TW-02: Robust evidence base to inform management decision-making	Category C	This is an academic/research project with no direct interventions. It will not trigger any safeguards or any environmental impacts
TW-03: Feasibility Study for Fisheries in Karagwe District + fish ponds	Category B	The project is likely to have potential adverse environmental and social impacts on site and downstream due to the construction of fish ponds and introduction of new species of fish. Impacts are expected to be on the biodiversity of wetlands and any other natural habitat along the water course downstream. The project will thus trigger OP 4.01 (Environmental Assessment). It will also trigger OP 4.04 (Natural habitats). The project activities will impact on natural habitats of wetland biodiversity. An EIA will be required with the use of the checklists in the ESMF.
		UGANDA
U-01: Land Rehabilitation in Kikagate Sub-County, Isingiro District,	Category A	This is a rehabilitation project and falls in Category A as it proposes to construct radical terraces over an area of 7,500 ha. This may cause soil erosion during construction and water pollution. Thus an EIA will be required and checklists provided for in the ESMF can be used for this. It is will trigger the following safeguards. OP 4.04 (natural habitats). The proposed activities will impact on natural habitats through land rehabilitation, afforestation activities. To address this concern, the ESMF has provided appropriate checklist tools, resource sheets and planning methods to identify any potential impacts of projects on natural habitats, reserves or protected areas, and to develop appropriate mitigation measures to minimize or avoid damage, or compensate for it. The project will also trigger OP 4.09 (Pest management). Improving agricultural practices may require that pesticides are used. The Bank finances pest management through Integrated Pest Management approaches and thus pest management plans will be required as specified under the ESMF implementation tools and procedures.
U-02: Integrated Water Resource Management (IWRM) project, Kakuuto County, Rakai District, Uganda	Category B	The project is likely to have potential adverse environmental and social impacts on site and downstream due to the construction of water storage facilities for supplementary irrigation. Impacts are expected to be on human populations or environmentally important areas including wetlands, forests, grasslands and any other natural habitat along the water course downstream. These impacts may be site specific, few or none of them are irreversible, and most of them are mitigated more readily than impacts from category A projects.

		The proposed interventions of afforestation with multipurpose trees agroforestry will have more positive than negative environmental impacts. It will also trigger OP 4.04 (Natural habitats). The project activities will impact on natural habitats. OP 4.09 (Pest management). Improving agricultural practices may require that pesticides are used.
U-03: Integrated Water Resource Management Project, Maziba River catchment, Kabale District.	Category B	This is a Category B project as it will require construction or rehabilitation of SWC structures covering 29,000 ha which may interfere with natural habitats. This will thus require an EIA due to the planned construction over a large area of SWC structures. During rehabilitation soil erosion may occur and cause pollution in water sources and wetlands and this will need to be addressed. It will also trigger OP 4.04 (Natural habitats) as project activities will impact on natural habitats with the introduction of irrigation and OP 4.09 (Pest management) as improving agricultural practices may require that pesticides are used. The Bank finances pest management through Integrated Pest Management approaches and thus pest management plans will be required as specified under the ESMF implementation tools and procedures.
UW-01: Robust Evidence Base for Sustainable Wetland Management Decision Making.	Category C	This is an academic/research project with no direct interventions. It will not trigger any safeguards or any environmental impacts
UW-02: Assessment of Potential for Payments for Environmental Services from polluting sources, Kagera -4 Sub watershed	Category C	This project is of an academic nature with a few demonstration interventions on a small scale. Thus it will have lesser impacts, which are often essentially remediable or can be mitigated. It may trigger safeguard OP 4.04 (natural habitats) depending on the activities proposed for the demo sites.
UW-03: Soil conservation and rehabilitation, Sustainable wetlands management and alternative livelihoods for wetland communities through an ecosystem approach, Ntungamo and Kagitumba (North) Sub watersheds Communities through Ecosystem Approach	Category A	This project is a category A project because it will entail the construction of radical terraces over 9,600 ha in Kagitumba and Ntungamo. Their construction will interfere with the soil structure and may lead to loss of biodiversity as their natural habitats are disturbed. During construction soil erosion may also take place and this will need to be addressed. It will trigger OP 4.04 (natural habitats). The proposed activities will impact on natural habitats through land rehabilitation, afforestation activities. Biodiversity will also be affected with the introduction of fish ponds and new species of fish. To address this concern, the ESMF has provided appropriate checklist tools, resource sheets and planning methods to identify any potential impacts of projects on natural habitats, reserves or protected areas, and to develop appropriate mitigation measures to minimize or avoid damage, or compensate for it.

		OP 4.09 (Pest management). Improving agricultural practices may require that pesticides are used. The Bank finances pest management through Integrated Pest Management approaches and thus pest management plans will be required as specified under the ESMF implementation tools and procedures. Thus this project will require an EIA due to the expansive area that is targeted for radical terracing. The environmental and social checklists in the ESMF should be used for this EIA to determine the appropriate mitigation measures.
TRANSBOUNDARY PROJECTS		
Strategic Wetlands Classification for the Kagera Sub-basin	Category C	This is a project that is developing guidelines for management and has no direct interventions. It will therefore not trigger any safeguards or any environmental impacts
Management of Transboundary Ramsar Sites in the Kagera Sub-basin	Category C	This is project that is developing guidelines for management and has no direct interventions. It will therefore not trigger any safeguards or any environmental impacts

6. Project Selection and Approval Process

There are a number of steps that projects in the KIWMP will need to undergo before they are selected and funded for implementation by various financiers or development partners. The steps are outlined below.

6.1 Environmental and Social Screening process

Screening is the first step in the ESMF process and involves identification of projects with little or no environmental or social issues so that they can move to detailed preparation in line with pre- approved standards or guidelines for environmental and social management. It determines whether or not an individual proposal requires detailed EA and the level of assessment that should occur. In determining whether a proposal requires further EA, should be rejected, or exempted, screening considers the alignment of the proposal with existing policies and plans, scale of the proposed development, intensity and significance of potential impacts. Other aspects include presence of natural habitats, cultural properties, environmentally sensitive areas, involuntary land acquisition, etc. Checklists (Annexes 1 and *2),* together with information on typical project impacts and mitigation measures are used to categorize the projects as well as screen them. The checklist is used to identify potential impacts, and describe mitigation measures. The Initial Environmental Examination (IEE) report[9] is the principle output from the screening process. The report classifies the project according to its likely environmental and social sensitivity, which determines whether an Environmental and Social Impact Assessment (ESIA) is needed and the required detail.

6.2 Environmental Assessment procedure

An Environmental Assessment (EA) will be carried out to identify and predict impacts of projects and operational procedures on the biophysical and social environment. For KIWMP projects, the EA process will be carried out in five steps, which include 1) impact screening, 2) scoping, 3) prediction and mitigation, 4) management and monitoring and finally 5) auditing (monitoring and evaluation).

6.3 Social Assessment Procedure

The Social Assessment (SA) is linked to the social and economic objectives of the KIWMP projects and will be conducted together with the Environmental Assessment. This ensures that the projects accomplish their social objectives (e.g. poverty reduction; reduction of environmental degradation; enhancement of the role of women in development; avoiding or mitigating negative effects on stakeholders and local populations, particularly vulnerable groups). The SA determines the social costs of the project and the degree to which the benefits are distributed in an equitable manner across affected populations.

Aspects considered in the SA include:

a. Social analysis
b. Gender analysis
c. Indigenous peoples

[9] The World Bank recommends that screening results should be recorded and explained in a Project Concept Document and Environmental Data Sheet including the appropriate screening decision. Results are reviewed with specific regard to the type of EA instruments required, the general scope, public disclosure and consultation requirements, schedule, and implementation arrangements. After screening, the ToRs for the proposed EIA type are prepared by the project proponent or financier.

d. Involuntary resettlement (including temporary or permanent compensation for loss of livelihood where actual resettlement is not required)

e. Cooperation with non-governmental organizations

f. Use of participatory development processes

g. Benefits monitoring and evaluation

As with the EA, analysis of social factors which influence (and are influenced by) a project continues throughout the entire life of the project. A table showing how the social dimensions are incorporated at various stages of the project cycle is attached as Annex 3.

6.4 Appraisal and Approval

The first step in an appraisal is to determine if all the relevant information has been provided, and if this information is adequate. If the appraisal indicates that the proposed project may have environmental concerns that are not adequately addressed in the proposal, the review authority may conduct a field appraisal before the application can be considered further. Based on the appraisal and, if needed, the field appraisal, the review authority may approve the projects with recommended conditions and implementation supervision.

6.5 Information disclosure

The ESMF and subsequent implementation plans as well as studies for investments are disclosed on the NBI website, riparian government websites (where applicable) and other public places accessible to the local people and NGOs in English and/French. The ESMF is also forwarded to the Bank/development partners sites for disclosure at the Public Information Centre/info shop of the country offices within the NELSAP countries.

Table 6: Outline of ES procedures for NELSAP project identification, preparation and approval[10]

MILESTONES	OBJECTIVES	PROCESS	RESPONSIBILITY	DECISION/PRODUCT
Environmental Screening	Screening determines whether a project is necessarily likely to have adverse impacts	Proponent to submit a project brief to the NELSAP-CU,	Proponent	Environmental category assigned
		Screening of the project by the EA using the rapid environmental assessment checklist form and field appraisal if necessary to recommend the project environmental category. NELSAP to transmit to Environmental agencies and donors describing what is intended	NELSAP CU	Environmental Assessment Procedures defined Completed checklist forms
		Environmental agency appoints an EIA expert or consults lead agencies and determines the project category and the required EA procedure	Environmental agency of beneficiary country	Environmental Procedure and scope of assessment defined
		World Bank to proceed to initial screening and recommend the project environmental category	World Bank	Environmental category confirmed
Environmental Scoping	Scoping determines the scope of work that will be required in making an EA Study	Proponent (i) consults local stakeholders and identify which environmental and social concerns need detailed examination or recruit a consultant to prepare a scoping report and (ii) prepares TOR which define the scope of work of the EA Study and submits to NELSAP-CU.	Proponent	TOR with defined scope of EA study prepared
		NELSAP CU submits the Terms of Reference to the Environmental agencies for approval or revision.	Environmental agencies	TOR approved
		Consultant for the EA study is recruited following national or international regulations	Proponent and NELSAP-CU	Scope of the EA study reviewed
		Consultant conducts the EIA including scoping of impacts and issues for which in-depth studies are required and identifies project options to limit negative impacts.	Consultant	
Environmental and Social Impact Assessment (for project in category	Comprehensive assessment of potential impacts and mitigation measures	Consultant develops a comprehensive ESIA report following the identified scope work and compliant with safeguards.	Consultant	EIA reports including ESMP and RAP produced.
		Proponent carries out public disclosure in order to include stakeholders' inputs into ESIA reports.	Proponent and Consultant	Information disclosure by the Proponent

[10] Adapted from the NELSAP Preliminary ESMF

A&B)	required	Proponent and NELSAP EA&SDO to review of the ESIA reports and conduct site visits as necessary	Project Proponent and NELSAP CU	
		Proponent submits the reviewed report to the Environmental agencies of each country for approval or review of the report.	Proponent	EIA license /certificate issued by the Environmental Agency
Detailed Environmental Appraisal	Appraise environmental components of project	Environmental agencies consult lead agencies and other stakeholders for internal disclosure, environmental category approval and Project EIA report approval certificate, EIA report review or reject.	Environmental agencies	Confirmation of environmental category. Project EIA report approval certificate provided.
		Development partners review reports, and conduct site visits as necessary and later: a) Suggest modifications to be incorporated in environmental components of the project, b) appropriate changes in other components of project; and c) Finalize environmental components as part of project appraisal report.	World Bank	World Bank Project Appraisal Report with decision to: accept project as submitted; accept project with modifications; reject project, project financing approved and budget for ESMP and RAP availed. Information disclosure by the Bank ensured

7. PARTICIPATION AND CONSULTATION

This ESMF is based on a strong participatory approach. Participation by various stakeholders should be undertaken in accordance to the Kagera Basin KIWMP stakeholder guide which is another output of the FS-KIWMP. The type, objective and expected outcomes of participation by different stakeholders during the implementation of the KIWMP are in Annex 5.

8. ESMF Monitoring Plan

8.1 Objectives

The objectives of the ESMF monitoring plan are:

- To determine the status and trends of selected economic and social indicators that will allow NELSAP to make better-informed decisions on project implementation.
- The provision of an early warning alert to NELSAP on environmental and social risks that can jeopardise the project so that effective mitigation measures can be developed in order to reduce costs of management.
- To provide information, data, best practices and lessons that can assist NELSAP compare the KIWMP to other NBI projects.
- To provide a means of measuring progress towards KIWMP, NELSAP and NBI goals.

8.2 Monitoring of Environmental and Social indicators

This will be specific to each project. During the design of various projects during the project preparation phase, it is expected that the logical framework will incorporate environmental and social monitoring indicators which will then be fed into an overall ESMF plan. It is also expected that before indicators are developed a problem and objectives analysis will have been conducted in order to guide the formulation of appropriate indicators. The project risks identified during project formulation, positive and negative impacts of the various projects (a guideline which is provided in this document) should also be taken into account during the formulation of these indicators.

Indicators should strive to be specific, measurable, achievable, realistic and time bound. In addition the project designs should incorporate both qualitative and quantitative indicators and involve relevant stakeholders as much as possible.

8.3 Monitoring of participation process

The monitoring of the participation process in ESMF implementation is important for its overall success. The following questions can guide the monitoring of participation:

- Who is participating in the implementation of the ESMF;
- How many people/institutions are participating and through what institutional arrangements?
- Are local project institutions developing satisfactorily?
- Project input take-up rates - are people actively engaged in the project?
- What is the level of participation in key activities?

- Are participants mobilising their own resources and contributing to the project materially?
- Are stakeholders able to identify environmental and social risks and identify appropriate solutions to the projects?

8.4 Reporting[11]

Under the ESMF various reports and documents will be produced. They include the following:

A. Environmental Impact Assessment reports: For Projects listed in Category A or B, the Project preparation includes a Comprehensive Environmental and Social Impact Assessment Report with an Environmental and Social Management Plan and a Monitoring Plan. The Resettlement Action Plan (RAP) is developed based on the level of social impacts of the project. A sample table of contents of a typical RAP is attached as Annex 6.

i. *Environmental Management and Resettlement Management Plans*: For projects where explicit impact mitigations measures are required, an Environmental and Social Management Plan (ESMP) is required. This Plan is part of the EIA report which is developed following the EA process. The ESMP will be implemented by the PMU which also has the responsibility of monitoring and reporting. Community participation is required in the implementation and in the monitoring of the ESMP. Resettlement Management Plans if required are developed and their implementation ensured by the PMU in close partnership with the communities and local authorities for full compliance to national and international regulations.

ii. *Annual Reports:* The PMUs through the NELSAP CU will report annually on project activities. The reports will capture experiences with implementation of the ESMF procedures, an example is given in Annex 6 and guides on issues relevant for improving application and performance of the ESMF. The reports will also inform the Nile Basin State of Environment.

iii. *Environmental and Social Reviews*: While most Project activities have generic environmental and social issues that are manageable through guidelines, some could carry a higher risk of environmental and social disruptions and/or impacts. These projects are subjected to reviews to identify lower cost/impact options and mitigation measures in line with the prevailing legal framework and the Bank's safeguard policies. The ToR for such reviews will be developed by the NELSAP CU in collaboration with the RPSCs. The reviews will focus on the Environmental and Social Management Plans, Resettlement Action Plans as well as implementation of the ESMF. An outcome of the reviews are approved project specific ESMPs.

iv. *Monitoring.* The Environmental advisor within NELSAP will be designated as the Environment & Social Safeguards officer to ensure compliance of the project activities with the World Bank safeguards as well as oversee implementation of environment and social provisions as per the ESMF, ESMP and RAP where applicable.

v. *Evaluation/Environmental Audit.* Environmental audits will be carried out to assess the extent of compliance of implementation to the ESMF. For the Projects in Category A or B, Environment Evaluation/Audit will be carried out by independent consultants to assess the full compliance of the ESMP and RAP implementations with country's regulations as well as World Bank safeguards.

[11] Adapted from Preliminary NELSAP ESMF

B. Monitoring Roles and Responsibilities

NELSAP-CU: NELSAP will play the leading oversight role of monitoring the activities of this project. They will ensure that environmental management plans (EMPs) contained in the cleared design package is being implemented according to the specifications. They will also be involved in regular site verification visits and will prepare brief consolidated periodic monitoring reports for submission to the World Bank.

The Monitoring and Evaluation Officer will be primarily responsible for ensuring compliance to the monitoring framework. Jointly with the Natural Resource Management officer they will undertake review of the monitoring reports emanating from the implementing agencies and will upon approval submit these monitoring reports to NELSAP and the World Bank. This unit will also provide overall coordination in any training and analysis of monitoring data for data collectors.

They will also be in charge of collection of baseline data and maintenance of the information systems. They will also modify the ESMF when necessary and oversee the implementation of the new changes.

Implementing partner institutions: All the KIWMP implementing agencies identified under the programme will monitor the specific components of the sub-projects that they are targeted to execute. They will be required to prepare periodic monitoring reports for submission to the KPCU and specifically to the Environmental and Social Development. Their specific roles can be found in Annex 8.

Regional Civil Society institutions: These institutions can play a critical role in the assisting NELSAP-CU and the implementing institutions in monitoring the ESMF, identification of possible risks and advice on the mitigation actions to those risks.

Local Communities: Local communities will be useful agents in collection of data that will be vital in monitoring and as such they will play a role in the monitoring framework. Local communities in the project intervention areas will receive training and build capacity on skills for data collection to be done by the implementing agencies so as to equip them with the ability to collect data.

Other regional projects: These projects can also be included in monitoring of the ESMF especially if the geographical locations of the projects under the KIWMP overlap with their geographical locations or if impacts of the KIWMP projects are likely to affect their activities.

9. Institutional Framework for ESMF Implementation[12]

The important institutional structures involved in implementation of the ESMF within the Nile Equatorial Lakes sub-region are the Nile Equatorial Lakes Council of Water Ministers (NELCOM), Nile Equatorial Lakes Technical Advisory Committee (NELTAC), Nile Equatorial Lakes Subsidiary Action Program Coordination Unit (NELSAP-CU), Project Management Units (PMUs), National Liaison Officers (NLO) and National Agencies responsible for environmental and social management.

NELCOM and NELTAC: perform a similar role at the sub-basin level to that played by the governance bodies at basin-wide level i.e. approval, following technical appraisal, of sub-basin policies, guidelines and standards including the NEL Environmental and Social Management Guidelines (ESMG) that are derived from, or consistent with, basin-wide policies; approval of workplans and budgets; and oversight and supervision of NELSAP-CU.

[12] Adapted from the NELSAP Preliminary ESMF

NELSAP CU: This is the institution with primary responsibility for implementation of NEL policies guidelines and regulations including those on environmental and social management such as the ESMF and RPF. Two officers within NELSAP-CU i.e. the Environmental Management Specialist and Social Development Officer are directly responsible for mainstreaming environmental and social management in all aspects of the NBI project conception, identification, preparation and implementation within the NEL sub-region. The two officers work in collaboration with staff of NELSAP projects, and with relevant stakeholders at national level to ensure compliance with the ESMF. They directly oversee the implementation of activities related to environment and social management and are assisted from time to time in their work by short-term consultants contracted to perform specific tasks such as preparing mitigation plans, project-specific environmental management plans, resettlement action plans, and review of ESIA reports. NELSAP-CU is responsible for preparation of guidelines, manuals codes of practice and other tools such as forms and checklists used by the NELSAP projects for environmental and social management.

Project Management Units (PMUs). Day to day activities of the NELSAP projects are carried out by a Project Management Unit (PMU) comprising technical personnel in disciplines relevant to the projects. Each of the PMUs, with guidance from the Environmental Management Specialist and Social Development Officer, is responsible for determining the appropriate level of input on environment and social issues, and implementing the ESMF for the projects. Their responsibilities are outlined in Annex 8.

National agencies. The participation of national agencies and other stakeholders in environmental and social management activities of NELSAP projects is coordinated by National Liaison Officers (NLOs) who work under supervision of the country's Project Steering Committee and Technical Advisory Committee members. The country agencies who commonly play a role in environmental and social management include national environmental management authorities, agencies responsible for resettlement, social welfare and community development, youth and gender, cultural development; water resources management, water supply and sanitation, wildlife/biodiversity, power/energy, agriculture, livestock, fisheries and finance.

Development partners: Project financiers or their representatives participate in regular Program/Project steering Committee meetings. In additional, their conduct appraisal and supervision missions through which they evaluate, among other things, the implementation of the ESMF and may suggest additional measures for strengthening the management framework or remedying observed weaknesses. The reporting framework, screening procedures and preparation of management and mitigation plans are discussed and agreed between the Development Partners and Project implementation teams during the early stages of project preparation.

10. Capacity Development

A thorough capacity assessment of the different institutions will need to be undertaken before a capacity building programme can be developed. However some of the general topics that require capacity building are outlined in Table 5 below:

Training requirements	RPSC, NELSAP CU, PMU Staff	Implementing agency	Regional Civil Society forums	Local communities	Other regional projects
Role and use of ESMF in IWRM	AT	T	T	A	A
Transboundary EA guidelines for projects including the use of checklists, reporting and project supervision and monitoring	T	T	T	A	A
Identification of Indicators and data collection	T	T	T	T	A
Determination of positive and negative environmental and social impacts of IWRM sub projects	T	T	T	T	T
Development of mitigation measures and Environmental Management Plan including Institutional Responsibility Framework and Budget.	T	T	A	A	A
EIA procedures, Environmental Management policies & guidelines, WB safeguards, implementation and enforcement	T	T	T	A	A
Review of ESMF tools, implementation and enforcement	T	T	T	A	A
Reporting, monitoring and follow-up of ESMF	T	T	T	A	A

Note: A= Awareness Creation, T= Detailed Training

The training and capacity building exercises will take into consideration the requirements of World Bank safeguards policies and guidelines, as well as those of national environmental and social protection laws and regulations in the four riparian countries.

11. Implementation Time Frame and Budget

Implementation time frames as well as budgets for implementing the ESMF will be project specific and will include (i) Training workshops (ii) Technical assistance to riparian staff from provisions under the NELSAP and (iii) costs related to short term consultancy for review of Environmental and Social Management as well as Resettlement Action Plans. The budgetary provisions for EA specific assessments will be accommodated within the projects to be prepared.

12. References

1. BRL (BRL Ingénierie). 2008. Kagera River Basin Monograph: Basin Development Report. Kagera River Basin Transboundary Integrated Water Resources Management and Development Project.
2. DWD/WWAP (Directorate of Water Development/World Water Assessment Programme). 2005. National Water Development Report: Uganda.
3. FAO (Food and Agriculture Organisation). 2000. Wetland characterisation and classification for sustainable agricultural development. FAO, Rome.
4. Sene, K.J. and Plinston, D.T. 1994. A review and update of the hydrology of Lake Victoria in East Africa. Hydrological Sciences J. 39(1), 47–63.
5. Sutcliffe, J.V. and Parks, Y.P. 1999. The Hydrology of the Nile. Special Publication No 5. International Association of Hydrological Sciences.
6. REMA 2011. Environmental Social Management Framework for Rwanda Lake Victoria Environmental Management Programme II.
7. http://go.worldbank.org/4D2JSWFIW0
8. http://www.uis.unesco.org/ev.php?ID=4930_201&ID2=DO_TOPIC.
9. Nile Basin Initiative. 2010. NELSAP Preliminary ESMF for project preparation and implementation
10. Nile Basin Initiative. 2008. NELSAP Transboundary Cooperative Framework and Management Strategy by COWI Uganda.
11. Ministry of Finance, Planning and Economic Development. 2000. Poverty Reduction Strategy Paper. Uganda's Poverty Eradication Action Plan, Summary and Main Objectives. Kampala, Uganda.
12. Ramsar. 1971. The Convention on Wetlands.
13. United Republic of Tanzania. 2010. National Strategy for Growth and Reduction of Poverty. Ministry of Finance and Economic Affairs.
14. Republic of Rwanda. Ministry of Finance and Economic Planning. Rwanda Vision 2020.
15. WSP International Sweden AB, ERM and BCEOM. 2003. Kagera Basin Management Project.

ANNEX 1: PROJECT SCREENING CHECKLIST

A proposed project is exempted from further compliance with EIA requirements if all of the following conditions are satisfied:

1. The project will not substantially use natural resources in a way that pre-empts use or potential use of that resource for any other purpose.
2. Potential residual impacts on the environment are likely to be minor, of little significance and easily mitigated.
3. The type of project, its environmental impacts and mitigation measures are evident and well understood.
4. Reliable means exist for ensuring that impact management measures can and will be adequately planned and implemented.
5. The project will not displace significant number of people, families or communities.
6. The project is not located in, and will not affect, environmentally-sensitive areas such as:
    a. National parks
    b. Wetlands
    c. Productive agricultural land
    d. Important archaeological, historical and cultural sites
    e. Areas protected under legislation
    f. Areas containing rare or endangered flora or fauna
    g. Areas containing unique or outstanding scenery
    h. Mountains or developments on or near steep hill slopes
    i. Forests
    j. Lakes or their shores
    k. Areas important for vulnerable groups such as fishing communities
    l. Areas near high population concentrations or industrial activities where further development could create significant cumulative environmental problems
    m. Groundwater recharge areas or drainage basins
7. The project will not result in and/or:
    a. Policy initiatives which may affect the environment
    b. Major changes in land tenure
    c. Changes in water use through irrigation, drainage promotion or dams, changes in fishing practices.
8. The project will not cause:
    a. Adverse socioeconomic impact
    b. Land degradation
    c. Water pollution
    d. Air pollution
    e. Damage to wildlife and habitats

f. Adverse impact on climate and hydrological cycle

g. Creation of by-products, residual or waste materials which require handling and disposal in a manner that is not regulated by existing authorities.

9. The project will not cause significant public concern because of potential environmental changes. The following are guiding principles:

   a. Is the impact positive, or harmful?

   b. What is the scale of the impact in terms of area, numbers of people or wildlife affected?

   c. What is the intensity of the impact?

   d. What will be the duration of the impact?

   e. Will there be cumulative effects from the impact?

   f. Are the effects politically controversial?

   g. Have the main economic, ecological and social costs been quantified?

   h. Will the impact vary by social group or gender?

   i. Is there any international impact due to the proposed projects?

10. The project will not necessitate further development activity, which is likely to have a significant impact on the environment.

ANNEX 2: ENVIRONMENTAL AND SOCIAL CHECKLIST FORM

Project Name:

Name of District/Sector: **Date**:

		Yes	No
A Type of Activity - Will the KIWMP project:			
1	Support animal husbandry or processing?		
2	Support irrigation schemes?		
3	Support rural water supply and sanitation schemes?		
4	Involve community forestry?		
5	Involve small-scale aquaculture?		
6	Involve leather processing?		
7	Involve food processing?		
8	Involve community healthcare facilities and the management of healthcare waste?		
9	Build or rehabilitate any structures or buildings?		
10	Support agricultural activities?		
11	Be located in or near an area where there is an important historical, archaeological or cultural heritage site?		
12	Be located within or adjacent to any areas that are or may be protected by government (e.g. national park, national reserve, world heritage site) or local tradition, or that might be a natural habitat?		
13	Depend on water supply from an existing dam, weir, or other water diversion structure?		
If the answer to any of questions 1-13 is "Yes", please use the indicated Resource Sheets or sections(s) of the ESMF for guidance on how to avoid or minimize typical impacts and risks			
B- Environment. Will the KIWMP project:			
14	Risk causing the contamination of drinking water?		
15	Cause poor water drainage and increase the risk of water-related diseases such as malaria or bilharzia?		
16	Harvest or exploit a significant amount of natural resources such as trees, fuel wood or water?		
17	Be located within or nearby environmentally sensitive areas (e.g. intact natural forests, mangroves, wetlands) or threatened species?		
18	Create a risk of increased soil degradation or erosion?		
19	Create a risk of increasing soil salinity?		
20	Affect the quantity or quality of surface waters (e.g. rivers, streams, wetlands), or groundwater (e.g. wells)?		
21	Result in the production of solid or liquid waste, or result in an increase in waste production, during construction or operation?		
If the answer to any of questions 15-21 is "Yes", please include an Environmental Management Plan (EMP) with the project application.			
C - Land acquisition and access to resources – Will the project:			

22	Require that land (public or private) be acquired (temporarily or permanently) for its development?		
23	Use land that is currently occupied or regularly used for productive purposes (e.g. gardening, farming, pasture, fishing locations, forests)		
24	Displace individuals, families or businesses?		
25	Result in the temporary or permanent loss of crops, fruit trees or household infrastructure such as granaries, outside toilets and kitchens?		
It the answer to any of the questions 22-25 is "Yes", please consult the ESMF and, if needed, prepare a Resettlement Action Plan (RAP)			
D – Indigenous people – Are there:			
26	Any indigenous groups living within the boundaries of, or nearby, the project?		
27	Members of these indigenous groups in the area who could benefit from the project?		
If the answer to questions 26 or 27 is "Yes", please consult the ESMF and, if needed, prepare an Indigenous Peoples Plan (IPP).			

ANNEX 3: SOCIAL ASSESSMENT AND THE PROJECT CYCLE[13]

Stage	Activities
Project Preparation	Extensive stakeholder consultation and development of detailed resettlement action plan (RAP) (note that the RAP includes compensation for permanent or temporary loss of livelihood even if resettlement is not involved); and inclusion of appropriate action within the project based on other analysis.
Project Implementation	Implementation of social aspects of the project including the RAP and capacity building (if any); information dissemination on role of beneficiaries; on-going stakeholder consultations; strengthening beneficiary organizations; improving absorptive capacity of target groups; and mitigating adverse effects on local populations, particularly vulnerable groups.
Monitoring	Monitoring of RAP and other aspects of project implementation; review of social indicators developed during the project design; assessment of social dimensions and associated processes; follow-up on progress reporting by the executing agency (for example, beneficiary participation by number, gender, income group); participation by affected populations, particularly adversely affected groups, in on-going stakeholder consultation; formation of beneficiary groups (numbers by gender and income).

[13] Adapted from the NELSAP Preliminary ESMF

ANNEX 4: STAKEHOLDER ENGAGEMENT DURING THE IMPLEMENTATION STAGE AND EXPECTED OUTCOMES

TYPE OF STAKEHOLDER	TIMING OF INVOLVEMENT	TYPE OF PARTICIPATION REQUIRED	TOOLS FOR PARTICIPATION AND COMMUNICATION	OUTCOME OF INVOLVEMENT	COMMENTS
Communities, Community based organizations, community opinion leaders.	Project preparation and environmental and social screening, implementation and M&E	Interactive participation, functional participation, participation for material incentives and self-mobilization and active participation	Community meetings, focus group discussions, Exchange visits to the other riparian countries for lesson learning for lesson learning and exchange of best practice	Resource mobilization and development of community structures for project implementation and M&E phases, ownership of sub-projects Mitigation of negative environmental and social impacts of the projects	Integration of gender, vulnerable segments of the community, conflict, HIV/AIDs and other cross cutting themes will need to be factored into project design and implementation.
Umbrella civil society organisations (Nile Basin Discourse)	Biannual basis, project preparation and environmental and social screening	Participation by information giving, by consultation and interactive participation with the project team	Formal meetings and representation in Kagera project national and multi-stakeholder meetings, email, social networking.	Exchange of best practice across sub projects and countries, enhanced accountability of their members Mitigation of negative environmental and social impacts of the projects	This should be done at national, transboundary and regional levels.
Private Sector Associations including water utility companies and parastatals	Quarterly, biannual or annual meetings depending on whether they are primary, secondary stakeholders	Interactive participation	Project advisory multi-stakeholder committees, Exchange visits to the other riparian countries for lesson learning and exchange of best practice	Fulfilment of private sector objectives in economic development in the various projects they support or implement Mitigation of negative environmental and social impacts of the projects	This should be done at national, transboundary and regional levels.
Local Government	Quarterly meetings, project preparation	Interactive participation, functional	Formal meetings, sub-project monitoring visits and focus group discussions with	Enhanced ownership and sustainability of sub-	Best practices in IWRM will need to be identified in the various countries

TYPE OF STAKEHOLDER	TIMING OF INVOLVEMENT	TYPE OF PARTICIPATION REQUIRED	TOOLS FOR PARTICIPATION AND COMMUNICATION	OUTCOME OF INVOLVEMENT	COMMENTS
	and environmental and social screening	participation, participation for material incentives and self mobilization and active participation	communities. Exchange visits to the other riparian countries for lesson learning and exchange of best practice	project outcomes Mitigation of negative environmental and social impacts of the projects	so that the exchange visits are focused.
Technical Ministries	Biannual, project preparation and environmental and social screening	Advisory and consensus building, M&E	Formal meetings e.g. RPSC, water sector meetings, exchange visits to the other riparian countries for lesson learning and exchange of best practice	Contribution towards the attainment of sector plans in IWRM due to sub project activities. Mitigation of negative environmental and social impacts of the projects	It is envisaged that the sub-projects will be part of the sectoral plans of the four governments.
NATIONAL GOVERNMENT AND GOVERNMENT INSTITUTIONS	Annual		Formal meetings	Contribution towards attainment of government environment and economic development goals	It is envisaged that the IWRM Investment Plan will be part of National government plans in the four countries
REGIONAL PROJECTS	Biannual	Information exchange of best practices and lessons learnt	Formal meetings lesson learning workshops	Commitment to collaboration on similar projects or activities in the Nile Basin. Contribution towards regional environment and economic development goals	It is envisaged that the IWRM Investment Plan will be in harmony with other investment plans for the region.
REGIONAL BODIES (EAC, NBI)	Annual	Information exchange of best practices and lessons learnt	Formal meetings and lesson learning workshops	Commitment to harmonization of similar activities and donor coordination in the Nile Basin. Contribution towards	It is envisaged that the IWRM Investment Plan will be contribute to the goals of regional bodies.

TYPE OF STAKEHOLDER	TIMING OF INVOLVEMENT	TYPE OF PARTICIPATION REQUIRED	TOOLS FOR PARTICIPATION AND COMMUNICATION	OUTCOME OF INVOLVEMENT	COMMENTS
				regional environment and economic development goals	
DONORS OF KAGERA PROJECT AND OTHER DEVELOPMENT PARTNERS	Annual	Information exchange and updates of sub projects	Formal meetings	Commitment to continuation of funding for sub projects within the Kagera basin and the wider Nile basin as a whole	Donor funding for the Kagera Basin is factored into national budgets.

ANNEX 5: RESETTLEMENT ACTION PLAN OUTLINE[14]

1. Objectives of Resettlement and Policy Framework

a. Description of the purpose and objectives of resettlement
b. National and local land and compensation laws that apply to the project
c. Description of donor policies and how these will be achieved under the project
d. Statement of principles and legal/policy commitments from the borrower/executing agency

2. Project Design and Scope of Resettlement

a. detailed description, including:

    i. how baseline for resettlement was established
    ii. maps, of the scope of resettlement
    iii. how resettlement relates to the main investment project

b. description of alternative options, if any, considered to minimize resettlement
c. details of special consideration given to how the project will impact indigenous people and other vulnerable groups, including women
d. responsibility for resettlement planning and implementation

3. Socio-economic Information and Entitlements

a. impact of land acquisition on potential affected peoples
b. identification of losses to resettlers and host communities
c. details of common property resources
d. cut-off dates of eligibility
e. new eligibility of policy and Entitlement Matrix

4. Resettlement Site Development and Income Restoration

a. location, quality of site, and development needs
b. layout, design and social infrastructure
c. safeguarding income and livelihoods
d. income restoration programs
e. gender issues and other vulnerable groups

[14] Adapted from NELSAP Preliminary ESMF

f. integration with host communities

5. Institutional Framework for Resettlement Implementation

a. mandate of resettlement agency
b. establishing a resettlement unit and staffing
c. technical assistance for capacity building
d. role of NGOs and Civil Society Organizations in resettlement
e. grievance redress committees

6. Consultation and Community Participation

a. identification of project stakeholders
b. mechanisms for participation
c. participatory resettlement management
d. institutions in participation
e. NGOs as a vehicle for participation

7. Resettlement Budget and Financing

a. land acquisition and resettlement costs
b. budgetary allocation and timing
c. sources of funding and approval process

8. Monitoring and Evaluation

a. establishing a monitoring and evaluation system
b. monitoring and reporting
c. NGO and Civil Society participation in monitoring and evaluation
d. resettlement impact evaluation

ANNEX 6: ANNUAL REPORTING

Project reference year: ……

Reporting year: ……

Date of report: ……..

PROJECT SUMMARY

Please enter numbers of micro-project in the following table (i.e. insert totals from district reports): Please enter numbers of sub-projects in the following table

	Approved this year	Application included a screening checklist	Community carried out mitigation	Met provided advice on mitigation	Field Appraisal	ESMP	RAP	IMP
CATEGORY A (IL3)								
Policy, legal or strategy document								
Dam project greater than 15m in height								
Medium-scale irrigation scheme								
Sewer Rehabilitation/Construction								
Construction of Factories/Industries								
Tanneries/Hides and Skin								
Construction of roads and bridges								
CATEGORY B (IL2)								
Small-scale dam (less than 15m in Height								
Farm forestry or agro forestry, small-scale woodlots and tree nurseries								
Small-scale irrigation scheme								
Construction of hotels and restaurants								
Spring capping or rural water supply scheme								
Aquaculture								

	Approved this year	Application included a screening checklist	Community carried out mitigation	Met provided advice on mitigation	Field Appraisal	ESMP	RAP	IMP
Participatory forest management or reforestation								
Rehabilitation of wetlands								
Riverbank stabilization								
Terracing of farmland								
Agricultural interventions								
Support to income generating initiative								
Other								
Total								

CATEGORY A – Results of ESMPs, RAPs etc.

Type of projects that have been subjected to ESMP, RAPs, etc.	Impacts identified included:	Are mitigation or monitoring measures being carried out adequately? If not, why not?
[type here]	[type here]	[type here]

CATEGORY B

Please Summaries the key Environmental and social issues that have been identified from screening processes carried out at District level:

[type here]

Describe key unforeseen Environmental and /or social problems associated with any projects:

Problem	Actions taken	Actions to be taken
[type here]	[type here]	[type here]

MANAGEMENT ISSUES

Summaries, from the district reports, the ways in which District Environment and Development Officers have to be involved in the targeting or identification of any projects.

[type here]

Summaries of the extent to which communities have been involved in the targeting or identification of sub-projects.

[type here]

Please summaries any key participatory issues that have impacted communities' ability to target or identify projects:

[type here]

Please summaries key points concerning the activities of the following actors on

Environmental and social issues in the districts

	Activity
Government line agencies working with KIWMP on Environmental and/ or social issues	[type here]
NGOs in partnership with KIWMP to examine Environmental and / or social issues	[type here]
District Environmental Committee (DEC)	[type here]

Summaries any gaps /non –compliance in Environmental and /or social activities:

Key gaps /areas of non – compliance	Summary of key conclusions	Follow up activities Recommended
[type here]	[type here]	[type here]

STRATEGIC IMPACT

Is the project contributing to improved watershed sustainability in project area?

- Yes, it's contributing to an overall improvement.

- No, it's worsening watershed degradation / it's having a negative impact on the Environment.
- It's contributing to improvements in some micro-catchment areas, and deterioration in others
- Too early to say.

Please explain:

[type here]

Is the project contributing to increased social benefits (both financial and non-financial) in the project area?

- Yes, it's contributing to an overall improvement.
- No, it's reducing income generating opportunities / having a negative impact on socio development.
- It's contributing to improvements in social benefits in some areas, and deterioration in others
- Too early to say.

Please explain

[type here]

Summaries key activities to analyse cumulative Environmental impacts:

Examples of activities reviews or studies	Summary of key conclusions	Levels of success in achieving objectives. If not successful, why not?
[type here]	[type here]	[type here]

Summaries any other Environmental or social analyses that have been carried out in the districts

Examples of activities reviews or studies	Summary of key conclusions	Levels of success in achieving objectives. If not successful, why not?
[type here]	[type here]	[type here]

Summaries any assessments that have been undertaken with respect to the basin management plans.

Examples of activities, reviews or studies	Summary of key conclusions	Level of success in achieving objectives. If not successful, why not?
[type here]	[type here]	[type here]

Summaries your overall conclusions including any revision that should be made to the Kagera River Basins Management Plan.

POLICY AND INSTITUTIONAL

Please describe the activity of the projects in addressing policy constraints that affect Environmental and social sustainability.

Policy issue	Reforms required
[type here]	[type here]

Are there any policy issues that limit Environmental and /or social sustainability that require addressing at a national level (Please describe, citing any relevant experiences from the districts)?

Policy issue	Reforms required
[type here]	[type here]

TRAINING

Based on feedback from the districts, what are the 3 priority training requirements identified under the KIWMP projects?

Training requirement	Who for
1) [type here]	1) [type here]
2) [type here]	2) [type here]
3) [type here]	3) [type here]

Completed by: [type here the names of all those who have contributed to completion of the form e.g. Environment Officer, Social Development Officer, Monitoring and Evaluation Officer]

Position: [type here position of all contributors to the report]

Date: [type here]

ANNEX 7: ROLES AND RESPONSIBILITIES

A. Roles & Responsibilities of the Environmental Officer

- Review the EIA documents prepared by the consultants to assess adequacy under the World Bank Safeguard policies including the OP4.01.
- Overall responsibility for environmental screening of projects and advice to the NELSAP on the project category and EA procedures for compliance with World Bank Safeguards policies.
- Participate in environmental scoping and TOR preparation
- Liaise with various Central and State Government agencies on environmental, resettlement and other regulatory matters
- Prepare compliance reports with statutory requirements.
- Co-ordinate application, follow up processing and obtain requisite clearances from Environmental agencies
- Review environmental performance of the projects, compile periodically environmental monitoring reports submitted by the PMUs and report accordingly
- Provide support and assistance to Government Agencies and the World Bank to supervise the ESMP and RAP implementation
- Continuously interact with the NGOs and Community groups that would be involved in the project and ensure required EIA information disclosure are applied
- Establish dialogue with the affected communities and ensure that the environmental concerns and suggestions are incorporated and implemented in the project
- Develop, organize and deliver training programs for the RPSC members and PMU staff involved in the project implementation, in collaboration with other NBI Projects
- Document the good practices in the project on incorporation and integration of environmental issues into project preparation and design.
- Ensure that the project design and specifications adequately reflect the recommendations of the EIA / SIA

B. Roles & Responsibilities of the Social Development Officer

- Review the SIA Documents prepared by the consultants and ensure adequacy under the World Bank Safeguard policies including the OP4.01.
- Participate in social scoping and TOR preparation.
- Co-ordinate application, follow up processing and obtain requisite clearances for the project, if required.
- Advise the Project Management Units for compliance with statutory requirements.

- Develop, organize and deliver training programme for the PMU staff and NELSAP governance in collaboration with the NELSAP Environmental Officer.
- Continuously interact with the NGOs and Community groups that would be involved in the project.
- Review and monitor the performance of the project through an assessment of the periodic social monitoring reports submitted by the Project Management Units and initiate necessary follow-up actions.
- Provide support and assistance to the Government Agencies and the World Bank to supervise the implementation of the RAP during the implementation phases of the project.
- Document the good practices in the project on incorporation and integration of social and resettlement issues into feasibility studies and engineering design and on implementing measures in the construction and maintenance programs of infrastructure projects and dissemination of the same.

FINAL STAKEHOLDER ENGAGEMENT GUIDE FOR PROJECT IMPLEMENTATION

CONTENTS

Acronyms

BRLi	BRL ingénierie
BTWM	Bugesera Transboundary Water Management Project
CBO	Community Based Organisations
CSO	Civil Society Organisations
DFID	Department for International Development
DPAE	Provincial Ministry of Agriculture and Animal Husbandry (Burundi)
DSS	Decision Support System
EAC	East African Community
ERA	Energy Regulatory Authority
EWURA	Energy and Water Utilities Regulatory Authority (Tanzania)
FAO	Food Agriculture Organisation
IFAD	Internal Fund for Agricultural Development
IGBU	Institut Géographique de Burundi
IIED	International Institute for Environment and Development
IMCE	Integrated Management of Critical Ecosystems Project (Rwanda)
INECN	Institut National pour l'Environnement et la Conservation (Burundi)
IWRM	Integrated Water Resource Management
LVBC	Lake Victoria Basin Commission
LVEMP	Lake Victoria Environnent Management Programme
MAAIF	Ministry of Agriculture, Animal Industry and Fisheries (Uganda)
MAFC	Ministry of Agriculture Food and Cooperatives (Tanzania)
MCGDC	Ministry of community Development Gender and Children (Tanzania)
MCTIPT	Ministry of Commerce, Trade, Industry, Posts and Tourism- Burundi
MEM	Ministry of Energy and Minerals (Tanzania & Burundi)
MFPD	Ministry of Finance, Plans and Development (Burundi)
MINAGRI	Ministry of Agriculture (Rwanda)
MINALOC	Ministry of Local Government (Rwanda)
MINECOFIN	Ministry of Finance and Economic Planning (Rwanda)
MINICOM	Ministry of Trade and Industry (Rwanda)
MINIFRA	Ministry of Infrastructure (Rwanda)
MINIRENA	Ministry of Water Energy and Natural Resources - Rwanda
MINISANTE	Ministry of Health (Rwanda)
MNRT	Ministry of Natural Resources and Tourism - Tanzania

MOCD	Ministry of Communal Development (Burundi)
MOH	Ministry of Health (Uganda)
MOHSW	Ministry of Health and Social Welfare (Tanzania)
MOLF	Ministry of Livestock and Fisheries (Uganda)
MOLG	Ministry of Local Government (Uganda)
MOLHD	Ministry of Lands, Housing and Urban Development (Uganda)
MoTI	Ministry of Trade and Industry (Uganda)
MoTW	Ministry of Tourism and Wildlife
MoWE	Ministry of Water and Environment(Uganda)
MPHFA	Ministry of Public Health and Fight against Aids (Burundi)
MRDP	Ministry of Relief and Disaster Preparedness (Uganda)
MTPE	Ministry of Ministry of Transport, Public Works and Equipment (Burundi)
MWETAUP	Ministry of Water, Environment, Territorial Administration and Urban Planning (Burundi)
NBD	Nile Basin Discourse
NBI	Nile Basin Initiative
NELSAP	Nile Equatorial Lakes Subsidiary Action Program
NEMC	National Environment Management Council Tanzania
NGO	Non-Governmental Organisations
NLC	National Land Centre Rwanda
NORAD	Norwegian Agency for Development Cooperation
NUR	National University of Rwanda
NWSC	National Water and Sewerage Cooperation (Uganda)
PMO-RALG	Prime Minister's Office-Regional Administration Local Government Tanzania
PRIMA	Progressive Realization of the IncoMaputo Agreement
PSF	Private Sector Federation Rwanda
RDB	Rwanda Development Board
REC-RWASCO	Rwanda Electricity and Water Supply Utility Company
REMA	Rwanda Environment Authority
RMS	Rwanda Meteorological Service
RPSC	Regional Project Steering Committee
SIDA	Swedish International Development Agency
TAMP	Transboundary Agro-Ecosystem Management Project
TANESCO	Tanzania Electric Supply Company
TMA	Tanzania Meteorological Agency
TTB	Tanzania Tourist Board

UoB	University of Burundi
UDSM	University of Dar es Salaam
WB	World Bank

1. INTRODUCTION

This Stakeholder Engagement Guide has been developed for the Kagera River Basin Management Project. Specifically it also identifies the various stakeholders in the four Kagera River Basin countries and shows how the different levels of stakeholders are meant to engage during the implementation of the investment projects. In addition it also proposes a budget for the engagement process which will be factored into the financial viability of the IWRM projects.

1.1 Objectives

The objectives of this Kagera River Basin Management Project stakeholder engagement guide are:

a. Assisting the Project in the identification and classification of different stakeholders in the four riparian countries of, Burundi, Rwanda, Tanzania and Uganda.

b. Assisting the Project in planning for stakeholder engagement during the implementation process.

c. Assisting the Project in designing appropriate approaches of stakeholder engagement.

d. Assisting the project in monitoring the engagement process.

1.2 Definitions

Engagement: is an umbrella term that covers the full range of an organisation's efforts to understand and involve stakeholders in its activities and decisions. Engagement can help organisations meet tactical and strategic needs ranging from gathering information and spotting trends that may impact their activities, to improving transparency and building the trust of the individuals or groups whose support is critical to an organisation's long-term success, to sparking the innovation and organisational change needed to meet new challenges and opportunities. This definition is to be taken in totally during the implementation of this guide.

Participation: There are various definitions of the concept of 'participation'. Cernea (1985) defined participation as *"empowering people to mobilize their own capacities, be social actors rather than passive subjects, manage resources, make decisions, and control decisions that affect their lives…"* The World Bank (1998) defined participation as *"a process through which stakeholders influence and share control over development initiatives and the decisions and resources which affect them…"*

Distinction between 'Public' and 'Stakeholder' Participation: The terms 'public participation' and 'stakeholder participation' are often used interchangeably. However, there is a distinction between 'the public' and 'stakeholders'. Stakeholders are individuals, groups or institutions (including Governments) with a significant and legitimate interest (or 'stake') in a decision-making process or a project. The public, by contrast, does not have a defined interest and often has a more limited influence on outcomes of decisions. The public, however, constitutes a larger critical mass. Public interest in and collective influence on trans-boundary water management is therefore significant, and should be accounted for in planning and management. Public participation can be an integral part of a stakeholder participation strategy.

Consultation: The process of gathering information or advice from stakeholders and taking those views into consideration to amend plans, make decisions or set directions. There is no one right way of undertaking consultation. Given its nature, the process is always context-specific. This means that techniques, methods, approaches and timetables need to be tailored for the local situation and the various types of stakeholders being consulted. Ideally, a good consultation process will be:

- Targeted at those most likely to be affected by the project,

- Early enough to scope key issues and have an effect on the project decisions to which they relate,
- Informed as a result of relevant information being disseminated in advance,
- Meaningful to those consulted because the content is presented in a readily understandable format and the techniques used are culturally appropriate,
- Two-way so that both sides have the opportunity to exchange views and information, to listen, and to have their issues addressed,
- Gender-inclusive through awareness that men and women often have differing views and needs,
- Localized to reflect appropriate timeframes, context, and local languages,
- Free from manipulation or coercion,
- Documented to keep track of who has been consulted and the key issues raised,
- Reported back in a timely way to those consulted, with clarification of next steps,
- Ongoing as required during the life of the project.

1.3 Outcomes of stakeholder engagement in the Kagera River Basin Management Project

Stakeholder participation and involvement must constitute an integral strategy in IWRM Investment Plan. The outcomes should include:

- *Improved quality of implementation/approach alternatives*: This is because of the wider range of expertise available leading to more informed decision-making. Many stakeholders (particularly CSOs and the private sector possess a breadth of information that cannot be matched by centralized structures within government;
- *Appropriate solutions to problems*: Kagera River Basin primary stakeholders will be the most affected by lack of water resources or poor management of water resources and will therefore have the keenest interest in ensuring that solutions are appropriate;
- *Reduced conflicts between stakeholders*. Arriving at a consensus in the early stages of the project can reduce the likelihood of conflicts or delays in the implementation of decisions which can harm the implementation and success of the sub-projects in the investment plan;
- *Greater public confidence*: Stakeholder involvement will contribute to the transparency of public and private actors as their actions in the basin will be monitored by the different stakeholders involved;
- *Good governance*: Building participation in water resource management decisions will also contribute to the wider effort of promoting good governance and accountability in government decision making.
- *Improving public acceptance of decisions and greater trust by civil society*: The involvement of all stakeholders will build trust between the government and civil society, which can lead to long-term collaborative relationships.
- *Greater commitment by cooperating partners*: A process where stakeholders are fully and meaningfully involved is more likely to attract support from donors and other cooperating partners who want to invest in the IWRM project within the River Basin.
- *Improved implementation and monitoring:* The involvement of primary and secondary stakeholders in monitoring can supplement scarce government resources for monitoring,

inspection, and enforcement, by identifying environmental threats or violations of applicable laws;

- *Early warning of potential challenges:* Effective stakeholder engagement can identify and address problems at an early stage, saving time, energy, and scarce financial resources in the long run.

1.4 Issues associated with the stakeholder engagement

Effective stakeholder engagement especially in the Kagera River basin will not be an easy task due to the large area of the basin and the numerous stakeholders therein. Thus the following issues will need to be factored into the design of the IWRM investment plan.

a. Time. There needs to be adequate time set aside to engage stakeholders through the various modes of engagement described in section 3.0. The Kagera River Basin Management Project will need to ensure that the time set aside for stakeholder engagement is used effectively. For example the time to engage the primary level stakeholders will be more compared to engaging the tertiary stakeholders because at community level participatory methodologies will be the mode of engagement whilst formal meetings may be the most common mode of engagement at national level. Participatory methodologies have the advantage of increasing ownership and the chances of sustainability of project interventions.

b. Communication and feedback mechanism: This will be important for all stakeholders to feel that they are part and parcel of the proposed projects. Regular communication on outcomes and decisions being made for the sub-projects will be essential. Thus documentation of meetings, workshops and any other forum is essential and the use of the stakeholder database currently being developed to relay major decisions and information will be instrumental in ensuring that a majority of stakeholders are involved throughout the life of the project. It is recommended that a communication strategy for all levels of stakeholders be designed at the beginning of the implementation phase.

c. Commitment: There needs to be commitment on the part of the NELSAP to engage equitably with all stakeholders at all levels. Stakeholders who are key players need to be to be engaged consistently in all phases of the sub projects as without their participation the success of the sub-projects will be compromised.

d. Human and financial resources: NELSAP will need to allocate both human and financial resources for stakeholder engagement. As detailed in tables 1 and 2, stakeholder engagement will almost be full time as various stakeholders will be engaged at different times throughout the life of the sub projects. A communications/liaison/relationship function will be necessary in order to fulfill the tasks of stakeholder engagement. This function will work in liaison with the project staff to develop a stakeholder communication strategy, develop work plans of when and how to engage with specific stakeholders, type of information required, mode of communication and monitoring of the engagement process.

1.5 Justification for Stakeholders engagement

Stakeholder engagement is necessary in order to give the stakeholders an opportunity to participate, make decisions and influence the processes of the IWRM projects. In addition it creates and enhances ownership amongst the stakeholders which in the long run enhances sustainability of the projects after the financiers have pulled out.

Understanding the stakeholders' concerns, views and expectations and responding coherently and appropriately underpin the essence of stakeholder engagement. However there are risks of not engaging and risks of engaging with stakeholders. Lesson learnt from development projects over the years have proven that the risks of not engaging with stakeholders are more adverse than the risks of engaging and thus all development projects should strive to effectively involve stakeholders to the fullest extent possible.

1.5.1 The risks of not engaging stakeholders

Stakeholder engagement is good practice in order for development to occur and its benefits are outlined in earlier sections of this guide. However if IWRM projects do not engage stakeholders the risks could include:

a. ***Lack of ownership***: All different types of stakeholders if not actively engaged by the Kagera River Basin Project will lack ownership and will not enable the implementation, completion and sustainability of the IWRM sub-projects. This will jeopardize NELSAP's objectives in the long run and needs to be avoided. Stakeholders need to be actively engaged in various stages as will be seen later on, their decisions and advice considered and communicated to regularly on project progress for them to feel collectively responsible for project outcomes.

b. ***Lack of sustainability***: If there is no ownership of projects by stakeholders, sustainability of benefits is almost non-existent. There are numerous examples of white elephant projects from grass-root levels to national levels in the region, with the main reason being that there was no ownership of the projects from the beginning. A lot of lessons have been learnt in the past and NELSAP in a bid to foster ownership needs to ensure that the benefits from IWRM sub-projects benefits are sustainable from the beginning with consultation with the relevant stakeholders identified in this guide.

c. ***Lack of transparency and accountability***: IWRM projects need to aim for total transparency and accountability to stakeholders as this will also foster collective ownership of results. Again the involvement of stakeholders in the full project cycle from design to monitoring and evaluation will ensure enhanced accountability by the Kagera River Basin Project. In the absence of this the project will be seem to lack transparency and mistrust and negative opinions will be formed by the stakeholders. Thus in order to mitigate this, sharing of roles and responsibilities amongst the key players will be vital.

1.5.2 The risks of engaging

Whilst engaging stakeholders in project design and implementation is seen as good practice and is necessary for successful project outcomes, it needs to be handled prudently as it may also cause other problems which can jeopardize the realization of outputs and outcomes. Some of the risks that NELSAP may face include the following:

a. ***Raising of expectations***: Key players in the sub-projects have been identified as local governments, communities and members of civil society. The Project will need to keep the expectations of these players in check in order to foster good relationships and elicit commitment and ownership of the sub projects. It is important that when their views and expectations are being solicited specially at project design phase any unrealistic expectations by stakeholders be addressed at that stage. For example if the sub-project targeted for an area is afforestation of the catchment, the short, medium and long term gains should be communicated to the key players, clearly through participatory methodologies. In addition it should also be very clear that the programme in that area will only address afforestation in the short-medium term and other benefits accruing from successful afforestation will be seen in the long term e.g. increase in water, income from timber sales, e.t.c.

b. ***Too many cooks spoil the broth:*** Participation of too many individuals and institutions especially in the decision making processes can also jeopardize project implementation.

Identification of key individuals and institutions that are necessary will be important at every level. Stakeholders who are key players in the sub-projects are necessary in the decision making processes. Stakeholders who need to be kept informed need not be involved in the decision making processes at lower levels. Stakeholders who need to be kept satisfied need to be convinced that the decisions made by the key players are sound and can offer advice. For example when the local government and communities figure out a way of involving vulnerable households in water benefit sharing according to the local conditions, technical ministries at national levels when consulted should endeavour to see how this can be implemented cost efficiently with maximum impact, whilst other NELSAP programmes can collaborate through sharing of other ideas or lessons learnt from other similar ventures. The onus of the implementation however would be with the key players and all stakeholders cannot expect to be involved in direct implementation.

c. ***Bureaucracy:*** In an effort to involve all stakeholders, programmes and projects may be tempted to develop numerous layers of decision making bureaucracy. Needless to say this will bog down project progress and by the time the actions are being implemented, either the content will have changed or their effect will have been watered down. The involvement of stakeholders in decision making should be delegated as much as possible to the key players for faster implementation of projects. Thus the institutional set – up of sub-projects (e.g. where multi-stakeholder forums and advisory committees are absolutely necessary for project implementation) should ensure that bureaucracy is minimized amongst the stakeholders as much as possible. This will need to be agreed upon during the sub-project design phase.

d. ***Lack of satisfaction to the stakeholders***: Due to comprehensive engagement, the key stakeholders will have expectations from engaging with the sub-projects. It is therefore the responsibility of NELSAP to ensure that the planned and budgeted for sub-projects are implemented to the satisfaction of all stakeholders, as this will enhance the credibility of NELSAP. Failure to this will mean that stakeholders may lose faith in the institution and are not willing to collaborate, finance projects and engage with them in similar ventures in the future. This scenario can only retard development progress in the Kagera River Basin which would be unfortunate.

2. STAKEHOLDERS IN THE KAGERA BASIN

2.1 Classification of Stakeholders

Stakeholders in the Kagera basin can in classified in different ways. This guide presents three ways of classifying stakeholders. The first is broad categorization which is depicted as a stakeholder map, the second is a power-interest matrix and the third is a relationship classification.

2.1.1 Broad stakeholder classification and their interests

Stakeholders were identified at different levels in the basin. They comprise of the following broad categories and their interests in the basin. Figure 1 below shows the different stakeholders at the various levels.

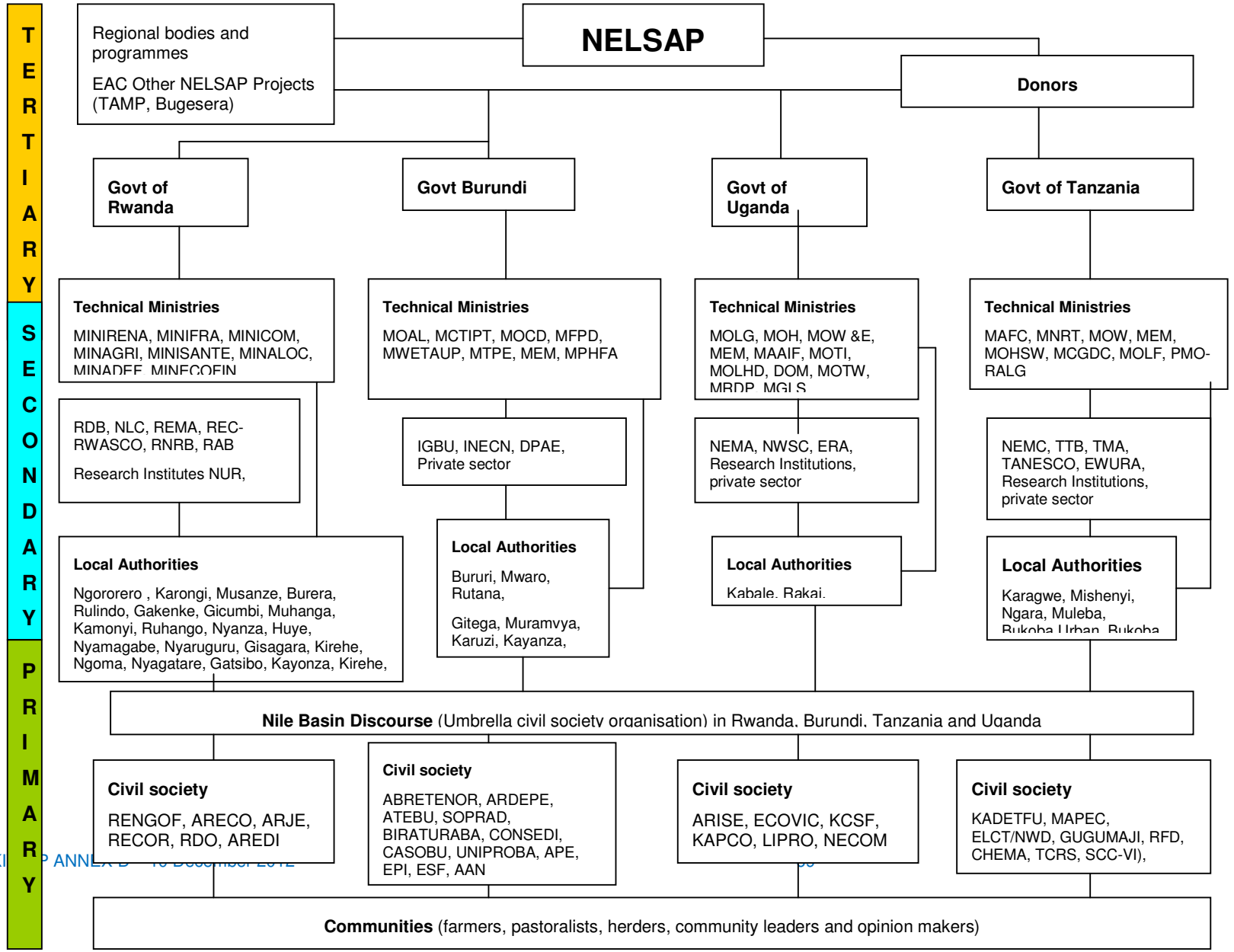
a. Primary stakeholders include the local communities and community groups (the majority of whom are poor men and women), farmers, herders, fishermen etc. who derive their livelihoods from the water resources of the basin or whose activities directly rely on or impact the water resources of the catchments.

b. Secondary stakeholders are those individuals, institutions or organisations that are intermediaries who have an interest in the project or outcome, although it is less significant and directly related than that of the primary stakeholders. We can say that these secondary stakeholders are "indirectly affected" by outcomes. In the Kagera River Basin Project these would be the local

government, NGOs, water utility companies, electricity companies, other transboundary projects in the basin such as TAMP, LVEMP II, Nile DSS etc.

c. Tertiary stakeholders can also be referred to as external and usually play an advisory or advocacy role to the Project. These include the national governments, EAC, LVBC, NBI, donors, technical ministries and other government agencies, etc.), private sector, donors.

A stakeholder map below attempts to capture the different levels of stakeholders. It assumes that the projects are implemented at grass-root level. However it should be noted that the classification can change depending on the type of project.


TERTIARY
SECONDARY
PRIMARY
Regional bodies and programmes
EAC Other NELSAP Projects (TAMP, Bugesera)
NELSAP
Donors
Govt of Rwanda
Govt Burundi
Govt of Uganda
Govt of Tanzania
Technical Ministries
MINIRENA, MINIFRA, MINICOM, MINAGRI, MINISANTE, MINALOC, MINADEF, MINECOFIN
Technical Ministries
MOAL, MCTIPT, MOCD, MFPD, MWETAUP, MTPE, MEM, MPHFA
Technical Ministries
MOLG, MOH, MOW &E, MEM, MAAIF, MOTI, MOLHD, DOM, MOTW, MRDP, MGLS
Technical Ministries
MAFC, MNRT, MOW, MEM, MOHSW, MCGDC, MOLF, PMO-RALG
RDB, NLC, REMA, REC-RWASCO, RNRB, RAB
Research Institutes NUR,
IGBU, INECN, DPAE, Private sector
NEMA, NWSC, ERA, Research Institutions, private sector
NEMC, TTB, TMA, TANESCO, EWURA, Research Institutions, private sector
Local Authorities
Ngororero , Karongi, Musanze, Burera, Rulindo, Gakenke, Gicumbi, Muhanga, Kamonyi, Ruhango, Nyanza, Huye, Nyamagabe, Nyaruguru, Gisagara, Kirehe, Ngoma, Nyagatare, Gatsibo, Kayonza, Kirehe,
Local Authorities
Bururi, Mwaro, Rutana,
Gitega, Muramvya, Karuzi, Kayanza,
Local Authorities
Kabale, Rakai,
Local Authorities
Karagwe, Mishenyi, Ngara, Muleba,
Nile Basin Discourse (Umbrella civil society organisation) in Rwanda, Burundi, Tanzania and Uganda
Civil society
RENGOF, ARECO, ARJE, RECOR, RDO, AREDI
Civil society
ABRETENOR, ARDEPE, ATEBU, SOPRAD, BIRATURABA, CONSEDI, CASOBU, UNIPROBA, APE, EPI, ESF, AAN
Civil society
ARISE, ECOVIC, KCSF, KAPCO, LIPRO, NECOM
Civil society
KADETFU, MAPEC, ELCT/NWD, GUGUMAJI, RFD, CHEMA, TCRS, SCC-VI),
Communities (farmers, pastoralists, herders, community leaders and opinion makers)

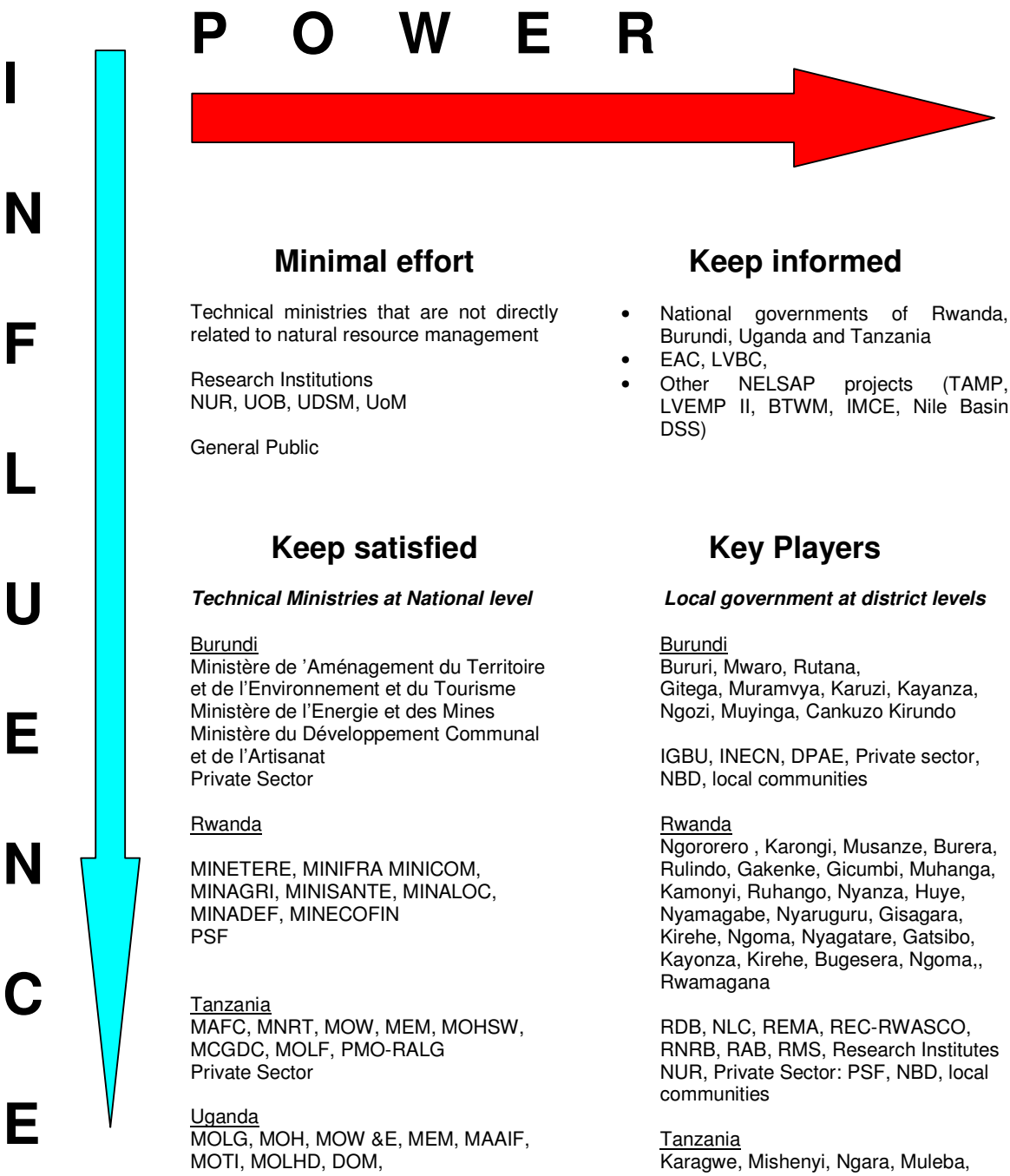
2.1.2 Power Interest Map

This stakeholder map depicted in Figure 2 classifies stakeholders in relation to the power that they hold and the extent to which they are likely to show interest and influence the strategies and activities of the Kagera River Basin Project. The Power / Interest Map also indicates the type of relationship the Project should have with each of the groups. The map is a generic map and any of the stakeholders can be any category depending on what the IWRM sub project is. The map also assumes that the project e.g. afforestation, land rehabilitation, is being implemented at grass-root levels by local government and civil society.

The power map would look different if for the example the project was the implementation of a high power voltage line across countries. The key stakeholders in this case would be the power distribution countries and national governments while civil society and local governments would need to be kept satisfied. Thus the map should be drawn for the different types of the sub-projects in the IWRM investment plan during project design phase. Thus for a community based project:

- The stakeholders in group A require only minimal effort and monitoring.
- The stakeholders in group B should be kept informed. They can be used to influence the more powerful stakeholders.
- Stakeholders in group C are powerful, but their level of interest in the strategies of the Project is low. They are generally relatively passive, but may suddenly emerge as a result of certain events, moving to group D on that issue. They should be kept satisfied.
- The stakeholders in group D are both powerful and highly interested in the strategies of the Project. The acceptability of strategies to these key players should be an important consideration in the evaluation of new strategies

Figure 2: Power /Influence Map



Minimal effort

Technical ministries that are not directly related to natural resource management

Research Institutions
NUR, UOB, UDSM, UoM

General Public

Keep informed

- National governments of Rwanda, Burundi, Uganda and Tanzania
- EAC, LVBC,
- Other NELSAP projects (TAMP, LVEMP II, BTWM, IMCE, Nile Basin DSS)

Keep satisfied

Technical Ministries at National level

Burundi
Ministère de 'Aménagement du Territoire et de l'Environnement et du Tourisme
Ministère de l'Energie et des Mines
Ministère du Développement Communal et de l'Artisanat
Private Sector

Rwanda

MINETERE, MINIFRA MINICOM, MINAGRI, MINISANTE, MINALOC, MINADEF, MINECOFIN
PSF

Tanzania
MAFC, MNRT, MOW, MEM, MOHSW, MCGDC, MOLF, PMO-RALG
Private Sector

Uganda
MOLG, MOH, MOW &E, MEM, MAAIF, MOTI, MOLHD, DOM,
MOTW, MRDP, MGLS

Private Sector

Key Players

Local government at district levels

Burundi
Bururi, Mwaro, Rutana,
Gitega, Muramvya, Karuzi, Kayanza,
Ngozi, Muyinga, Cankuzo Kirundo

IGBU, INECN, DPAE, Private sector,
NBD, local communities

Rwanda
Ngororero , Karongi, Musanze, Burera, Rulindo, Gakenke, Gicumbi, Muhanga, Kamonyi, Ruhango, Nyanza, Huye, Nyamagabe, Nyaruguru, Gisagara, Kirehe, Ngoma, Nyagatare, Gatsibo, Kayonza, Kirehe, Bugesera, Ngoma,, Rwamagana

RDB, NLC, REMA, REC-RWASCO, RNRB, RAB, RMS, Research Institutes NUR, Private Sector: PSF, NBD, local communities

Tanzania
Karagwe, Mishenyi, Ngara, Muleba, Bukoba Urban, Bukoba Rural,

NEMC, TTB, TMA, TANESCO, EWURA, Research Institutions,
NBD, local communities

Uganda
Kabale, Rakai, Ntungamo, Isingiro
NEMA, NWSC, ERA, Research Institutions, private sector
NBD, local communities

Adopted from Gardner et.al. 1986

2.1.3 Relationship classification

This classification presented below shows the different relationships with various stakeholders that the Kagera River Basin Project is expected to have during the implementation of the IWRM investment projects.

a. ***Responsibility:*** These are stakeholders to whom the Kagera River Basin Project has a responsibility to fulfill. These include the financiers of the project (SIDA, WB, NORAD) and the national governments of the four riparian countries. In addition it involves the end beneficiaries of the project such as the primary stakeholders e.g. the communities at grass-root level and any other institution or project that is collaborating with the Kagera project for mutual gains e.g. the Sio-Malaba-Malakisi project.

b. ***Influence:*** These are stakeholders with influence or decision-making power and whose influence and power can make or break the success of the IWRM investment projects. Depending on what the project is, national governments and funding institutions fall in this category. In addition if civil society is greatly empowered it may also fall in this category.

c. ***Proximity:*** These are stakeholders with whom the Kagera River Basin Project interact most, including internal stakeholders, those with long-standing relationships and those on whom the project depends for day-to-day operations. They include NELSAP and NBI coordination units and LVBC and its projects such as LVEMP II. They may also include the Environmental Management Authorities in each country such as REMA, NEMA and NEMC.

d. ***Dependency:*** Stakeholders who are directly or indirectly dependent on the Kagera Project activities fall in this category. These include the implementing institutions usually at grass-root level such as the local governments and the communities. They usually the primary and secondary stakeholders of the project.

e. ***Representation:*** Stakeholders who through regulation or custom or culture can legitimately claim to represent a constituency within the Kagera River Basin Project. These mostly comprise of primary and secondary stakeholders such as civil society, local governments and to an extent national governments.

f. ***Policy and strategic intent:*** Stakeholders whom the Project will address directly or indirectly by policy or practice. These are usually national governments and intergovernmental bodies such as EAC

3. METHODS OF ENGAGEMENT WITH THE VARIOUS STAKEHOLDERS

After having seen the various ways in which stakeholders can be classified, the next step is to outline effective modes of engagement and participation with them in order to minimise the outlined risks and maximize IWRM sub project results and Kagera River Basin Project objectives.

Stakeholder engagement encompasses relationships that are built around one-way communication, basic consultation, in-depth dialogue and working partnerships. Each successive approach represents a greater commitment on both sides in terms of time and money, and risk and cooperation. Choosing an approach to engagement is not a technical question about focus groups versus public meetings but about understanding the drivers, risks and opportunities associated with an issue and the needs and aspirations of the project and its stakeholders in relation to that issue.

The diversity of stakeholder interests, roles, resources and relationships requires that there should be clear definition of who should participate in decision-making processes, and in what ways. Some of the modes of stakeholder participation are defined in Table 1. below.

Table 7: Methods of Engaging Stakeholders

Method	Description
Passive Participation	People participate by being told what is going to happen or has happened. This involves a unilateral announcement by an administration or project management, without listening to peoples' responses. The information being shared belongs only to external professionals.
Participation in information giving	People participate by giving answers to questions posed by researchers and project managers using questionnaire surveys or similar approaches. People do not have the opportunity to influence proceedings, as the findings of the research or project design are neither shared nor checked for accuracy.
Participation by Consultation	People participate by being consulted, and external agents listen to views. These external agents define both problems and solutions, and may modify these in the light of peoples' responses. Such a consultative process does not concede any share of decision-making, and professionals are under no obligation to take on board peoples' views.
Participation for material incentives	People participate by providing resources, for example labour, in return for food, cash, or other material incentives. Much *in situ* research falls in this category. It is very common to see this called participation, yet people have no stake in prolonging activities when the incentives end.
Functional Participation	People participate by forming groups to meet pre-determined objectives related to a project, which can involve the development or promotion of externally initiated social organisation. Such involvement tends not to occur at early stages of project cycles or planning, but rather after major decisions have been made.
Interactive participation	People participate in joint analysis, which leads to action plans and the information of new local groups or the strengthening of existing ones. This tends to involve inter-disciplinary methods that seek multiple perspectives and make use of systematic and structured learning processes. These groups take control over local decisions, so that people have a stake in maintaining structures or practices.
Self-mobilisation/ active participation	People participate by taking initiatives to change systems, independent of external institutions. Such self-initiated mobilisation and collective action may or may not challenge existing distributions of power and wealth.
Source: International Institute for Environment and Development (1994). Whose Eden?: An Overview of Community Approaches in Wildlife Management. IIED, London.	

3.1 During Implementation of IWRM Investment Plan

It is expected that the KIWMP projects will receive financing from various sources and their implementation will begin with the relevant stakeholders on board. Before implementation commences relevant stakeholders will have been mobilised and will be ready to begin implementation as they will have participated in the project identification, screening and validation phases prior to implementation. Table 3 below describes how the various stakeholders will be involved during the implementation stage and the outcomes expected from their involvement.

Table 8: Stakeholder engagement during the implementation stage and expected outcomes

TYPE OF STAKEHOLDER	TIMING OF INVOLVEMENT	TYPE OF PARTICIPATION REQUIRED	TOOLS FOR PARTICIPATION AND COMMUNICATION	OUTCOME OF INVOLVEMENT	COMMENTS
Communities, Community based organizations, community opinion leaders.	Sub project inception, implementation and M&E	Interactive participation, functional participation, participation for material incentives and self- mobilization and active participation active role in decision making and management of watershed and wetland projects under selected CBOs.	Community meetings, focus group discussions, Exchange visits to the other riparian countries for lesson learning for lesson learning and exchange of best practice	Resource mobilization and development of community structures for project implementation and M&E phases, ownership of sub-projects	Integration of gender, vulnerable segments of the community, conflict, HIV/AIDs and other cross cutting themes will need to be factored into project design and implementation.
Umbrella civil society organisations (Nile Basin Discourse)	Biannual basis	Participation by information giving, by consultation and interactive participation with the project team	Formal meetings and representation in Kagera project national and multi-stakeholder meetings, email, social networking.	Exchange of best practice across sub projects and countries, enhanced accountability of their members	This should be done at national, transboundary and regional levels.
Private Sector Associations including water utility companies and parastatals	Quarterly, biannual or annual meetings depending on whether they are	Interactive participation	Project advisory multi-stakeholder committees, Exchange visits to the other riparian countries for lesson	Fulfilment of private sector objectives in economic development in the various projects they support or	This should be done at national, transboundary and regional levels.

TYPE OF STAKEHOLDER	TIMING OF INVOLVEMENT	TYPE OF PARTICIPATION REQUIRED	TOOLS FOR PARTICIPATION AND COMMUNICATION	OUTCOME OF INVOLVEMENT	COMMENTS
	primary, secondary stakeholders		learning and exchange of best practice	implement	
Local Government	Quarterly meetings	Interactive participation, functional participation, participation for material incentives and self mobilization and active participation	Formal meetings, sub-project monitoring visits and focus group discussions with communities. Exchange visits to the other riparian countries for lesson learning and exchange of best practice	Enhanced ownership and sustainability of sub- project outcomes	Best practices in IWRM will need to be identified in the various countries so that the exchange visits are focused.
Technical Ministries	Biannual	Advisory and consensus building	Formal meetings e.g. RPSC, water sector meetings, exchange visits to the other riparian countries for lesson learning and exchange of best practice	Contribution towards the attainment of sector plans in IWRM due to sub project activities.	It is envisaged that the sub-projects will be part of the sectoral plans of the four governments.
NATIONAL GOVERNMENT AND GOVERNMENT INSTITUTIONS	Annual		Formal meetings	Contribution towards attainment of government environment and economic development goals	It is envisaged that the IWRM Investment Plan will be part of National government plans in the four countries
REGIONAL PROJECTS	Biannual	Information exchange of best practices and lessons learnt	Formal meetings lesson learning workshops	Commitment to collaboration on similar projects or activities in the Nile Basin. Contribution towards regional environment and economic development goals	It is envisaged that the IWRM Investment Plan will be in harmony with other investment plans for the region.
REGIONAL BODIES (EAC, NBI)	Annual	Information exchange of best practices and lessons learnt	Formal meetings and lesson learning workshops	Commitment to harmonization of similar activities and donor coordination in the Nile Basin. Contribution towards regional	It is envisaged that the IWRM Investment Plan will be contribute to the goals of regional bodies.

TYPE OF STAKEHOLDER	TIMING OF INVOLVEMENT	TYPE OF PARTICIPATION REQUIRED	TOOLS FOR PARTICIPATION AND COMMUNICATION	OUTCOME OF INVOLVEMENT	COMMENTS
				environment and economic development goals	
DONORS OF KAGERA PROJECT AND OTHER DEVELOPMENT PARTNERS	Annual	Information exchange and updates of sub projects	Formal meetings	Commitment to continuation of funding for sub projects within the Kagera basin and the wider Nile basin as a whole	Donor funding for the Kagera Basin is factored into national budgets.

4. MONITORING THE STAKEHOLDER ENGAGEMENT PROCESS

Monitoring will be a crucial element in assessing the extent and quality of stakeholder participation in the IWRM Investment Plan. The onus of monitoring the stakeholder engagement process will rest on NELSAP and the Kagera River Basin Project team in collaboration with its partners especially those involved in the design, preparation and implementation of the sub projects.

Three aspects of participation that will need to be monitored and evaluated will include:

- The extent and quality of participation;
- The costs and benefits of participation to the different stakeholders; and
- The impact of participation on outcomes, performance and sustainability of the Kagera River Basin Management Project

The expected benefits of participation in the Kagera River Basin development will include: improving the efficiency, effectiveness, sustainability and coverage of IWRM sub-projects, enhanced stakeholder capacity, self-reliance and empowerment.

The main objectives of monitoring and evaluating stakeholder participation will be:

- To assess to impact of participation on the Kagera River Basin Management Project outcomes and performance;
- To assess and justify the costs and other investments in participatory development;
- To learn from experience and use it in re-planning and designing, implementing, monitoring and evaluating new projects;
- To document lessons learnt throughout the whole engagement process and use the lessons to strengthen the capacity of stakeholders.

Experiences in monitoring and evaluation of participation are still limited as attention has been focused more on identifying stakeholders and assessing the extent and quality of stakeholder participation than on assessing the costs and benefits of participation to the different stakeholder groups or the impact of stakeholder participation. However, there is not always a clear separation among the approaches and methods for assessing these different aspects of participation according to Karl (2000)[15].

Thus in order to effectively monitor stakeholder engagement, this guide proposes the use of two methods

a. The use of M&E indicators and
b. The use of the participation matrix.

A. Use of M&E indicators

This will involve two steps:

[15] Karl, M (2000). Monitoring and evaluating stakeholder participation in agriculture and rural development projects: a literature review. Sustainable Development Department, FAO, posted November 2000.

i. Collecting the data and information that will reflect the process of participation during the lifetime of the Kagera project; and

ii. Analysing this data and information and making some form of judgement on the participation that has occurred.

The above steps will involve the collection of both quantitative and qualitative indicators.

- Quantifiable indicators can be used to measure the economic aspects of stakeholder participation, the extent of participation in institutions and project activities, and the development momentum.
- Qualitative indicators will measure processes such as institutional growth, group behaviour and self-reliance. These indicators are not static and may evolve over the life of a project as participation changes.

The developing of quantifiable indicators to assess participation should answer the following questions:

- Who is participating?
- How many people/institutions are participating and through what institutional arrangements?
- Are local project institutions developing satisfactorily?
- Project input take-up rates - are people actively engaged in the project?
- What is the level of participation in key activities?
- Are participants mobilising their own resources and contributing to the project materially?
- Are installations kept in good running order by the participants?

While different methods can be used, participatory monitoring and evaluation and involvement of the primary stakeholders wherever possible is generally recommended.

Likewise qualitative indicators should answer the following questions:

- How are different stakeholders expected to achieve stability?
- What capabilities are participating stakeholders being encouraged to develop?
- What are the expected qualities of participants' contributions?
- What behavioural characteristics are institutions and participants expected to display?
- Are key stakeholders achieving increased self-reliance and control?

B. Participation Matrix

In addition to the use of indicators, a participation matrix[16] can be used to evaluate stakeholder participation. It is used throughout the project cycle and it can help identify the extent and quality of stakeholder participation. The matrix is based on the following range of possible stakeholder participation:

- Being in control and only consulting, informing or manipulating other stakeholders.

[16] DFID 1995. Technical Note on Enhancing Stakeholder Participation in Aid Activities, London: DFID.

- Partnership (i.e. equal powers of decision-making) with one or more of the other stakeholders.
- Being consulted by other stakeholders who have more control.
- Being informed by other stakeholders who have more control.

Table 9: Participation Matrix

	Inform	Consult	Partnership	Control
Identification				
Planning				
Implementation				
M&E				

The different stakeholders, from senior levels in donor and recipient institutions, to the primary stakeholders at the local level are entered in the boxes according to how they participate at the different stages of the project cycle. This matrix needs to be revised during the course of the project as participation changes.

5. STAKEHOLDER PARTICIPATION ESTIMATED BUDGET

Stakeholder participation needs to be budgeted for because as mentioned earlier in section 2, it can be time consuming and expensive. The table below gives an indicative budget only but the final budgeting should be done once the sub projects and their stakeholders are finalised.

Table 10: Estimated cost of Stakeholder engagement with Kagera River Basin Management Project per annum[17]

TYPE OF STAKEHOLDER	LEVEL OF ENGAGEMENT	FREQUENCY OF ENGAGEMENT	COSTS PER ENGAGEMENT US $	TOTAL COSTS (US $)	NOTES
Farmers, herders, fishermen, CBOs	Community level	Biannual	100,000	200,000	This includes food, accommodation, hiring of meeting transport costs, per diem of community members
NBD and National NGOs	National level	Biannual	45,000	90,000	This includes food, accommodation, transport costs, per diem of NGOs
Local government	District level	Biannual	55,000	110,000	This includes food, accommodation, transport costs, per diem of the local government people
Technical Ministries	National level	Biannual	40,000	80,000	This includes food, accommodation, transport costs, per diem
National governments	National	Annual	85,000	85,000	This includes food, accommodation, transport costs, per diem of key personnel within government
Regional Projects	Regional	Biannual	55,000	110,000	This includes food, accommodation, transport costs, per diem of key regional project staff personnel
Regional bodies	Regional	Annual	55,000	55,000	This includes food, accommodation, transport costs, per diem of key personnel within the regional bodies
Donors	Regional	Annual	10,000	10,000	This includes hiring of meeting place and food.
TOTAL				**740,000**	

[17] This budget does not include the stakeholder engagement processes in individual projects. This is only a budget for the Kagera Project Coordination unit with stakeholders.

6. REFERENCES

1. Cernea, M.M, 1985. Sociological Knowledge for Development Projects, in Putting People First: Sociological Variables in Rural Development. Oxford University Press.
2. DFID (1995). Technical Note on Enhancing Stakeholder Participation in Aid Activities, London: DFID.
3. Gardner, J. R., Rachlin, R. and Sweeney, H. W. A. (1986) Handbook of Strategic Planning.
4. International Institute for Environment and Development (1994). Whose Eden?: An Overview of Community Approaches in Wildlife Management. IIED, London.
5. Karl, M (2000). Monitoring and evaluating stakeholder participation in agriculture and rural development projects: a literature review. Sustainable Development Department, FAO, posted November 2000.
6. Krick Thomas, Forstater Maya, M Philip, Sillanpää Maria (2005). The Stakeholder Engagement Manual Volume 2: The Practitioner's Handbook on Stakeholder Engagement, Accountability, the United Nations Environment Programme, and Stakeholder Research Associates.
7. Partridge K, Jackson C, Wheeler D, Zohar A. (2005). The Stakeholder Engagement Manual. Volume 1: The Guide to Practitioners' Perspectives on Stakeholder Engagement. By Stakeholder Research Associates Canada Inc. United Nations Environment Programme, Accountability.
8. Progressive Realization of the Incomaputo Agreement (PRIMA) IAAP9: Consulting Services for Stakeholder Participation and Communication *Report 6: Draft Final Project Report,* Republic of Mozambique, Ministry of Public Works and Housing, National Directorate of Water. December 2010 by BRL.
9. Worldbank (1998). The Worldbank Participation Sourcebook.