

JACO CDM

SMALL-SCALE A/R VALIDATION REPORT

Client: World Bank
The Carbon Finance Unit

Uganda Nile Basin Reforestation Project No. 3

Revision No.06

2009. 08. 11

Report No. GR07W0002D-06

JACO CDM., LTD

Validation Report

Date of first issue: Nov. 02, 2007	
Approved by: Nobuhisa ITO CEO, President of JACO CDM	Project No.: UNFCCC ref: 1578
Client: Client Name: The World Bank The Carbon Finance Unit	Client ref.:

Summary:

JACO CDM., Ltd has been ordered by the World Bank, the Carbon Finance Unit to perform validation of small-scale A/R project "Uganda Nile Basin Reforestation Project" (hereinafter the Project).

The host country is Uganda.

This validation report summarizes the findings of the validation.

The validation consisted of the following three steps:

- i) desk review of the project design, the baseline and the monitoring plan etc.,
- ii) follow-up interviews with project stakeholders
- iii) the resolution of outstanding issues and issuance of the final validation report and the opinion.

The responses to 14 Corrective Action Requests and 26 Clarifications to the PDD version No.04 (Oct, 2006) were satisfactorily provided by the Project participants and the original PDD was revised. Total net anthropogenic removals (tCER) from the project are estimated to be on average of 5,590 tCO₂ per year over the selected 20 year crediting period. The net anthropogenic removal forecast has been checked and is deemed likely that the stated amount is achieved given that the underlying assumptions do not change.

Adequate training and monitoring procedures have been implemented.

In summary, it is JACO CDM's opinion, that the "Uganda Nile Basin Reforestation Project No 3" in Uganda as described in the PDD version 06-1 of 16 January 2009 meets all relevant UNFCCC requirements for A/R project activities under the CDM and all relevant host country criteria and correctly applies the baseline and monitoring methodology AR-AMS0001, version 05. Hence, JACO CDM requests the registration of the project as a small-scale A/R CDM project activity.

Report No.: GR07W0002D-5		
Report title: Small-Scale A/R Validation Report Uganda Nile Basin Reforestation Project No 3		
Work carried out by: Teruo FUKUDA, Osamu KOBAYASHI		
Work verified by: Yoshihiro OTSUKA, Shigekazu OKA Noriyuki KOBAYASHI (Expert)		
Date of this revision Aug 11, 2009	Rev. No.: 06	Number of pages: 24

☒ No distribution without permission from the Client or responsible organizational unit

☐ Limited distribution

☐ Unrestricted distribution

Validation Report

Abbreviations

AGB	Above-ground Biomass
A/R	Afforestation Reforestation
BEF	Biomass Expansion Factor
CAR	Corrective Action Request
CCB	Climate, Community & Biodiversity
CDM	Clean Development Mechanism
CEF	Carbon Emission Factor
CERs	Certified Emission Reduction
CFR	Central Forest Reserve
CL	Clarification Request
COP	Conference of Parties
DBH	Diameter at Breast Height
dm	Dry Matter
DNA	Designated National Authority
DOE	Designated Operating Entity
ENCOFOR	Environment and Community based framework for designing afFORestation
ERs	Emission Reductions
EIA	Environmental Impact Assessment
EIS	Environmental Impact statement
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FMP	Forest Management Plan
GHG	Green House Gas(es)
GIS	Geographical Information Systems
GPG	Good Practice Guidance
IBRD	International Bank for Reconstruction and Development
IPCC	Intergovernmental Panel on Climate Change
JACO CDM	JACO CDM Co., Ltd
KP	Kyoto Protocol
LULUCF	Land use, land-use change and forestry
NEMA	National Environment Management Authority
NFA	National Forest Authority
NGO	Non Governmental Organization
PDD	Project Design Document
QA	Quality Assurance
QC	Quality Control
RECPA	Rwaho Environmental Conservation and protection Association
SOPs	Standard Operating Procedures
SPGS	Sawlog Production Grant Scheme
SV	Stem Volume
tCERs	Tempolary Certified Emission Reduction
UNFCCC	United Nations Framework Convention on Climate Change
UTM	Universal Transverse Mercator coordinate system
WD	Wood Density
WGS	World Geodetic System

Validation Report

Table of Contents	Page
1 Introduction	1
1.1 Objective	1
1.2 Scope	1
1.3 GHG Project Description	1
2 Methodology	2
2.1 Review of Documents	4
2.2 Follow-up Interviews	4
2.3 Resolution of Clarification and Corrective Action Requests	4
2.4 Internal Quality Control and Assurance	5
3 Validation Findings	5
3.1 Participation Requirements	5
3.2 Project Design	6
3.3 Baseline and Monitoring Methodology	9
3.4 Estimation of Removals	14
3.5 Environmental Impacts	15
3.6 Socio-economic Impacts	16
3.7 Comments by Local Stakeholders	17
4 Comments by Parties, Stakeholders and NGOs	18
5 Validation opinion	19
6 references	20

Appendix A: Validation Protocol

A -1 ~ 36

Appointment Certificate

1. INTRODUCTION

1.1. Objective

The World Bank, the Carbon Finance Unit has commissioned JACO CDM to validate the small-scale A/R project “Uganda Nile Basin Reforestation Project” (hereinafter called “the project”).

The validation serves as design verification and is a requirement for all CDM projects. The purpose of a validation is to have an independent third party assess the project design. In particular, the project’s baseline, the monitoring plan (MP), and the project’s compliance with relevant UNFCCC and host country criteria are validated in order to confirm that the project design as documented is sound and reasonable and meets the stated requirements and identified criteria.

Validation is a requirement for all CDM projects and is seen as necessary to provide assurance to stakeholders of the quality of the project and its intended generation of temporary or long-term certified emission reductions (tCERs/ICERs).

UNFCCC criteria refer to the Kyoto Protocol criteria and the CDM rules and modalities as agreed in the Bonn Agreement and the Marrakech Accords.

1.2. Scope

The validation scope is defined as an independent and objective review of the project design document (PDD). The PDD is reviewed against the criteria stated in Article 12 of the Kyoto Protocol, sections A to F of the CDM modalities and procedures as agreed in the Marrakech Accords, the modalities and procedures for A/R project activities under CDM as agreed at COP 9, the simplified modalities and procedures for small-scale A/R project activities under the CDM as agreed at COP 10 and the relevant decisions by the CDM Executive Board, including the approved baseline and monitoring methodology. The validation team has, based on the recommendations in the Validation and Verification Manual employed a risk-based approach, focusing on the identification of significant risks for project implementation and the generation of t/ICERs.

The validation is not meant to provide any consulting towards the project participants. However, stated requests for clarifications and/or corrective actions may have provided input for improvement of the project design.

The validation was conducted by the following validation team through the assessment of the PDD version 04 to 06-1 and the additional documents listed in the Chapter 6 “References”, also by the interviews with persons listed in the same Chapter.

The result of validation team activity was reviewed by the internal verifiers.

Validation Team

Teruo FUKUDA	JACO CDM	Team Leader
Osamu KOBAYASHI	JACO CDM	Team Member

Technical Expert

MakinoYAMADA	Japan Overseas Plantation Center for Pulpwood
--------------	---

Internal Verifiers

Yoshihiro OTSUKA	Board Director & General Manager of JACO CDM
Shigekazu OKA	Manager of Audit Department of JACO CDM
Noriyuki KOBAYASHI	Professor of Law School of Nihon University, Technical Advisor to JACO CDM for AR project

1.3. Project Description

The small-scale CDM A/R project “Uganda Nile Basin Reforestation Project No 3” is a part of a project cluster of 5 similar projects aiming to provide a new financing mechanism to overcome the current barriers to establish timber plantations in Uganda and to allow communities to benefit from the CDM. In total the project activities cover an area of 341.9 ha within Rwoho Central Forest Reserve (NFA (National Forest Authority) planting area: 319.2 (93 %), community planting area: 22.7 ha (7 %)).

In the project the NFA is the main investor being responsible for 93 % of the investor shares and proportional area. The Co-investors are community groups, like the Rwoho Environmental Conservation and Protection Association (RECPA), with currently 250 members that are interested in tree planting. Many of the members already have a track record planting trees. The community group will manage the remaining 7 % of the project area.

The community group will receive the payments for each tCO₂ sequestered at a price stipulated in the Emission Reductions Purchase Agreement between the buyer and the NFA. Detailed rights and responsibilities are regulated in Community Forest Management Agreements and a Tree Farming License. The NFA will provide seedlings and technical advice to the community group. In return the community group will be in charge to protect the plantations from fire and the remaining patches of natural forests.

NFA has all rights, titles and interest to the emission reductions produced by the community group. The Community group will be paid for the carbon sequestered by the NFA up-on delivery, but the NFA will maintain overall responsibility for the project implementation and delivery of the emission reductions.

The project was planned as a CDM project as described in the Forest Management Plan for BUGAMBA AND RWOHO Central Forest Reserve for the period 2006-2026 which was published in the beginning of 2006 by NFA. (/9/)

2. METHODOLOGY

The validation consists of the following three phases:

- I a desk review of the project design documentation
- II follow-up interviews with project stakeholders
- III resolution of outstanding issues and the issuance of the final validation report and opinion.

In order to ensure transparency, a validation protocol was customized for the project, according to the Validation and Verification Manual. The protocol shows, in a transparent manner, criteria (requirements), means of verification and the results from validating the identified criteria. The validation protocol serves the following purposes:

- It organizes, details and clarifies the requirements a CDM project is expected to meet;
- It ensures a transparent validation process where the validator will document how a particular requirement has been validated and the result of the validation.

The validation protocol consists of three tables. The different columns in these tables are described in Figure 1.

The validation protocol is enclosed in Appendix A to this report.

Findings established during the validation can either be seen as a non-fulfillment of validation protocol criteria or where a risk to the fulfillment of project objectives is identified. Corrective Action Requests (CAR) is issued, where:

- i) Mistakes have been made with a direct influence on project results;
- ii) Validation protocol requirements have not been met; or
- iii) There is a risk that the project would not be accepted as a CDM project or that emission reductions will not be certified.

The validation team may also use the term Clarification, which would be where:

- iv) Additional information is needed to fully clarify an issue.

validation Protocol Table 1: Mandatory Requirements			
Requirement	Reference	Conclusion	Cross reference
<i>The requirements the project must meet.</i>	<i>Gives reference to the legislation or agreement where the requirement is found.</i>	<i>This is either acceptable based on evidence provided (OK), or a Corrective Action Request (CAR) of risk or non-compliance with stated requirements. The corrective action requests are numbered and presented to the client in the Validation report.</i>	<i>Used to refer to the relevant checklist questions in Table 2 to show how the specific requirement is validated. This is to ensure a transparent Validation process.</i>

Validation Protocol Table 2: Requirement checklist				
Checklist Question	Reference	Means of verification (MoV)	Comment	Draft and/or Final Conclusion
<i>The various requirements in Table 1 are linked to checklist questions the project should meet. The checklist is organized in seven different sections. Each section is then further sub-divided. The lowest level constitutes a checklist question.</i>	<i>Gives reference to documents where the answer to the checklist question or item is found.</i>	<i>Explains how conformance with the checklist question is investigated. Examples of means of verification are document review (DR) or interview (I). N/A means not applicable.</i>	<i>The section is used to elaborate and discuss the checklist question and/or the conformance to the question. It is further used to explain the conclusions reached.</i>	<i>This is either acceptable based on evidence provided (OK), or a Corrective Action Request (CAR) due to non-compliance with the checklist question (See below). Clarification is used when the validation team has identified a need for further clarification.</i>

Validation Protocol Table 3: Resolution of Corrective Action and Clarification Requests			
Draft report clarifications and corrective action requests	Ref. to checklist question in table 2	Summary of project owner response	Validation conclusion
<i>If the conclusions from the draft Validation are either a Corrective Action Request or a Clarification Request, these should be listed in this section.</i>	<i>Reference to the checklist question number in Table 2 where the Corrective Action Request or Clarification Request is explained.</i>	<i>The responses given by the Client or other project participants during the communications with the validation team should be summarized in this section.</i>	<i>This section should summarize the validation team's responses and final conclusions. The conclusions should also be included in Table 2, under "Final Conclusion".</i>

Figure 1 Validation protocol tables

2.1. Review of Documents

The Project Design Document submitted by the World Bank and additional background documents related to the project design and baseline were reviewed. Documents reviewed are listed in Chapter 6 "References".

The validation findings stated hereafter are based on the PDD version 04, dated 15 October, 2006.

2.2. Follow-up Interviews

In the period of March 5, 2007 to March 9, 2007, JACO CDM performed interviews with project stakeholders to confirm selected information and to resolve issues identified in the document review. DNA of Uganda, representatives of NFA (National Forest Authority) head-office, NFA staff at project site and representative of the community were interviewed. The main topics of the interviews are summarized in Table 1.

Table 1 Interview topics

Interviewed organisation	Interview topics
DNA	<ul style="list-style-type: none"> ➤ Situation of the DNA's approval of the Project ➤ Low-income communities and individuals ➤ Authorization of project participants ➤ Public funding ➤ Sustainable development policy ➤ EIA and socio-economic impacts
NFA (Project participant)	<ul style="list-style-type: none"> ➤ Project overview ➤ PDD <ul style="list-style-type: none"> - General (incl. Definition of Forest, Boundary, Project Participants, Community, Public funding, etc.) - Baseline - Monitoring Methodology - GHG removal - Environmental Impacts - Socio-economic Impacts - Stakeholders comments ➤ Schedule
Community	<ul style="list-style-type: none"> ➤ Organization and Activity ➤ Relation with NFA ➤ Purpose and expecting benefits ➤ Information about the historical land-use of the project-site

2.3. Resolution of Clarification and Corrective Action Requests

The objective of this phase of the validation is to resolve the requests for corrective actions and clarification and any other outstanding issues which needed to be clarified for JACO CDM's positive conclusion on the project design. The Corrective Action Requests and Clarification Requests raised by JACO CDM were resolved during communications between the Client and JACO CDM.

To guarantee the transparency of the validation process, the concerns raised and responses given are summarized in chapter 3 below and documented in more detail in the validation protocol in Appendix A.

Since modifications to the Project design document were necessary to resolve JACO CDM's concerns, the Client decided to revise the documentation. After revised PDD was submitted and reviewed, JACO CDM issued the final validation report and opinion.

2.4. Internal Quality Control and Assurance

The draft validation report including the initial validation findings underwent a technical review before submitted to the project participants. The final validation report underwent the assessment by JACO CDM's Certification Determination Committee to ensure independence, impartiality, transparency, credibility and indiscrimination of assessments.

Two-third of the committee members are selected from outside of JACO CDM.

Meeting was held on 2007.11.19.

3. VALIDATION FINDINGS

In the following sections the findings of the validation are stated. The validation findings for each validation subject are presented as follows:

- 1) The findings from the desk review of the original project design documents and the findings from interviews during the follow up visit are summarized. A more detailed record of these findings can be found in the Validation Protocol in Appendix A.
- 2) Where JACO CDM had identified issues that needed clarification or that represented a risk to the fulfillment of the project objectives, a Clarification or Corrective Action Request, respectively, have been issued. The Clarification and Corrective Action Requests are stated, where applicable, in the following sections and are further documented in the Validation Protocol in Appendix A.
The validation of the Project resulted in 14 Corrective Action Requests, 26 Clarifications.
- 3) Where Clarification or Corrective Action Requests have been issued, the exchanges between the Client and JACO CDM to resolve these Clarification or Corrective Action Requests are summarised.
- 4) The conclusions for each validation subject are presented.

The validation findings relate to the project design as documented and described in the original project design documentation.

3.1. Participation Requirements

3.1.1. Discussion

In the PDD version 4, the Annex I Party had not been involved as a Project Participant, but later, Italy participated as an Annex I project participant.

For each project participant, the authorization is required by the Party in which the entity is a legal entity.

The list of project participants lists Rwoho Environmental Conservation and Protection Association (RECPA) and other community groups. These communities are not project participants but developed or implemented the project as low-income communities as determined by the host Party as shown in a written declaration of NFA. (/19/)

The host Party, Uganda has ratified the Kyoto Protocol and installed a designated national authority (DNA). The letter of approval from DNA for Uganda was provided which confirms the voluntary participation and contribution of the project to the sustainable development and authorizes the NFA and IBRD as Trustee of BioCarbon Fund as project participants. (/8a/)

Also, the letter of approval from DNA of Italy was provided which approves the voluntary participation of Italy and authorizes the voluntary participation of IBRD as Trustee of BioCarbon Fund as a project participant. (/8b/)

3.1.2. Findings

Corrective Action Request 1

Annex I Party is not involved.

Response:

Italy participates as Annex I project participants. PDD was revised.

Corrective Action Request 2

The project should have the written approval as the CDM project from the DNA of the Parties. Project participants should have the written approval of voluntary participation from the DNA of the Parties.

Response:

Letters of approval by DNA of Uganda and Italy were provided.

Corrective Action Request 3

DNA's authorization for each Project participant is required.

Response:

Letters of the authorization by DNA of Uganda and Italy were provided to the validation team.

Clarification Request 1:

Project participants are to be clarified.

Response:

Project participants are NFA of Uganda and Italy. RECPA and other community groups develop or implement the project but not project participants. PDD was revised.

Clarification Request 2:

If the project using ODA from EU, UK and Norway, the letters are required showing that the public fundings are not the diversion of ODA.

Response:

The project is not using ODA. NFA uses revenues from licensing to finance the small-scale A/R CDM projects.

3.1.3. Conclusion

CAR 1, 2 & 3 were resolved.

CL1 & CL2 were clarified, PDD was revised.

The project complies with the requirements.

3.2 Project Design

3.2.1 Discussion

(1) General Description

This small-scale AR CDM project titled "Uganda Nile Basin Reforestation Project No.3" aims to expand its wood resources substantially to meet the growing demand of wood products and to reduce the strong pressure on the remaining natural forests. This project is part of a project cluster of 5 similar projects as explained before in section 1.3.

The project area is part of the Rwoho Central Forest Reserve (CFR), located in Mbarara (Rwampara county), Isingiro (Isingiro county) and Ntungamo (Ruhama county) districts. Land tenure is with the Government of Uganda.

Rwoho CFR is categorized as a secondary conservation forest in the National Forestry Nature Conservation Master Plan. NFA checked the biodiversity aspect of the project using the checklist of CCB (Climate, Community & Biodiversity) standard.

There are no red-list species in the area.

As for Public Funding, the NFA will use revenues from licensing of their forests to finance the project. Therefore, the project do not results in a diversion of ODA.

As for the PDD format, Version 02 for CDM-SSC-AR came into effect at EB 35 (Oct. 2007). The PDD version 06 was revised based on version 02 and the final PDD is version 06-1.

(2) Eligibility of Land

The eligibility of land was assessed based on the Decision 16/ CMP.1, Annex § 1. (c) and the decision of EB 35 Annex 18. (/6a/)

Based on satellite images, the area that was non-forested since 31.12.1989 and hence being eligible for the proposed A/R CDM project activity has been delineated. Areas currently forested or which have been forest after the 31.12.1989 are excluded from the A/R CDM project activity using GIS information.

(3) Small Scale Project Activity

The eligibility of the project as a small scale AR CDM project was discussed based on the decision 19/CP.9, Decision 6/CMP.1 and its Appendix C.

According to the PDD (Version 04), average net GHG removals are 29,573 tCO₂-e / 6years from 2007 to 2012 and 52,950 tCO₂-e / 11years from 2007 to 2017. Annual GHG removals are calculated as 4,929 tCO₂-e and 4,814 tCO₂-e, respectively, and these values are less than 8,000 tCO₂-e (Now, the limit is raised to 16,000 tCO₂-e). Revised PDD (Version 06-1) also complies with this limit.

It was discussed whether the project is developed or implemented by low-income communities and individuals as determined by the host Party.

(4) Technology

A technical description of the project is included in the PDD.

Within the project 341.9 ha of timber plantations will be established. Pine and mixed native tree species plantations will be established in a block design in degraded grassland areas. The plantation area will be stocked with 75 % *Pinus caribaea*, an already introduced and tested species in the area, 20 % *Maesopsis Eminii* and 5 % *Prunus Africana*.

Pine, *Prunus* and *Maesopsis* will be managed on a 22 years rotation cycle or until the target diameter is reached, i.e. 45 cm.

The carbon pools are above and below ground biomass. This is in accordance with the AR-AMS0001 version05.

In Uganda, DNA has defined forests as land as follows.

- A single minimum tree crown cover value of 30%
- A single Minimum land area value of 1 hectare
- A single minimum tree height value of 5m

An approach to addressing the issue of non permanence of afforestation and reforestation activities under CDM has been chosen as tCERs in line with the modalities and procedures.

(5) Contribution to sustainable development

Relevant legislation of Uganda was checked.

(6) Duration of the project

Operational lifetime and the crediting period were discussed.

The starting date of the project is 1st April, 2007 when actual planting and other project implementation activities were started in the project area. The validation team confirmed the starting date by the letter of World Bank and its annexes.

The letter and the annexes show that the planting of the project No.3 started on April, 2007. (/28/)

This date is the starting date of the 1st crediting period.

3.2.2. Findings

Corrective Action Request 4

The host Party's determination is required about low-income communities and individuals.

Corrective Action Request 5

A written declaration from the PP is to be provided regarding that the proposed small-scale afforestation or reforestation project activity under the CDM is developed or implemented by low-income communities and individuals as determined by the host Party.

(Ref. Decision 6/CMP.1 § 15. (b))

Response for CAR 4 and 5:

A written declaration of low income communities and individuals was provided by NFA to the validation team. (/19/)

Clarification Request 3

PDD states "Based on SPOT XS satellite images of Aug.1992, land eligibility for the project was identified."

However further information and explanation are required on,

- 1) How the areas were classified into categories as described in PDD version 04 Annex4, especially in relation to the Uganda definition of forest specified in A.4.5.of the PDD version 04?
- 2) How the areas currently forested were excluded?
- 3) How it was confirmed that the land was not a forest from 31 Dec.1989 to Aug.1992.

Response:

- 1) It was demonstrated using GIS image processing at NFA office during on-site assessment that the areas were classified into categories as described in PDD version 04 Annex4 (PDD version 06-1, Annex 5).
- 2) The method was demonstrated how to exclude the area currently forested using GIS image processing at NFA office during on-site assessment.
- 3) In addition to 1992 SPOT XS images, 1984 Landsat images and 2004 Landsat images were used to confirm that the land was not a forest from 31 Dec. 1989 to Aug. 1992. PDD was revised.

Clarification Request 4

PDD version 04 A.4.12.1 states 5 similar projects including this project (No.3) are more than 1km apart from each other. The map provided as Annex 6 to PDD version 06-1 also supports this description. So the project does not appear to be a debundled component of a larger project.

However, the distances between the projects need to be confirmed based on exact scale maps, exact longitude and latitude data of the vertices of each project area.

Response:

The minimum distances between the projects were checked and indicated in the table "Closest points between individual projects demonstrating a minimum of 1 km between projects" A.12, Table A-6 of the PDD version 06-1 and also illustrated in Annex 6 of the PDD version 06-1.

Clarification Request 5

As for the practical technology for reforestation, SPGS (Sawlog Production Grant Scheme) guidelines are to be provided.

Response:

SPGS guidelines are provided. (/25/)

Clarification Request 6

Project area of 341.9ha is inconsistent with 14blocks x 25ha (345ha).

Response:

The project area is planned along the contour lines. Therefore, block size data is approximate data.

Clarification Request 7

The training plan of the people engaged in monitoring is described in detail in B.4.2, Annex.7 etc. of the PDD version 04.

However, training requirement and plan of the people engaged in forest management other than monitoring are not clear in PDD. Please explain.

Response:

NFA staff and contractors will be trained to implement the forest management plan and the activities mentioned in the PDD. Details on the training program are outlined in the forest management plan and in the annual NFA plan of operation.

Clarification Request 8

Relevant legislation and specific CDM requirements of Uganda is to be clarified.

Response:

Information about Forest act etc. and DNA's approval procedures were provided.

Clarification Request 9

- (1) Approval by the Uganda government for the sustainable development is required.
- (2) Contribution to other environmental or social benefits other than GHG emission reductions is to be clarified.

Response:

Approval letter concerning the sustainable development was provided. (/8a/)

Clarification Request 10

Description of the crediting period (20 years which may be renewed twice, that is, max 60years) is not coinciding with the operational lifetime (50years).

Response:

Operational lifetime of the PDD was revised.

3.2.3. Conclusion

CAR 4 & 5 were resolved. A written declaration by NFA that the proposed project is developed and implemented in conjunction with low-income communities and individuals as determined by the host Party was provided.

CL 3 was clarified and PDD was revised.

CL 4 was clarified and PDD was revised.

CL 5 was clarified.

CL 6 was clarified.

CL 7 was clarified and PDD was revised.

CL 8 was clarified.

CL 9 was clarified.

CL 10 was clarified and PDD was revised.

The project complies with the requirements.

3.3. Baseline and Monitoring Methodology

3.3.1. Discussion

For the PDD version 1 to version 6, AR-AMS001 version03 was applied. However, because the grace period of the version 03 was expired on 09 April 2008, the project participants revised the version of the methodology to version 05. At the same time, the project participants revised the PDD format to version 02 due to the expiry of the validity of the PDD format version 01.

The revised PDD is version 06-1 dated 16 January 2009.

(1) Applicability conditions, carbon pools, project emissions and baseline scenario

The project activity is carried out on grasslands and no ploughing is done before the establishment of the plantation. There are no households in the project boundaries and the number of displaced grazing animals is less than 50%.

(2) Additionality

The project applied the AR-AMS0001 version 05 approved by the Executive Board.

As for the additionality of the project, following barriers are demonstrated in the PDD according to the AR-AMS0001 Version 05 Appendix B.

Investment barriers, Institutional barriers, Technological barriers, Barriers relating to local tradition, Barriers due to prevailing practice, Barriers due to local ecological conditions and Barriers due to social conditions are explained in the PDD.

The validation team confirmed that existing reforestation projects in Uganda have been using the EU Sawlog Production Grant Scheme (SPGS) but this Sawlog Production Grant Scheme had been used-up by the time of the planning of the Uganda Nile Basin Reforestation Project. Through the document review and interviews to DNA of Uganda and project participants, the validation team identified that there are established regulations for reforestation and the risks relation to changes in government policies are unlikely, therefore, Institutional barriers are not considered as barriers. Also, in Uganda, there have been reforestation projects supported by above EU SPGS, therefore, the technological barriers are not applied.

- Investment barriers:

According to the IRR analysis, FIRR for 5 small AR projects* including No.3 is 13.6 % (without carbon credits) and FIRR with carbon credits is 14.7 % (USD 3\$/ tCO₂e,tCO₂ have been risk reduced by 25%). (/3/)

On the other hand, the capital costs in Uganda, alternative investments potentially yield higher IRR to forestry projects such as below.

- Treasury Bills in UGX (Uganda shilling) from the Government of Uganda: 15%
- Agricultural activities like maize in 2004: 24% IRR
- Fish farming: 20% IRR

In addition to that Bank in Uganda such as Bank of Uganda has not been interested in financing forestry. (/20/)

- Barriers due to prevailing practice:

The proposed project is the first CDM AR project in Uganda, the first CDM AR project approved by the DNA of Uganda and the only one that aims to support private and community investors to replicate the approach. Also the proposed project is aiming the reforestation of the degraded land partially by native species (community planting area).

- Barriers due to local ecological conditions:

Since the project area is grassland of human induced fire climax vegetation, natural regeneration is not possible. Without CDM the project activity would not be feasible and the soil degradation would continue.

- Barriers due to social conditions:

The communities are relatively far away from the main markets in Mubarala and Ntungamo and therefore can not sell agricultural crops at competitive prices. Accordingly, only with the CDM component forestry skills can be developed and people can find skilled and unskilled employment.

Considering these conditions, Investment barriers, the barriers due to prevailing practice, barriers due to local ecological conditions and the barriers due to social conditions are barriers to establish the additionality.

* The proposed project is No. 3 among similar 5 small scale AR projects "Uganda Nile Basin Reforestation Project"

(3) Prior consideration of the CDM

Since the starting date of the project is 1st April 2007 and the PDD was made public for global stakeholder consultation on 13th February 2007, actions as are requested by EB41 is not necessary.

(4) Baseline of GHG removal

The grassland of the project is the human induced fire-climax vegetation. According to the National Biomass Study report (NBS reports) of 2002, the biomass is decreasing in woodland, bush land and grassland. Reference information to NBS report shows that there has been a general biomass decline in areas near Rwoho in the last 5 to 8 years. (/17/) Based on these information and interviews to the villagers, validation team found that significant changes in the carbon stocks within the project boundary would not have occurred in the absence of the project activity.

In this condition, the baseline carbon stock in the carbons pools is taken as constant at the level of the existing carbon stock measured at the start of the project activity.

(5) Monitoring methodology

In the calculation of the monitoring, option 2 for step 3 of AR-AMS0001 / Version 05 is selected.

In this case the default value for BEF (biomass expansion factor) proposed by IPCC good practice guidance for LULUCF is used.

(6) Monitoring plan

(6-1) Ex post estimation of GHG removals by sinks

a. stratification:

PDD version 06-1 Annex 8 states that post stratification will be conducted after the first monitoring event to address the possible changes of project boundary and planting year in comparison to the project design, and to address the change in carbon stocks.

b. Sampling frame:

With a sampling intensity of 0.16%, the minimum precision target of $\pm 10\%$ at a 95% confidence level for the mean standard deviation should be reached.

(6-2) Ex post estimation of leakage

The possibility of leakage from the displacement of activities or people is described in C.3 of the PDD. (**CAR 6**)

(6-3) QA/QC procedures and operational/ management of monitoring

QA/QC procedures and operational/ management of the monitoring are described in PDD B.8.2 and Annex 8 of the PDD version 06-1. For further clarification, **CAR 7 & CAR 8** were issued.

3.3.2. Findings

Corrective Action Request 6

Monitoring of leakage is required according to AR-AMS0001 version 5 paragraph 48.

Response:

The project area is located within the Rwoho CFR and the land tenure is with the Government of Uganda. There are no people and no agricultural activities in the project areas. Therefore, no people and no agricultural production activities will be displaced. (PDD C.3)

Also, the grazing assessment in the revised PDD (version 06-1) shows that the average grazing is below 10% and this indicates that there is no leakage due to grazing.

The biomass (grass) density of the project area and also the surrounding area is 4.0 tCO₂/ha (including above and below ground biomass) and very low compared with the average biomass density of 11.4 tCO₂/ha for tropical moist grasslands. (Ref. Table 3.4.2 of IPCC GPG LULUCF) (/17/, PDD table B-3)

This indicates that the project area as well as the surrounding area is highly degraded.

Taking into account these conditions, the leakage can be considered insignificant. (AR-AMS0001/ version 05, § 28.

In this condition, a leakage estimation is not required due to AR-AMS0001 version 05 and also, the monitoring of leakage is not required due to Decision 6/CMP.1 § 23 (c). (/5c/)

Corrective Action Request 7

No procedures are provided for unintended emissions such as fire hazard.

Response:

Fire management is considered as indicated in the Forest Management plan for Bugamba and Rwoho Central Forest Reserves. (/9/)

Corrective Action Request 8

No procedures for internal audits. The procedure should be described in PDD.

Response:

The item of internal GHG monitoring audit was added to PDD version 06-1 Annex 8 "Carbon monitoring plan" of PDD.

Clarification Request 11

Version No. of the methodology AR-AMS0001 is not clear in PDD. This should be described in PDD.

Response:

Version number was added to the PDD.

Clarification Request 12

- (1) As for the description of leakage of the PDD, background data and reports which support the description should be provided.
- (2) PDD states IPCC default value of grazing capacity for sheep is 7.9. This value should be corrected to 4.9.

Response:

- (1) Calculation table were added to the PDD C.3 and demonstrated that the leakage by grazing is negligible.
- (2) Based on the enumeration of cattle kraals near reserve, the PDD was revised.

Clarification Request 13

- 1) Comparison of the study with the National Biomass Study (NBS) 2000, 2004 and also NFA's own study should be provided and explanation should be given on how it was judged that the carbon stocks were constant or rather decreasing.
- 2) Although the project is the reforestation of degraded grassland, in the discussions of PDD version 04 B.3.2, it seems that the baseline was determined considering all types of land uses such as wood land, (existing) pine plantation etc.
- 3) How Mgrass, Mperennials and R were determined? Values and data sources should be described.
- 4) PDD version 04 B.3.2 mentions the result on "above ground biomass", however, the result on below ground biomass should be mentioned in accordance with AR-AMS0001 version 05.
- 5) The unit of the above ground biomass of 3.7t/ha appears to be tCO₂/ha, which should be explicitly stated in PDD.

Response:

- 1) The NBS report gives an overall biomass trends in Uganda that rate of annual change of grassland is minus 1%. Also, according to the NBS data sets, there has been a general biomass decline in areas near the project in last 5 to 8 years (1995 - 1999 to 2004) (/16/, /17/)
- 2) The project sites are all degraded grasslands, other land-use types in the area are not considered in the project. (revised PDD B.5)
- 3) Mgrass, Mwoody: Based on the National Biomass study and its back data (/16/, /17/)

Mgrass (measurement by sample plot (Grass + Forbs): 0.84 tdm/ha
Mwoody (National Biomass Study report and sample plot): 0.23 tdm/ha
R: IPCC GPG

Rgrass: 1.6 (Table 3.4.3)

Rwoody 0.42 (Table 3A.1.8)

For Mgrass and Mwoody, evidence data for dry matter and plot data [(1) coverage of grass and woody, (2) dry matter measurement data for grass & forbs in Rwoho CFR] were provided.

4) PDD was revised.

5) PDD was revised.

Clarification Request 14

- 1) Version No. of the methodology is not clear in PDD. This should be described in PDD.
- 2) The description on the procedure to determine above ground biomass (PDD version 04 B.4) is different from the rules of AR-AMS0001, §42. The latter recommends use of allometric equations developed locally or nationally as the first choice, when such equations are not available, use of Option1 or Option2 is admitted. The availability of appropriate allometric equation for this project should be explained.
- 3) Method of calculation of SV from DBH and height should be explained.
- 4) For all tree species of the project, the values of BEF, R and the data source (Table No. and corresponding rows and columns of IPCC GPG.) should be identified.
- 5) Evidence of Basic wood density (National Biomass Study 2002) should be provided.
- 6) Explanation on why sampling intensity of 0.16% (400 m² per 25ha) enables precision target of 10% and confidence level of 95%.

Response:

- 1) Version No.: AR-AMS0001 version 05 was clearly indicated in the PDD.
- 2) The description was revised to meet the AR AMS-0001 version 05.
- 3) SV will be estimated from on-site measurement using DBH and height.
- 4) 5) Evidences of expansion factor (BEF), R and wood density (WD) data were provided. (/16/, /17/)

BEF: IPCC LULUCF GPG, Table 3A.1.10

R: IPCC LULUCF GPG, Table 3A.1.8

WD: IPCC LULUCF GPG, Table 3A.1.9-2 and local data from various sources such as NBS, data of Uganda Timbers, etc.

Note:

For Pines:

BEF=1.32, R=0.3, WD=0.45

For Maesopsis & Prunus

BEF=1.4, R=0.2, WD=0.5

The data are based on the IPCC data and adjusted by local expert judgment.

- 6) Sampling intensity: description was added as "in case that required accuracy is not sufficient the sampling intensity will be increased". (PDD version 06-1 Annex 8, 3 b))

Clarification Request 15

Licensing period of the land should be harmonized with the period of the monitoring period.

Response:

Licensing period of the land is harmonized with the licensing period.

Clarification Request 16

- 1) Organization chart for the project management and monitoring should be provided.
- 2) Registration and reporting appears to be the responsibility of the NFA. This should be confirmed

Response:

- 1) Organization chart of NFA was provided. Biomass section of NFA will be in charge of monitoring.
- 2) Registration and reporting is the responsibility of the NFA.

3.3.3. Conclusion

Validation team concluded followings.

CAR 6 was resolved.
CAR 7 was resolved.
CAR 8 was resolved.
CL 11 was clarified.
CL 12 was clarified.
CL 13 was clarified.
CL 14 was clarified.
CL 15 was clarified.
CL 16 was clarified.

The validation team confirmed that the project activity satisfies the applicability conditions of AR-AMS0001 version 05.

Investment barriers and the barriers due to prevailing practice are major barriers to establish the additionality.

The baseline data of revised PDD (version 06-1) is appropriate.

The project complies with the requirements.

3.4. Estimate of Removals

3.4.1. Discussion

The calculation formula of the PDD is based on the formula of AR-AMS0001 version 05. As for Caribbean Pine (*Pinus Caribaea*), the yield model for Caribbean Pine in Uganda is used. As for *Maesopsis*, the yield model shown in the document by T. Buchholz and Timm Tennigkeit et al was used. In case of *Prunus*, the same growth data with *Maesopsis* is used because of lackness of data based on expert judgment. The calculation of carbon sequestration is made by the calculation method developed by BioCarbon Fund with above yield models.

3.4.2. Findings

Corrective Action Request 9

PDD quotes Annex 2 of the Sixth Meeting Report of the CDM A/R WG as formulae used. These are practically identical to the formulae described in AR-AMS0001.

For consistency of description, quotation of AR-AMS0001, version 05 is preferable.

Response:

Quotation was corrected.

Clarification Request 17

- 1) AR-AMS0001 version 05 requests GHG removal calculation to be done stratum wise and summed for total strata. Explanation for the rational of calculating GHG removals is needed.
- 2) Source of BEF and R should be explained for each tree species of the project (if IPCC GPG were used, Table No. and corresponding rows and columns referred should be identified.)
- 3) There are differences of values of wood density, BEF, R etc. among table B.4.1.1.1. , PDD and calculation sheets provided to the validation team.
- 4) Yearly cutting and planting plan should be clarified.
(PDD A.4. states *Prunus* will be managed in a 10 year rotation period. However calculation sheet treats the *Prunus* based on 22 years rotation as in the case of *Maesopsis*.)
- 5) Calculation sheets treat the *Prunus* in the same way as *Maesopsis* due to the lack of reliable growth data. The same description should be added to PDD.

- 6) In order that the growth data shown in the calculation sheet is applicable to this project, management plan such as planting density, thinning and pruning plan, areas spared for fire control zone, etc. should be similar between this project and the projects where the growth data was obtained. These points should be explained.

Response:

Spread sheet was provided. (/2/)

- 1) As for Pine, "Yields of Eucalyptus and Caribbean Pine in Uganda" was provided.
As for Maesopsis Eminii, a document "Maesopsis Eminii - a challenging timber tree species in Uganda" was provided. As for Prunus, there is no document available and the same data with Maesopsis was applied. (/14/, /15/)
- 2) BEF (biomass expansion factor) and R (Root to shoot ratio) was fixed based on the IPCC default values. (IPCC GPG LULUCF Chapter 3, Table 3A.1.8, Table 3A.1.10) (/7/)
Refer to CL.14 above.
- 3) PDD was revised in accordance with 2) above.
- 4) 22 years rotation is used for all tree species.
- 5) Due to a lack of better information, it is assumed that Maesopsis and Prunus have the same growth curves.
- 6) It is explained in "Forest management Plan for BUGAMBA AND RWOHO" by NFA, 2006.
(/9/)

Clarification Request 18

The approach to the uncertainties in the GHG removal is to be clarified.

Response:

The GHG removals are based on conservative estimates which will be assessed during the GHG monitoring. Yield calculation is based on the Forest Management Plan (/9/) in terms of thinning, pruning and assumption of survival rate 90% and density index 75%.

Clarification Request 19

§.31 of AR-AMS0001 version 03 states "when fertilizer is used, consideration on N2O is required", this point should be clarified.

Response:

Fertilizer is not used.

Clarification Request 20

It is to be clarified that the project results in increased net GHG removals by sinks than the baseline scenario.

Response:

Related to the final conclusion

3.4.3. Conclusion

CAR 9 was resolved.

CL 17: The calculation background was clarified.

CL 18: The validation team confirmed the yield model, the condition and the results of GHG removal calculation are appropriate.

CL 19 was clarified. In addition to that, according to AR-AMS0001 Version 05, project emissions are considered insignificant and therefore neglected

CL 20: Based on all clarifications, it was clarified that the project result in increased net GHG removal by sinks than the baseline scenario.

The project complies with the requirements.

3.5. Environmental Impacts

3.5.1. Discussion

National Environment Management Authority (NEMA) approved the Rwoho and Bugamba Forest Management Plan proposed by NFA. In the letter of approval, NEMA is requesting to ensure followings points.

“Minimizing loss of biological diversity, controlling the likely impacts of soil erosion, restoration of degraded hilly areas, collaborative forest management with local communities and training of the communities, annual audit reports to authorities, etc.”

3.5.2. Findings

Corrective Action Request 10

Copy of the Environmental Clearance by NEMA should be provided to DOE.

Response:

The copy of the approval letter by NEMA was provided to the validation team. (/11/)

Corrective Action Request.11

As for monitoring of the environmental impacts, Annex.7 of the PDD version 04 states that this will be elaborated when submitting for registration. The elaborated plan should be explained in PDD.

Also, the monitoring and remedial measures in the elaborated plan should be consistent with the anticipated impact and remedial measures for **Clarification Request 22.**

Response:

Refer to Environmental Impact Statement by NFA (April 2006) (/12/)

This document covers;

- 1) project design
- 2) Environmental baseline and assessment of environmental impacts including biodiversity and socio, cultural and economic impacts.
- 3) Mitigation
- 4) Environmental management and monitoring plan.

The description was added to the PDD version 06-1 annex 8.

Clarification Request 21

Environmental Impact Statement (EIS) should be provided so that the checklist question can be confirmed.

Response:

EIS was provided to the validation team.

Clarification Request 22

It is described in PDD.D.1 that “the project might cause some environmental impact, but can be recoverable. Mitigation measures will be incorporated in FMP for BUGAMBA AND RWOHO”.

Explicit explanation on the impact and mitigation measure should be described in PDD.

Evidence documents should be provided to the validation team.

Response:

Refer to the Environmental Impact Statement by NFA (April 2006).

3.5.3. Conclusion

EIS has been provided to the validation team.

The project complies with the requirements.

3.6 Socio-Economic Impacts

3.6.1. Discussion

A socio-economic assessment was carried out by NFA in the framework of the feasibility study. According to the summary of the socio-economic assessment contained in the EIS and CCB standard checklist, there are several points to be improved such as needs for

intensifying socio-economic analysis and work risk mitigation plan. However, considering that the project is small scale and the interview results to villagers, it is assumed that there is no substantial negative socio-economic impact by the project.

At the on-site assessment, validation team confirmed that most of the community members are expecting various benefit to their life from the project. A few villagers expressed their concerns about the possibility of loss of access to some forest products such as firewood, etc. but they, on the other hand, expressed that such loss is limited and the situation will be much better in the long run, and also expressed their expectations for the project of providing new employment.

3.6.2. Findings

Corrective Action Request 12

As for the monitoring of socio-economic impacts, Annex.7, § 7 of PDD version 04 states this will be elaborated when submitting for registration. Elaborated plan should be described in PDD at the time of request for registration.

Response:

The impact of the project on the well being of the population in the area will be monitored by the NFA staff within the framework of the Community Forest Management plan. The description was added to the PDD.

Clarification Request 23

The results of socio-economic impacts analysis are to be provided.

Response:

Community response to the project at the stage of the feasibility study is provided. Also, the EIS was provided. The report includes a summary of socio-economic assessment carried out by the NFA in the framework of the feasibility study and as part of the environmental impact assessment (EIA). The EIS was accepted by the National Environment Management Authority (NEMA). (/12/)

3.6.3. Conclusion

The project complies with the requirements.

3.7 Comments by Local Stakeholders

3.7.1. Discussion

In March 2005 meetings have been conducted by NFA in different villages to explain the purpose of the project and to receive information on the livelihood.

Follow-up stakeholder meetings have been conducted from June 2005 to March 2006 with all communities living near the 5 small-scale project sites.

The latter have been organized by RECPA.

In addition to that, RECPA conducted awareness raising meetings in all parishes close to the 5 small-scale projects sites to inform farmers about the project and to invite them to participate in the project.

The validation team confirmed the extract of the stakeholders' (farmers) comments in the project areas.

All comments are favorable to the project. (/18/)

3.7.2. Findings

Corrective Action Request 13

Relevant stakeholders are to be clarified and the PDD is to be corrected.

Response:

Stakeholders meetings have been conducted 3 times from June 30th 2005 to March 1st 2006, with all communities living near the project sites. These meetings have been organized by RECPA.

Corrective Action Request 14

The description of the PDD F.3 regarding the area to be planted by communities is for all 5 small scale projects and not for this particular project No.3.

Response:

NFA explained about the areas to be reforested by all communities living near the 5 small-scale projects and also explained about the relation of all communities and the leading community RECPA. The description was added to the PDD F.1.

Clarification Request 24

Whether the stakeholder consultation process is the legal requirement or not is unclear. Please explain the legal situations of Uganda.

Response:

No specific legislation has been formulated.
Stakeholder comments are invited as part of EIA process.

Clarification Request 25

- 1) Explanation about the communities and the stakeholder comments are mixed.
Stakeholder comments should be distinguished.
- 2) Explanation about “zero grazing techniques” is needed.

Response:

- 1) Community and stakeholders have been interviewed together in a workshop. Therefore, it cannot be distinguished.
- 2) PDD was revised.

3.7.3. Conclusion

The project complies with the requirements.

4. COMMENTS BY PARTIES, STAKEHOLDERS AND NGOS

JACO CDM published the project documents version 04 on its website linked with UNFCCC web site on 2007-02-13 and invited comments until 2007-03-15 by Parties, stakeholders and non-governmental organizations. No comments were received.

5. VALIDATION OPINION

JACO CDM has performed a validation of the “Uganda Nile Basin Reforestation Project No 3” in Uganda. The validation was performed on the basis of UNFCCC criteria for small-scale A/R project activities under the Clean Development Mechanism and host country criteria, as well as criteria given to provide for consistent project operations, monitoring and reporting. The review of the project design documentation and the subsequent follow-up interviews have provided JACO CDM with sufficient evidence to determine the fulfilment of stated criteria.

The host country of the project is Uganda. Uganda fulfils the participation criteria and has approved the project and authorized the project participants. The DNA of Uganda confirmed that the project assists in achieving sustainable development.

The project correctly applies AR-AMS0001 “Revised simplified baseline and monitoring methodologies for selected small-scale afforestation and reforestation project activities under the clean development mechanism” version 05.

CO₂ will be sequestered from the atmosphere and stored in biomass following the reforestation of grass land through tree planting. The project results in net anthropogenic removals of CO₂ that are real, measurable and give long-term benefits to the mitigation of climate change. It is demonstrated that the project is not a likely baseline scenario. Net anthropogenic removals attributable to the project are hence additional to any that would occur in the absence of the project activity.

Total net removals from the project are estimated to be on average of 5,590 tCO₂ per year over the selected 20 year crediting period. The net anthropogenic removal forecast has been checked and is deemed likely that the stated amount is achieved given that the underlying assumptions do not change.

Adequate training and monitoring procedures have been implemented.

In summary it is JACO CDM’s opinion, that the “Uganda Nile Basin Reforestation Project No 3” in Uganda as described in the PDD Version 06-1 dated 16 January 2009 meets all relevant UNFCCC requirements for A/R project activities under the CDM and all relevant host country criteria and correctly applies the baseline and monitoring methodology AR-AMS0001, version 05. Hence, JACO CDM requests the registration of the project as an A/R CDM project activity.

6. REFERENCES

Category 1 Documents:

Documents related directly to the GHG components of the project,

- /1a/ PDD version 04, October 15, 2006
- /1b/ PDD version 05, September 10, 2007
- /1c/ PDD version 06, October 02, 2007
- /1d/ PDD version 06-1, January 16, 2009
- /2/ Spread sheet: calculation of the rate of sequestration
- /3/ IRR calculation for LULUCF projects [Uganda Nile Basin Watershed Reforestation Project]
- /4a/ AR-AMS0001/Version03: Revised simplified baseline and monitoring methodologies for selected small-scale afforestation and reforestation project activities under the clean development mechanism
- /4b/ AR-AMS0001/Version05: Revised simplified baseline and monitoring methodologies for selected small-scale afforestation and reforestation project activities under the clean development mechanism
- /5a/ Decision 17/CP.7 (Marrakech Accord)
- /5b/ Decision 5/CMP.1: Modalities and procedures for afforestation and reforestation project activities under the clean development mechanism in the first commitment period of the Kyoto Protocol
- /5c/ Decision 6/CMP.1: Simplified modalities and procedures for small-scale afforestation and reforestation project activities under the clean development mechanism in the first commitment period of the Kyoto Protocol and measures to facilitate their implementation
- /5d/ Decision 16/CMP.1: Land use, land-use change and forestry
- /6a/ UNFCCC, CDM EB35, Annex 18
- /6b/ UNFCCC, CDM EB21, §64
- /7a/ IPCC Good Practice Guidance for LULUCF, 1996
- /7b/ 2006 IPCC Guidelines for National Greenhouse Gas Inventories
- /8a/ Letter of Approval for Voluntary Participation (DNA of Uganda)
- /8b/ Written Approval for "Uganda Nile Basin Reforestation Project No. 1 – 5" (DNA of Italy)
- /9/ Forest Management Plan for BGAMBA AND RWOHO, CFR for the period 2006-2026, by NFA, 2006
- /10/ Community Forest Management Arrangement Agreement (NFA and RECPA)
- /11/ Approval by NEMA for "Environmental Impact statement for the Proposed RWOHO and Bugamba Forest Management Plan (2006-2026)"
- /12/ "Environmental Impact statement for the Proposed RWOHO and Bugamba Forest Management Plan (2006-2016)"
- /13/ Checklist: Climate, Community & Biodiversity Alliance Standard and Level of Achievement by the NFA Uganda Nile Basin Reforestation Project
- /14/ Yield of Eucalyptus and Caribbean pine in Uganda by D. Adler et al
- /15/ Maesopsis Eminii – a challenging timber tree species in Uganda by T. Buchholts, Timm Tennigkeit et al
- /16/ National Biomass Study/ Technical Report / Sept. 2002 by NFA
- /16a/ Wood density data and BEF in Uganda (by NFA)
- /17/ Rwoho updated grass data (by NFA)
- /17a/ Net biomass growth and removals (by NFA)
- /17b/ Explanation for grass and woody perennials biomass calculation (by NFA)

- /18/ Community Response to projects of establishing a CDM_Afforestation Project in Rwoho CFR, Ntungamo and Mubara District, UGANDA
- /19/ Statement of declaration of low income communities and individuals, March 25, 2008, NFA
- /20/ Letter of Bank of Uganda on Policy and Practice of financing Long term Forestry Projects (Answer to NFA Request)

Category 2 Documents:

Background documents related to the design and/or methodologies employed in the design or other reference documents.

- /21/ Letter of Support for the National Forestry Authority RWOHO Project (16 April, 2005, Uganda's National Focal Point for UNFCCC)
- /22/ Bio Carbon Fund Clean Development Mechanism Verified Emission Reductions Purchase Agreement
- /23/ License for 60ha to RECPA in accordance with the Collaborative Forest Management Agreement Signed on 9th 2007. (20th February, 2007, by NFA)
- /24/ Collaborative Forest Management Plan (Oct. 2006, by RECPA and NFA)
- /25/ SPGS Plantation Guidelines
- /26/ Where are the Poor? Mapping Patterns of Well-Being in Uganda 1992 & 1999
- /27/ AR-AM0008 / Version 01
- /28/ (Starting Date of the Project): Responses to Request for corrections following request for minor issues for "Uganda Nile Basin Reforestation Project No.3" (1578) by the World Bank, August 20, 2009.

Persons interviewed:

Persons interviewed during the validation, or persons contributed with other information that are not included in the documents listed above.

- /41/ Philip M. Gwage, Secretary for National Climate Change Steering Committee (NCCSC) /Ministry of Water and Environment
- /42/ Timm Tennigkeit, ENCOFOR representative
UNIQUE forestry consultants GmbH
- /43/ Kai Michael Windhorst, ENCOFOR representative, Global-woods AG
- /44/ Xavier Nyindo Mugumya, Natural forest Mgt. team leader, NFA
- /45/ John Begumana, Ag. Coordinator inventory & surveys, NFA
- /46/ Hope Rwaguma, Ag. Executive director, NFA
- /47/ Paul Buyerah Musamali, Ag. Director CAO (EIA specialist), NFA
- /48/ Tugumisirize Obed, Plantation Development Specialist, NFA
- /49/ Mununuzi David, Plantation Manager, NFA
- /50/ Michael Aboweka, Sector Manager, NFA
- /51/ Asiionwe M., Chief, RECPA
- /52/ Byanyhanga F, LCI c/person, RECPA,
- /53/ Bangirama S., LCIII c/person, RECPA
- /54/ Tymo bweine Leon, Secretary, RECPA
- /55/ Turyasingula Zabron, Chairman, KANYWAMAIZI Division Association
- /56/ Mugeny Charles, Secretary, KANYWAMAIZI Division Association
- /57/ Rushenyana Jeoffely, Chairman, KAGOTO Foundation Development Association
- /58/ Akansasira Patrick, Secretary, KAGOTO Foundation Development Association
- /59/ Allan Amumpe, SPGS Administration Manager

APPENDIX A

Small-Scale AR CDM VALIDATION PROTOCOL

Uganda Nile Basin Reforestation Project No 3

SMALL-SCALE AFFORESTATION AND REFORESTATION CDM VALIDATION PROTOCOL (FOR PROJECT NO.3)

INTRODUCTION

This document contains a generic Validation Protocol for small-scale afforestation and reforestation project activities, which must be seen in conjunction with the Validation and Verification Guidelines and the Validation Report Template.

This validation protocol serves the following purposes:

- It organizes, details and clarifies the requirements a project is expected to meet; and
- It ensures a transparent validation process by inducing the validation to document how a particular requirement has been validated and which conclusions have been reached;

This protocol contains two tables with generic requirements for validation projects. Table 1 shows the requirements that the GHG removal project will be validated against. Table 2 consists of a checklist with validation questions related to one or more of the requirements in Table 1. The checklist questions may not be applicable for all investors, and should not be viewed as mandatory for all projects. Where a finding is issued, a corrective action request or clarification request are stated. The resolution and final conclusions of these requests should be described in Table 3 of this protocol.

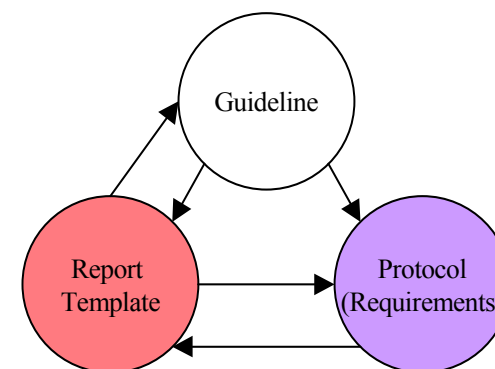
Before this generic validation protocol can be applied to validate a specific project, the validation must review and adjust/amend the protocol to make it applicable to individual project characteristics and circumstances as well as individual investor criteria. The application of the validator's professional judgment and technical expertise should ensure that checklist amendments cover all necessary specific project requirements that have impact on project performance and acceptance of the project. Given the above, the checklist part of the protocol is neither exhaustive nor prescriptive.

Reference:

A/R modalities: Modalities and Procedures for afforestation and reforestation project activities under the clean development mechanism in the first commitment period of the Kyoto Protocol (Annex to Decision 5/CMP.1)

SS A/R modalities: Simplified Modalities and Procedures for small-scale afforestation and reforestation project activities under the clean development mechanism in the first commitment period of the Kyoto Protocol (Annex to Decision 6/CMP.1)

SS A/R Methodologies: Revised simplified baseline and monitoring methodologies for selected small-scale afforestation and reforestation project activities under the clean development mechanism (AR-AMS0001/ version 05)



History of the documents

Version	Date	Nature of revision
1.0	—	Based on the IETA VVM version 01
2.0	June 2003	Based on the IETA VVM version 02
3.0	June 2008	<ul style="list-style-type: none">- Revised Table 1, § 21, § 22 and Table 2, A.1.1: Addition of Version of PDD format and Methodology- Revised Table 1, § 7 and Table 2, B.2.9: Addition of barriers to establish additionality

TABLE 1 MANDATORY REQUIREMENTS FOR SMALL SCALE CLEAN DEVELOPMENT MECHANISM (CDM) PROJECT ACTIVITIES

Requirement	Reference	Conclusion	Cross Reference / Comment
1. Assist Parties included in Annex I in achieving compliance with part of their emission reduction commitment under Art. 3	Kyoto Protocol Art. 12.2	CAR1 OK	Table 2, Section A.1.3 Annex I Party is Italy
2. Assist non-Annex I Parties in achieving sustainable development and the project has obtained confirmation by the host country that the project assists in achieving sustainable development	Kyoto Protocol Art. 12.2, Marrakech accord 40(a)	CAR2 OK	Table 2, Section A.1, A.5 A copy of the approval letter of Host Party was provided.
3. Assist non-Annex I Parties in contributing to the ultimate objective of the UNFCCC?	Kyoto Protocol Art. 12.2.	CAR2 OK	Table 2, Section A.1, C.4.1
4. The project has the written approval of voluntary participation from the designated national authorities of each Party involved	Kyoto Protocol Art. 12.5a, Simplified Modalities and Procedures for Small Scale CDM Project Activities §23a	CAR2 OK	Table 2, Section A. 1.3 Approval letter of each Party is required.
5. Private and/or public entities should have the authorization to participate in the CDM by the DNA of the Party in which the entity is a legal entity.	Marrakech accord 33	CAR3 OK	Table 2, Section A.1.3 DNA's authorization for each PP was provided.
6. The GHG removals by sink should be real, measurable and give long-term benefits related to the mitigation of climate change	Kyoto Protocol Art. 12.5b	CL20 OK	Table 2, Section C.4.1 The GHG removal by sink should be clarified real, measurable and give long-term benefits related to the mitigation of climate change.
7. A/R project is additional if the actual net GHG removals by sinks are increased above the sum of the changes in carbon stocks in the carbon pools within the project boundary that would have occurred in the absence of the registered CDM A/R activity	Kyoto Protocol Art. 12.5c, Marrakesh Accords(43), A/R Modalities § 18 SS AR methodologies AR-AMS0001, Appendix B.	CL13 OK	Table 2, Section B.2.8, B.2.9. To be clarified.
8. Potential public funding for the project from Parties in Annex I is not a diversion of official development assistance	Marrakech Accords (Decision 17/CP.7)	CL2 OK	Table 2, Section A. 1.4
9. Parties participating in the CDM should designate a national authority for the CDM	Marrakesh Accords (CDM modalities§ 29)	OK	DNA of Uganda: National Climate Change Steering Committee (NCCSC) of Ministry of

Requirement	Reference	Conclusion	Cross Reference / Comment
			Water and Environment DNA of Italy: Ministry for the Environment and Territory, Department for Global Environment, International and Regional Conventions
10. The host country and participating Annex I Party are a Party to the Kyoto Protocol	Marrakesh Accords (CDM modalities § 30)	N/A OK	Uganda and Italy are Parties to the Kyoto Protocol
11. The participating Annex I Party's assigned amount should have been calculated and recorded.	CDM Modalities and Procedure §31b	N/A OK	
12. The proposed project activity should meet the eligibility criteria of lands for A/R project activities.	EB22 Annex 16	CL3 OK	Table 2, Section A.2. Exact data for boundaries is to be clarified.
13. The proposed project activity should meet the eligibility criteria for small scale A/R CDM project activities and should not be a debundled component of a larger project activity.	A/R Modalities, SS A/R modalities	CL4 OK	Table 2, Section A.3.1, A.3.2 To be clarified - not a de-bundled component of a larger project - developed or implemented by low-income communities and individuals determined by the host Party - less than 8000 tonnes of CO2
14. The participating Annex I Party should have in place a national system for estimating GHG emissions and a national registry in accordance with Kyoto Protocol Article 5 and 7.	CDM Modalities and Procedure §31b	N/A OK	Annex I Party is not involved. Unilateral Project
15. A bundle of small-scale A/R project activities satisfies the conditions of bundling and the overall monitoring is appropriate.	SS A/R modalities §14g	N/A	—
16. Project participant has specified the approach proposed to address non-permanence in accordance with § 38 of the A/R modalities.	SS A/R modalities §14e	OK	Table 2, Section A.4.10
17. Information has been provided regarding leakage.	SS A/R modalities §14h	CL12, CL19 OK	Table 2, Section B.1.3 (d), B.2.6, (B.5), C.2
18. Provisions for monitoring, verification and reporting should be in accordance with the modalities in decision 19/CP.9 that are not replaced by the SS A/R modalities and relevant decisions by the COP/MOP.	SS A/R modalities §14i	CL14 OK	Table 2, Section B.3, B.4, (B.5)

Requirement	Reference	Conclusion	Cross Reference / Comment
19. The host party should have selected and reported to the Executive Board through its designated national authority the minimum values for defining a forest.	A/R modalities §8	OK	It is selected and made public through UNFCCC web site.
20. Prior to the submission of the validation report to EB, a written declaration from PP is to be submitted that the proposed small-scale A/R activity is developed or implemented by low income communities and individuals as determined by the host Party.	SS A/R modalities §15(b)	CAR-4 OK CAR-5 OK	- The host Party's determination is required about low-income communities and individuals. - A written declaration from PP is to be submitted. Table 2, Section A.3.1
21. The project design document should conform with the Small Scale A/R Project Design Document format and the correct version of the PDD format.	Simplified Modalities and Procedures for Small Scale CDM Project Activities, Appendix A	OK	—
22. The proposed project activity should confirm to one of the project types defined for small scale A/R CDM project activities and uses the simplified baseline and monitoring methodology for that project type. (Decision 6/CMP.1, § 4(b), Appendix B) The correct version of the methodology should be applied.	Simplified Modalities and Procedures for Small Scale AR CDM Project Activities, Decision 6/CMP.1	OK	Table 2, Section A.3.3 and B.1 The project type is grassland to forest land.
23. Comments by local stakeholders are invited, and a summary of these provided	Simplified Modalities and Procedures for Small Scale AR CDM Project Activities, Decision 6/CMP.1 Appendix A	CL24 OK	Table 2, Section F
24. Analysis of the environmental impacts is to be documented, including impacts on biodiversity and natural ecosystems, and impacts outside the project boundary.	Simplified Modalities and Procedures for Small Scale AR CDM Project Activities, Decision 6/CMP.1 Appendix A	CAR-9 OK CAR-10 OK CL24 OK CL22 OK	Table 2, Section D

Requirement	Reference	Conclusion	Cross Reference / Comment
25. Analysis of the socio-economic impacts is to be documented, including impacts outside the project boundary.	Simplified Modalities and Procedures for Small Scale AR CDM Project Activities, Decision 6/CMP.1 Appendix A	CA 14 OK CL 23 OK	Table 2, Section E
26. Receive, within 30 days, comments on the validation requirements from Parties, stakeholders and UNFCCC accredited NGOs, and make them publicly available.	Simplified Modalities and Procedures for Small Scale AR CDM Project Activities, Decision 6/CMP.1	OK	Comment period: 13 Feb 07 – 15 Mar 07 No comments received.
27. A statement signed by all project participants stipulating the modalities of communicating with the Executive Board and the secretariat in particular with regard to instructions regarding allocations of CERs at issuance.	Glossary of CDM terms	CL 26 OK	A statement of Modalities of communicating with the EB was provided.

TABLE 2 REQUIREMENTS CHECKLIST

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
1 PROJECT DESCRIPTION The project design is assessed.					
A.1 General Description					
A.1.1 Title of the project activity: Has the project an appropriate title, and does it contain a version number and date? Does the PDD using a correct version of PDD format?	/1/	DR	Yes, the title clearly indicates the project is a reforestation project. PDD version No. is shown in the "History of the document". Version 02 for CDM-SSC-AR is applied.	OK.	OK
A.1.2 Has the project been described in terms of purpose and the project proponent's view of the project's contribution to sustainable development? (SS A/R modalities Annex A (a))	/1/ /5c/	DR I	Yes, PDD A.2 describes the project is necessary to meet the growing demand of wood products in the country and to mitigate rapid deforestation of the country.	OK.	OK
A.1.3 Project Participants (1) Have the Parties and PPs in the project been listed in the table as required? (2) Have all involved Parties provided a valid and complete letter of approval and have all private/public PPs been authorized by an involved Party?	/1/ /5a/ /8a/ /8b/ /42/ ~ /45/	DR I	<u>Corrective Action Request 1</u> Annex I Party is not involved. (Involved Annex I countries are to be clarified.) <u>Clarification request. 1:</u> PPs are to be clarified. <u>Corrective Action Request 2</u> The project should have the written approval as the CDM project from the DNA of the Parties. PPs should have the written approval of voluntary participation from the DNA of the Parties. <u>Corrective Action Request 3</u> DNA's authorization for each PP is required.	CAR 1 CL1 CAR 2 CAR 3	OK OK OK OK
A.1.4 Potential public funding for the project from Parties in Annex I is not a diversion of official development assistance	/1/ /42/ ~ /45/	DR I	<u>Clarification Request 2</u> The letters from EU, UK and Norway are required indicating that the public funding is not diversion of ODA.	CL 2	OK
A.2 Eligibility of lands for A/R project activities Project participants shall provide evidence that the land within the project boundary is eligible as an A/R					

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
project activity following the steps outlined below. EB22 Annex16					
A.2.1. Is it demonstrated that the land at the moment the projects starts is not a forest Decision 16/CMP.1 Annex §1, (a) (b) (c) ?	/1/ /5d/ /6a/ /42/ ~ /45/	DR I	Clarification Request 3 PDD states "Based on SPOT XS satellite images of Aug.1992, land eligibility for the project was identified." However further information and explanation are required on, 1) how the areas were classified into categories as described in Annex 4 of PDD version 04, especially in relation to the Uganda definition of forest specified in A.4.5.of the PDD? 2) how the areas currently forested or which have been forest after 31 Dec.1989 were excluded? 3) how it was confirmed that the land was not a forest from 31 Dec.1989 to Aug.1992.	CL 3	OK
A.2.2. Is it demonstrated that the activity is a reforestation or afforestation project activity per Decision 16/CMP.1 Annex §1, (a) (b) (c) ?	Ditto	DR	If the CL 3 is resolved, the project is acceptable as reforestation of grassland.	ditto	OK
A.2.3. Has the latest version of the 'Procedure to define the eligibility of lands for A/R project activities' been properly applied?	/1/ /6a/ /42/ ~ /45/	DR I	The latest version of "Procedure to define the eligibility of lands for A/R project activities" is put on hold at EB-28. This question is not applicable. The project is in accordance with the latest version of "Procedure to define the eligibility of lands for A/R project activities" defined EB 35 Annex 18.	NA. OK	OK
A.3. Small scale project activity It is assess whether the project qualifies as small scale A/R CDM project activity.					
A.3.1.Does the project qualify as a small scale A/R CDM project activity as defined in § Annex A. 1 (i) of decision 19/CP.9 on the modalities and procedures for the CDM SS A/R modalities § 4(a)	/1/ /4/ /5b/ /5c/ /19/ /26/ /42/	DR I	According to the PDD version 04, average net GHG removals are 29,573 tCO ₂ -e / 6years from 2007 to 2012 and 52,950 tCO ₂ -e / 11years from 2007 to 2017. Annual GHG removals are calculated as 4,929 tCO ₂ e and 4,814 tCO ₂ e, respectively, and these values are less than 8000 tCO ₂ -e. It was assessed whether the project is developed or		

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
	~ /45/		implemented by low-income communities and individuals as determined by the host Party. <u>Corrective Action Request 4</u> The host Party's determination is required about low-income communities and individuals. <u>Corrective Action Request 5</u> A written declaration by PP is to be provided to DOE before submission of the validation report to the EB. (Ref. decision 6/CMP.1 § 15. (b))	CAR 4 CAR 5	OK OK
A.3.2.The small scale project activity is not a debundled component of a larger project activity? A/R modalities § 4(c)	/1/ /5c/ /42/ ~ /45/	DR I	<u>Clarification Request 4</u> PDD.A.4.12 states 5 similar projects including this project are more than 1km apart from each other. The map provided as Annex 5 to PDD version 04 also supports this description. So the project does not appear to be a debundled component of a larger project. However, the distances between the projects need to be confirmed based on exact scale maps, exact longitude and latitude data of the vertices of each project area.	CL 4	OK
A.3.3.Does proposed project activity conform to one of the project types defined for small scale A/R CDM project activities? SS A/R modalities § 4(b)	/1/ /4/ /5c/ /42/ ~ /45/	DR I	Yes, the proposed project conforms to the project type "grassland to forest land".	OK	OK
A.3.4. Does the project participant propose new simplified methodologies or amendments to the simplified monitoring methodologies for project activities? In this case, project participants submit to the CDM EB for consideration and get approval?	/1/	NA	The project uses AR-AMS0001.This question is not applied.	NA	OK
A.4. TECHNOLOGY TO BE EMPLOYED Validation of project technology focuses on the project engineering, choice of technology and competence/ maintenance needs. The validator					

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
should ensure that environmentally safe and sound technology and know-how is used.					
A.4.1. Does the project design engineering reflect current good practices?	/1/ /9/ /24/ /25/ /42/ ~ /45/	DR I	Technologies used for the project are described in the PDD A.4.8 and these technologies are based on the EU-funded SPGS (Sawlog Production Grant Scheme) and reflect current good practice. Ex.: species matching, site preparation, planting, tending/ weed control, fire management, pest control/ disease management, thinning/ pruning. Clarification Request 5 Project plan and SPGS guidelines are to be provided.	CL 5	OK
A.4.2. Does the project use state of the art technology or would the technology result in a significantly better performance than any commonly used technologies in the host country?	Ditto	DR I	Ditto.	CL 5	OK
A.4.3. Has the location of the project including host Party, region and town/community been described? (SS A/R Modalities Appendix A (a))	/1/ /5c/	DR I	Yes. PDD A.3 to A.4.1.4 describes the questioned items. A map is provided in Annex 5 of PDD version 04 to indicate the project boundary. However, more detailed information is required in order to show the project is not a debundled component of a larger project. (CL 4 of the Checklist question A.3.2)	(CL.4)	OK
A.4.4. Has an appropriately detailed geographic delineation of the project boundary including a unique identifier been included? (SS A/R Modalities Appendix A (b))	/1/ /5c/	DR I	Clarification Request 6 Project area of 341.9ha is inconsistent with 14blocks x 25ha (345ha).	CL 6	OK
A.4.5. Has a description of items on the present environmental conditions of the project area including climate, soils, main water sheds, ecosystems, and the presence of any rare or endangered species and their habitats been included? (SS A/R Modalities Appendix A (a))	/1/ /5c/	DR	Yes, PDD A.4.1.5 describes the present environmental conditions of the project area including climate, soils, main watershed, ecosystems and information for species unique to forest.	OK.	OK
A.4.6. Have the species and varieties to be grown been	/1/	DR	Yes, PDD A.4.2 describes the species and varieties	OK.	OK

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
adequately described? (SS A/R Modalities Appendix A (a))	/5c/		including percentage of each species and their topics.		
A.4.7. Have the GHGs whose emissions will be part of the project activity been specified? (SS A/R Modalities Appendix A (a))	/1/ /5c/	DR I	Yes. It is described in the PDD A.4.3 that no fertilizer will be used and there is no GHG emissions by the project.	OK.	OK
A.4.8. Have details of the legal title to the land, land tenure and sequestration rights been described adequately?	/1/	DR I	Yes, PDD A.4.6 describes the questioned items clearly.	OK.	OK
A.4.9. Have the selected carbon pools been specified? (SS A/R Modalities Appendix A (d))	/1/ /5c/	DR	Yes, PDD A.4.4 clearly indicates the carbon pools. This is in accordance with the SS A/R Methodologies.	OK.	OK
A.4.10. Has the approach to address non-permanence been specified in accordance with § 38 of decision 19/CP.9. (SS A/R Modalities Appendix A (i))	/1/ /5c/	DR	Yes, PDD A.4.9 describes that tCER will be used.	OK.	OK
A.4.11. Does the project requires extensive initial training and maintenance efforts in order to work as presumed during the project period? Does the project make provisions for meeting training and maintenance needs?	/1/ /9/ /42/ ~ /45/	DR I	Clarification Request 7 The training plan of the people engaged in monitoring is described in detail in B.4.2, Annex.7 etc. of the PDD version 04. However, training requirement and plan of the people engaged in forest management other than monitoring are not clear in PDD version 04. Please explain.	CL 7	OK
A.5. CONTRIBUTION TO SUSTAINABLE DEVELOPMENT The project's contribution to sustainable development is assessed.					
A.5.1. Is the project in line with relevant legislation and plans in the host country?	/1/ /9/ /11/ /42/ ~ /45/	DR I	Clarification Request 8 Specific CDM requirements and country specific CDM requirements of Uganda are to be clarified.	CL 8	OK
A.5.2. Is the project in line with host-country specific CDM requirements?	Ditto	DR I	ditto	CL 8	OK
A.5.3. Is the project in line with sustainable development policies of the host country?	Ditto	DR I	Clarification Request 9 (1) Approval letter of Uganda concerning the sustainable development is required.	CL 9	OK
A.5.4. Will the project create other environmental or	/1/	DR	Clarification Request 9	CL 9	OK

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
social benefits than GHG emission reductions?	/12/ /42/ ~ /45/	I	(2) Contribution to other environmental or social benefits than GHG emission reductions is to be clarified at the on-site assessment.		
A.6. DURATION OF THE PROJECT / CREDITING PERIOD It is assessed whether the temporary boundaries of the project are clearly defined.					
A.6.1. Are the project's starting date and operational lifetime clearly defined and reasonable?	/1/ /5c/ /9/ /42/ ~ /45/	DR I	In the PDD, the project's starting date is defined as 1 April, 2007 and the operational lifetime is defined as 50 years in 4.10 of the PDD. However, the crediting period is defined as 20 years renewable. Clarification Request 10 The relationship between the operational lifetime (50 years) and the crediting period (20 years renewable) is to be clarified.	CL 10	OK
A.6.2. Is the beginning of crediting period so defined as the start of the afforestation or reforestation project activity? Is the assumed crediting time clearly defined and reasonable (renewable crediting period of max. two x 20 years or fixed crediting period of max. 30 years)?	ditto	DR I	It is indicated in the PDD version 04 that the beginning of crediting period coincides with the starting date of the reforestation. However, the relationship between the crediting period and the operational lifetime is to be clarified as indicated in above CL10 .	CL 10	OK

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
2 APPLICATION OF A BASELINE AND MONITORING METHODOLOGY The validation of the project baseline and monitoring methodology establishes whether the selected baseline and monitoring methodology is appropriate.					
B.1. Baseline Methodology It is assessed whether the project applies an appropriate baseline methodology.					
B.1.1. Is the selected baseline methodology in line with the baseline methodologies provided in the SS A/R modalities including the baseline approach specified by § 22(a) of the A/R modalities?	/1/ /2/ /5b/ /5c/ /42/ ~ /45/	DR	<p>PDD B.3.1 states that the area is a human induced fire climax with more or less annual fires outside the natural forest conservation areas in the moist valleys and natural regeneration is not possible under these conditions. Also, PDD B.3.2 states that the National Biomass Study in Uganda indicates that the biomass stocks are relatively stable but a tendency to decrease.</p> <p>Based on the interview at on-site assessment and the data such as the National Biomass Study, the validation team confirmed that above description is appropriate and the selected baseline methodology is in line with the baseline methodology provided in the SS A/R modalities (APPENDIX B of the SS A/R modalities) including the baseline approach complies with § 22(a) of the A/R modalities.</p> <p>Clarification Request 11 Version No. of the methodology is not clear in PDD. This should be described in PDD.</p>	CL 11	OK
B.1.2. Is the baseline methodology of the SS A/R modalities applicable to the project being considered?	/1/ /4/ /5c/	DR	Yes, The project is for grassland and the baseline methodology of the SS A/R modalities (APPENDIX B).	OK.	OK

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
B.1.3. (a) Is the most likely baseline scenario of the small-scale A/R CDM activity considered to be the land-use prior to the implementation of the project activity, either grassland or croplands?	/1/ /4/	DR I	The project is located in the Rwoho CFR (Central Forest Reserve) and the most likely baseline scenario is considered to be the grassland as indicated above B.1.1.	OK.	OK
B.1.3. (b) Are project activities implemented on settlements or wetlands not included in this methodology?	/1/ /5c/	DR	The project is implemented on degraded grassland. Settlements and wetland are not included in the project site.	OK.	OK
B.1.3. (c) Does the project participant demonstrate that the grass lands or croplands for the A/R CDM activity have not been ploughed before the plantation is established?	/1/ /42/ ~ /45/	DR I	No ploughing will be done.	OK	OK
B.1.3. (d) Does the project participants demonstrate that the displacement of households or activities, due to the implementation of the A/R CDM activity, is estimated to be less than 50 percent?	/1/ /42/ ~ /45/	DR I	PDD.C.4 states no people will be displaced from the project area, no agricultural activities in the area, and also number of grazing animals is less than 10% of threshold and so there is no leakage estimated according to the AR-AMS0001. Clarification Request 12 1) As for this description, background data and reports which support the description should be provided. 1) PDD states IPCC default value of grazing capacity for sheep is 7.9. This value should be corrected to 4.9.	CL 12	OK
B.2. BASELINE DETERMINATION It is assessed whether the project activity itself is not a likely baseline scenario and whether the selected baseline represents a likely baseline scenario.					
B.2.1. Is the application of the methodology and the discussion and determination of the chosen baseline transparent? SS A/R modalities Appendix B	/1//2/ /4/ /7/ /16/ /17/ /17a/	DR I	Clarification Request 13 1) Comparison of the study with the National Biomass study 2000, 2004 and also NFA's own study should be provided and explanation should be given on how it was judged that the carbon stocks were constant or rather decreasing.	CL 13	1) OK 2)

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
	/17b/ /42/ ~ /45/		2) Although the project is the reforestation of degraded grassland, in the discussions of PDD version 04 B.3.2. it seems that the baseline was determined considering all types of land uses such as wood land, (existing) pine plantation etc. 3) How Mgrass, Mperennials and R were determined? Values and data sources should be described. 4) PDD.B.3.2. mentions only the result on “above ground biomass”, however, the result on “above + below ground biomass” should be mentioned. Baseline should be the average of the (above + below ground) biomass. 5) The unit of the above ground biomass of 3.7t/ha is to be tCO ₂ /ha, which should be explicitly stated in PDD. Also, unit used for Tab.B.3 should be explicitly stated.		OK 3) OK 4) OK 5) OK
B.2.2. Has the baseline been determined using conservative assumptions where possible?	Ditto	DR I	To be judged after CL 13 is resolved.	(CL 13)	OK
B.2.3. Has the baseline been established on a project-specific basis?	Ditto	DR I	Yes, PDD. B.3.2. indicates that the baseline study was carried out by NFA for this project specific basis.	OK	OK
B.2.4. Does the baseline scenario sufficiently take into account relevant national and/ or sectoral policies and circumstances such as historical land uses, practices, and economic trends.	Ditto	DR I	Yes, PDD B.3.1 explains the National/Sectoral situations clearly. It concludes that the baseline is the continuation of the current situation.	OK.	OK
B.2.5. Is the baseline determination compatible with the available data?	Ditto	DR I	To be judged after CL 13 is resolved.	(CL 13)	OK
B.2.6. Does the project participant estimate leakage appropriately as per SS A/R methodologies	Ditto	DR I	PDD. C.4. states leakage estimation is unnecessary. The assertion is acceptable provided CL 12 on B.1.3 (d) is resolved.	(CL 12)	OK

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
B.2.7. Does the selected baseline represent the most likely scenario among other possible and/ or discussed scenarios?	Ditto	DR I	OK. (Refer to Checklist question B.2.4.)	OK.	OK
B.2.8. Is it demonstrated/justified that the project activity itself is not a likely baseline scenario?	/1/ /4/ /42/ ~ /45/	DR I	PDD.B.3.1 asserts due to the investment barriers such as lack of funding, institutional barriers such as legal limitations on land use etc., the project activity would not occurred. The assertion follows the procedure of Appendix B of the AR-AMS0001 and is acceptable.	OK	OK
B.2.9. What barriers are accepted to establish the additionality of the project? [(i) Investment barriers, (ii) Institutional barriers, (iii) Technological barriers, (iv) Barriers relating to local tradition, (v) Barriers due to prevailing practice, (vii) Barriers due to local ecological conditions, (viii) Barriers due to social conditions]	/1/ /2/ /3/ /4/ /20/ /42/ ~ /45/	DR I	<p>According to the PDD. B.3.1, Investment barriers, Institutional barriers, Barriers due to prevailing practice, Barriers due to local ecological conditions and Barriers due to social conditions are explained. The validation team confirmed that the project is the first CDM reforestation project in Uganda and existing reforestation project in Uganda have been using the EU Sawlog Production Grant Scheme but this Sawlog Production Grant Scheme had been used-up by the time of the planning of the Uganda Nile Basin Reforestation Project. Through the document review and interviews to DNA of Uganda and project participants, the validation team identified that there are established regulations for reforestation and the risks relation to changes in government policies are unlikely, therefore, Institutional barriers are not considered as barriers. Also, in Uganda, there have been reforestation projects supported by above EU SPGS, therefore, the technological barriers are not applied.</p> <ul style="list-style-type: none"> Investment barriers: (Project planning stage) <p>According to the IRR analysis, FIRR for 5 small AR projects including No.3 is 13.6 % (without</p>	OK	OK

* The proposed project is No. 3 among similar 5 small scale AR projects "Uganda Nile Basin Reforestation Project"

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
			<p>carbon credits) and FIRR with carbon credits is 14.7 % (USD 3\$/ tCO₂e, tCO₂ have been risk reduced by 25%).</p> <p>On the other hand, the capital costs in Uganda, alternative investments potentially yield higher IRR to forestry projects such as below.</p> <ul style="list-style-type: none"> - Treasury Bills in UGX (Uganda shilling) from the Government of Uganda: 15% - Agricultural activities like maize in 2004: 24% IRR - Fish farming: 20% IRR • Barriers due to prevailing practice: <p>The proposed project is the first CDM AR project in Uganda, the first CDM AR project approved by the DNA of Uganda and the only one that aims to support private and community investors to replicate the approach. Also the proposed project is aiming the reforestation of the degraded land partially (community planting area) by native species.</p> <p>In addition to that Bank in Uganda such as Bank of Uganda has not been interested in financing in forestry.</p> <p>Considering these conditions, Investment barriers and the barriers due to prevailing practice are major barriers to establish the additionality.</p>		

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
B.2.10. Have the major risks to the baseline been identified?	/1/ /4/ /6/ /16/ /17/ /17a/ /17b/ /42/ ~ /45/	DR I	The baseline was set to constant value throughout the project. No risk is likely.	OK.	OK
B.2.11. Are all literature and sources clearly referenced?	Ditto	DR, I	To be judged after CL 13 is resolved.	(CL 13)	OK
.3. Monitoring Methodology It is assessed whether the project applies an appropriate monitoring methodology.					
B.3.1. Is the selected monitoring methodology in line with the monitoring methodologies provided in the SS A/R methodologies?	/1/ /4/ /5c/ /7/ /9/ /16/ /42/ ~ /45/	DR I	Yes, the project strictly follows AR-AMS0001 monitoring methodology. However, following points should be clarified. Clarification Request 14 1) Version No. of the methodology is not clear in PDD. This should be described in the PDD. 2) The description on the procedure to determine above ground biomass (PDD version 04 B.4.Step 3) is different from AR-AMS0001, § 42. Step4. The latter recommends the use of allometric equations developed locally or nationally as the first choice and when such equations are not available, use of Option1or Option2 is admitted. The availability of appropriate allometric equation for this project should be explained. 3) Method of calculation of SV from DBH and height should be explained. 4) For all tree species of the project, the values of BEF, R and their data source (Table No. and corresponding rows and columns of IPCC GPG.)	CL 14	OK

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
			should be identified. 5) Evidence of Basic wood density (National Biomass Study 2002) should be provided. 6) Explanation on why sampling intensity of 0.16%(400 m ² per 25ha) enables precision target of 10% and confidence level of 95%.		
B.3.2. Is the SS A/R monitoring methodology applicable to the project being considered?	/1/ /4/	DR I	Yes.	OK.	OK
B.3.3. Is the application of the monitoring methodology transparent?	/1/ /4/	DR I	CL 14 should be resolved.	(CL 14)	OK
B.3.4. Will the monitoring methodology give opportunity for real measurements of achieved GHG removals by sinks?	/1/ /4/	DR I	Yes.	OK.	OK
B.3.5. If small-scale afforestation or reforestation project activities under the CDM are bundled, does the project participant indicate clearly whether a separate monitoring plan shall apply for each of the constituent project activities in accordance with Decision 10/ CP10, § 23, 24 of Annex, or an overall monitoring plan shall apply for the bundled projects?	/1/	DR	The project is not the bundled portion of SS A/R CDM. This question is not applied.	NA.	OK
B.3.6. Does the project participant specify 5-year monitoring frequency?	/1/	DR	Yes, PDD.B.4.1.1.1 shows the monitoring frequency of 5 years.	OK.	OK

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
B.4. Monitoring of the actual net GHG removals It is established whether the monitoring plan provides for reliable and complete actual net GHG removals.					
B.4.1. Does the monitoring plan provide for the collection and archiving of all relevant data necessary for estimation or measuring the actual net greenhouse gas removals by sinks during the crediting period?	/1/ /4/ /42/ ~ /45/	DR I	Yes. The monitoring plan (PDD B.4.1 and Appendix 7) indicate the monitoring plan provide for the collection and archiving of all relevant data necessary for estimation or measuring the actual net GHG removals by sinks during the crediting period. The monitoring plan shows the monitoring of overall performance, management, actual GHG removals by sinks, QA/QC, environmental and socio-economic impacts in accordance with the AR-AMS0001.	OK.	OK
B.4.1.a. Does the monitoring plan provide for changes in circumstances within the project boundary that affect legal title to the land or right of access to the carbon pools?	Ditto	DR I	The monitoring plan provide for the changes in circumstances such as monitoring of the location and size of the project areas. Clarification Request 15 Licensing period of the land should be harmonized with the period of the monitoring period.	CL 15	OK
B.4.1.b. Does the monitoring plan specify the technique and methods for sampling and measuring individual carbon pools and GHG removals by sinks included in the actual GHG removals by sinks that reflects commonly accepted principles and criteria concerning forest inventory?	Ditto	DR I	Yes. The monitoring plan specifies the technique and methods for sampling and measuring individual carbon pools and GHG removals by sinks in accordance with the AR-AMS0001.	OK.	OK
B.4.2. Are the choice of project GHG indicators reasonable?	Ditto	DR I	Yes. The project GHG indicators are in accordance with the AR-AMS0001 and reasonable.	OK.	OK
B.4.3. Will it be possible to monitor / measure the specified project GHG indicators?	Ditto	DR I	Yes. GHG indicators selected are common indicators and it is possible to monitor / measure the specified GHG indicators.	OK.	OK
B.4.4. Will the indicators enable comparison of project data and performance over time?	Ditto	DR I	Yes.	OK.	OK

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
B.5. Monitoring of Leakage It is assessed whether the monitoring plan provides for reliable and complete leakage data over time.					
B.5.1. Does the monitoring plan clearly identify the following indicators? [Refer to SS A/R methodology, P23, § 48, 52.] (a) Percentage of families/ households of the community involved in or affected by the project activity displaced due to the implementation of the project activity (b) Percentage of total production of the main produce (for example meat or corn) within the project boundary displaced due to the project activity.	/1/ /4/ /16/ /42/ ~ /45/	DR I	Corrective Action Request 6 Monitoring of leakage is required according to AR-AMS0001 paragraph 49.	CAR 6	OK
B.5.2. Have relevant indicators for GHG leakage been included?	/1/ /42/ ~ /45/	DR I	Ditto.	CAR 6	OK
B.5.3. Will it be possible to monitor the specified GHG leakage indicators.	ditto	DR I	Ditto.	CAR 6	OK
B.6. MONITORING OF THE BASELINE NET GHG REMOVALS It is established whether the monitoring plan provides for reliable and complete baseline net GHG removals data over time.					
B.6.1. No monitoring of the baseline is required. (SS A/R modalities appendix B, § 6)	/1/ /5c/	DR	NA	OK.	OK
B.7. PROJECT MANAGEMENT PLANNING It is checked that project implementation is properly prepared for and that critical arrangements are					

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
addressed.					
B.7.1. Is the authority and responsibility of project management clearly described?	/1/	DR I	Yes, PDD.B.4.3.states the project will be managed by the Mbarara Sector Manager and officers in charge of the area. Clarification Request 16 a) Organization chart for the project management and monitoring should be provided.	OK. CL16	OK
B.7.2. Is the authority and responsibility for registration, monitoring, measurement and reporting clearly described?	/1/	DR I	Yes, PDD B.4.3 states monitoring will be conducted by the NFA Technical Service section. Clarification Request 16 b) The authority and responsibility for registration and reporting are to be clarified.	CL 16	OK
B.7.3. Are procedures identified for training of monitoring personnel? SS A/R methodologies § 60 (c), (d)	/1/ /4/	DR I	Yes, Annex.7 of PDD version 04 (Annex 8 of PDD version 06-1) identifies the training procedures of monitoring personnel in accordance with the AR-AMS0001.	OK	OK
B.7.4. Are procedures identified for emergency preparedness for cases where emergencies can cause unintended emissions?	/1/ /9/ /42/ ~ /45/	DR I	Corrective Action Request 7 No procedures are provided for unintended emissions such as fire hazard.	CAR 7	OK
B.7.5. Are procedures identified for monitoring, measurements and reporting?	/1/ /42/ ~ /45/	DR I	Yes, PDD version 04, B.4.2. Annex.7 identifies the procedures for monitoring, measurements and reporting.	OK.	OK
B.7.6. Are procedures identified for calibration of monitoring equipment? Are procedures identified for maintenance of monitoring equipment and installations?	/42/ ~ /45/	DR I	As the use of special equipments is unlikely, this question needs not be applied.	OK.	OK
B.7.7. Are procedures identified for data maintenance and storage? SS A/R methodologies § 64, 65, 66	/1/ /4/ /42/ ~ /45/	DR I	Yes, PDD B.4.2. identifies the procedure for data maintenance and storage.	OK.	OK
B.7.8. Are procedures identified for dealing with possible monitoring data adjustments and	Ditto	DR I	Yes, PDD version 04 Annex.7 considers post stratification and modification of the sample size after	OK.	OK

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
uncertainties?			the first monitoring event.		
B.7.9. Are procedures identified for internal audits of GHG project compliance with operational requirements where applicable?	Ditto	DR I	Corrective Action Request 8 No procedures for internal audits. The procedure should be described in PDD.	CAR 8	OK
B.7.10. Are procedures identified for project performance reviews before data is submitted for verification, internally or externally?	Ditto	DR I	Yes, the verification procedures for field data collection, data entry and analysis are specified in Annex.7 of PDD.	OK.	OK
B.7.11. Are procedures identified for corrective actions in order to provide for more accurate future monitoring and reporting?	Ditto	DR I	Refer to B.7. 8.	OK.	OK
B.8. QUALITY CONTROL & QUALITY ASSURANCE					
B.8.1. Are procedures identified to ensure reliable field measurements? The procedure includes development of standard operating procedures (SOPs) for each step of the field measurements, collecting reliable data, training and provisions for documentation for future verification. SS A/R methodologies § 59 (a), 60	/1/ /42/ ~ /45/	DR I	Yes, PDD version 04 B.4.2 and Annex.7 provide procedures to ensure reliable field measurements. Annex 7 of the PDD also states the SOP is to be prepared.	OK.	OK
B.8.2. Are procedures identified to verify field data collection? SS A/R methodologies § 59 (b)	Ditto	DR I	Yes, the PDD version 04 B.4.2 and Annex.7 provide procedures to verify field data collection.	OK.	OK
B.8.3. Are procedures identified to verify data entry and analysis? SS A/R methodologies § 59 (c)	Ditto	DR I	Yes, Annex 7 of the PDD version 04 provides procedures to verify data entry and analysis by an independent expert team.	OK.	OK
B.8.4. Are procedures identified for data maintenance and storage taking into account the long-term nature of A/R project activities under the CDM? SS A/R methodologies § 59 (d)	Ditto	DR I	Yes, Annex 7 of the PDD version 04 provides procedures for data maintenance and archiving by both electronic and paper forms.	OK.	OK
C. ESTIMATION OF NET ANTHROPOGENIC GHG REMOVALS BY SINKS					
It is assessed whether all material GHG removals sources are addressed and how sensitivities and data uncertainties have been addressed to arrive at conservative estimates of projected emission					

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
reductions.					
C.1. ESTIMATE OF THE ACTUAL NET GHG REMOVALS BY SINKS The validation of predicted project GHG removals focuses on transparency and completeness of calculations.					
C.1.1. Are all aspects related to direct and indirect GHG removals captured in the project design?	/1/ /4/ /7/ /14/ /15/ /16/ /16a/ /42/ ~ /45/	DR I	All aspects related to GHG removals are considered based on AR-AMS0001. Both above ground and below ground biomass are considered, <u>Corrective action Request 9</u> PDD quotes Annex 2 of the Sixth Meeting Report of the CDM A/R WG as formulae used. These are practically identical to the formulae described in AR-AMS0001. For consistency of description, quotation of AR-AMS0001 is preferable.	CAR 9	OK
C.1.2. Are the GHG calculations documented in a complete and transparent manner?	Ditto	DR I	<u>Clarification Request 17</u> 1) AR-AMS0001 requests GHG removal calculation to be done stratum wise and summed for total strata. Please explain the rational of calculating GHG removals neglecting the stratification of the project area. 2) Method/source of calculation or derivation of SV, BEF and R should be explained for each tree species of the project (if IPCC GPG were used, Table No. and corresponding rows and columns referred should be identified.) 3) There are differences of values of wood density, BEF, R etc. among table B.4.1.1.1 of the PDD and calculation sheets provided. Please explain the reason of difference and which values are the references. 4) Yearly cutting and planting plan should be clarified. (PDD A.4. states Prunus will be managed in a 10 year rotation period. However calculation sheet	CL 17	OK

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
			treats the Prunus based on 22 years rotation as in the case of Maesopsis.) 5) Calculation sheets treat the Prunus in the same way as Maesopsis due to the lack of reliable growth data. The same description should be added to the PDD. 6) To apply the growth data shown in the calculation sheet to this project, the management plan of the project such as planting density, thinning and pruning plan, areas spared for fire control zone, etc. should be similar to the projects where the growth data was obtained. These points should be clarified.		
C.1.3. Have conservative assumptions been used to calculate project GHG removals?	Ditto	DR I	The calculation follows the procedure of AR-AMS0001,	OK.	OK
C.1.4. Are uncertainties in the GHG removals estimates properly addressed in the documentation?	Ditto	DR I	Clarification Request 18 Please explain how the uncertainties in the GHG removal were taken into account.	CL 18	OK
C.1.5. Have all relevant greenhouse gases and source categories listed in Kyoto Protocol Annex A been evaluated?	/1/ /4/	DR I	Only CO2 is considered. This is consistent with the methodology requirements.	OK.	OK
C.2. ESTIMATED LEAKAGE It is assessed whether there leakage effects, i.e. change of emissions which occurs outside the project boundary and which are measurable and attributable to the project, have been properly assessed.					
C.2.1. Are potential leakage effects beyond the chosen project boundaries properly identified in accordance with SS A/R methodologies? (SS A/R methodologies, § 26,30)	/1/ /4/ /42/ ~ /45/	DR I	Refer to B.1.3 (d). (CL 12) Clarification Request 19 § .31 of AR-AMS0001 states “when fertilizer is used, consideration on N2O is required”, This point should be clarified.	CL 19	OK
C.2.2. Have these leakage effects been properly accounted for in calculations?	Ditto	DR I	Ditto.	(NA)	OK

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
C.2.3. Are the calculations documented in a complete and transparent manner?	Ditto	DR I	Ditto.	(NA)	OK
C.2.4. Have conservative assumptions been used when calculating leakage?	Ditto	DR I	Ditto.	(NA)	OK
C.2.5. Are uncertainties in the leakage estimates properly addressed?	Ditto	DR I	Ditto.	(NA)	OK
C.3. ESTIMATED BASELINE NET GHG REMOVALS BY SINKS The validation of estimated baseline net GHG removals focuses on transparency and completeness of calculations.					
C.3.1. Have the most relevant and likely operational characteristics and baseline indicators been chosen as reference for baseline removals?	/1//2/ /3/ /7//9/ /14/ ~ /17/ /42/ ~ /45/	DR I	If it were shown that the baseline carbon stocks are constant or rather decreasing (when Clarification 13 on Checklist question B.2.1 were resolved), calculation of baseline net GHG removals is not required. This question needs not be applied.	(CL 13)	OK
C.3.2. Are the baseline boundaries clearly defined and do they sufficiently cover sources and sinks for baseline removals?	ditto	DR I	Ditto.	(CL 13)	OK
C.3.3. Are the GHG calculations documented in a complete and transparent manner?	/1//2/ /4/	DR I	Ditto.	(CL 13)	OK
C.3.4. Have conservative assumptions been used when calculating baseline?	/1//2/ /4/ /16/ /17/	DR I	Ditto.	(CL 13)	OK
C.3.5. Are uncertainties in the GHG removal estimates properly addressed in the documentation?	Ditto	DR I	Ditto.	(CL 13)	OK

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
C.3.6. Have the project baseline(s) and the project removals been determined using the same appropriate methodology and conservative assumptions?	/1/ /2/ /4/ /6/ /9/ /14/ ~ /17/	DR I	Ditto.	(CL 13)	OK
C.4. Validation of baseline GHG removals will focus on methodology transparency and completeness in removal estimations.					
C.4.1. Will the project result in increased net GHG removals by sinks than the baseline scenario? A/R Modalities § 18	/1/ /2/ /4/	DR I	Clarification Request 20 Yes, provided all Clarifications relating to B, C of the checklist are resolved.	CL 20	OK
D ENVIRONMENTAL IMPACTS Documentation on the analysis of the environmental impacts, including impacts on biodiversity and natural ecosystems, and impacts outside the project boundary will be assessed, and if deemed significant, an EIA should be provided to the validator.					
D.1.1. Is the analysis documented about the environmental impacts, including impacts on biodiversity and natural ecosystems, and impacts outside the project boundary? This analysis should include, where applicable, information on, inter alia, hydrology, soils, risk of fires, pests and diseases. SS A/R modalities Appendix A (k) (i)	/1/ /9/ /11/ /12/ /13/ /42/ ~ /45/	DR I	PDD D.1 describes that the EIA was carried out based on the regulations by the NEMA, and NEMA formally approved the project on 31, July, 2006. Clarification Request 21 Summary of the EIS should be provided so that the checklist question can be confirmed.	CL 21	OK
D.1.2. If adverse effect is considered significant by the project participants or the Host Party, is the statement included that the project participants have undertaken EIA in accordance with the procedures required by the host party, including its conclusions and all references to support documentation? A/R Modalities § 12c	Ditto	DR I	PDD. D.1 describes that the EIA was carried out based on the regulations by the NEMA, and NEMA formally approved the EIS of the project on 31, July, 2006.	OK.	OK
D.1.3. Have identified environmental impacts been	Ditto	DR	Clarification Request 22	CL 22	OK

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
addressed in the project design?		I	It is described in PDD.D.1 that “the project might cause some environmental impact in the short run, but these are recoverable through tree planting. Mitigation measures are proposed and will be incorporated in FMP. Explicit explanation on the impact and mitigation measure should be explained. Evidence documents should be provided to the validation team.		
D.1.4. Does the project comply with environmental legislation in the host country?	Ditto	DR I	Yes, PDD D.1 describes that the EIA was carried out based on the regulations by the NEMA, and NEMA formally approved the project on 31, July, 2006. <u>Corrective Action Request 10</u> Copy of the Environmental Clearance by NEMA should be submitted to DOE.	(OK.) CAR 10	OK OK
D.1.5. Does the project participant indicate planned monitoring and remedial measures to address significant impacts on environmental (ref. Decision 14/ C.P.10 Appendix A. 1(m))	Ditto	DR I	<u>Corrective Action Request 11</u> As for monitoring of the environmental impacts, Annex.7 of PDD version 04 states that this will be elaborated when submitting for registration. The elaborated plan should be described in PDD at the time of request for registration. Also, the monitoring and remedial measures in the elaborated plan should be consistent with the anticipated impact and remedial measures for <u>CL 22 above (D.1.3).</u>	CAR 11	OK
E. SOCIO-ECONOMIC IMPACTS Documentation on the analysis of the socio-economic impacts, including impacts outside the project boundary will be assessed, and if deemed significant, a socio-economic impact assessment should be provided to the validator.					
E.1.1. Is the analysis documented about the socio-economic impacts, including impacts outside the project boundary? This analysis should include, where applicable,	/11/9/ /12/ /13/ /18/	DR I	<u>Clarification Request 23</u> The results of socio-economic impacts analysis carried out based on the criteria of Uganda DNA should be provided.	CL 23	OK

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
information on, inter alia, local communities, indigenous people, land tenure, local employment, food production, cultural and religious sites, and access to fuel wood and other forest products. SS A/R modalities Appendix A (I) (i)	/42/ ~ /45/		Also description of PDD.E.1. seems to have some editorial errors. It is stated that the "Results are presented below", but the results are not found anywhere.		
E.1.2. If any negative impact is considered significant by the project participants or the host Party, a statement is required including that the project participants have undertaken socio-economic impact assessment adequate to scale, in accordance with the procedures required by the host party, including conclusions and all references to support documentation. SS A/R Modalities Appendix A (I) (ii)	Ditto	DR I	This question will be commented after socio-economic analysis results is provided Socio-economic analysis as a part of Environmental Impact Statement was provided. Also, the checklist of CCB (Climate, Community & biodiversity Alliance checklist) was provided. There is no negative impact considered significant.	Hold. OK	OK
E.1.3. Have identified socio-economic impacts been addressed in the project design?	Ditto	DR I	Ditto.	Hold. OK	OK
E.1.4. Does the project participant indicates planned monitoring and remedial measures to address significant impacts on socio-economic impacts. (ref. Decision 14/ C.P.10 Appendix A. 1(m))	Ditto	DR I	Corrective Action Request 12 As for monitoring of the socio-economic impacts, Annex.7 of the PDD version 04 states that this will be elaborated when submitting for registration. The elaborated plan should be described in PDD. Also, the monitoring and remedial measures in the elaborated plan should be consistent with the anticipated impact and remedial measures for CL 23.	CAR12	OK
F. STAKEHOLDER COMMENTS The validator should ensure that a stakeholder comments have been invited and that due account has been taken of any comments received.					
F.1.1. Have relevant stakeholders been consulted?	/1/ /42/ ~ /45/	DR I	Corrective Action Request 13 Relevant stakeholders are to be clarified and the PDD is to be corrected.	CAR 13	OK

Checklist Question	Ref.	MoV*	Comments	Draft Concl	Final Concl.
	/51/~ /58/				
F.1.2. Have appropriate media been used to invite comments by local stakeholders?	Ditto	DR I	Yes, the validation team confirmed that meetings to invite stakeholder comments were held several times.	OK.	OK
F. 1.3. If a stakeholder consultation process is required by regulations/laws in the host country, has the stakeholder consultation process been carried out in accordance with such regulations/laws?	/1/ /42/ ~ /45/	DR I	Clarification Request 24 Whether the consultation process is the legal requirement or not is not clear, please explain the legal situations of Uganda.	CL 24	OK
F. 1.4. Is a summary of the stakeholder comments received provided?	Ditto	DR I	Clarification Request 25 1) Explanation about the communities and the stakeholder comments are mixed in the PDD. Stakeholder comments should be distinguished. 2) Explanation about “zero grazing techniques” is needed.	CL 25	OK
F. 1.5. Has due account been taken of any stakeholder comments received?	Ditto	DR I	Corrective Action Request 14 The description of the PDD F.3 regarding the area to be planted by communities is for all 5 small scale projects and not for this particular project No.3.	CAR 14	OK

Table. 3 Resolution of Corrective Action and Clarification Requests

Draft report clarifications and corrective action requests by validation team	Ref. to checklist question table 2	Summary of project owner response	Validation team conclusion
Corrective Action Request 1 Annex I Party is not involved. (Involvement Annex I countries are to be clarified.)	A.1.3	This project is a unilateral project. Annex 1 Party is Italy.	OK
Corrective Action Request 2 The project should have the written approval as the CDM project from the DNA of the Parties. PPs should have the written approval of voluntary participation from the DNA of the Parties.	A.1.3	PP will approach to DNA by the final draft of the validation report. Approval letter for the project by DNA of Uganda dated 15 th February, 2008 was provided to the validation team via project participants. Approval letter for the project by DNA of Italy dated 20 Feb, 2007 was provided to the validation team via project participants.	OK
Corrective Action Request 3 DNA's authorization for each Project Participant is required	A.1.3	NFA and IBRD as Trustee of the BioCarbon Fund were authorized by the DNA of Uganda. IBRD as trustee of the BioCarbon Fund was authorized by the DNA of Italy.	OK
Corrective Action Request 4 The host Party's determination is required about low-income communities and individuals.	A.3.1	This will be clarified when PP receives the approval from DNA. Refer to annex 3 of the PDD version 06-1.	OK
Corrective Action Request 5 A written declaration from PP is to be submitted. (Ref. decision 6/CMP.1 § 15. (b))	A.3.1	It is indicated in annex 3 of the PDD version 06-1.	CAR 5 OK
Corrective Action Request 6 Monitoring of leakage is required according to AR-AMS0001 version 05 paragraph 48.	B.5.1	The project area is located within the Rwoho CFR and the land tenure is with the Government of Uganda. There are no people and no agricultural activities in the project areas. Therefore, no people and no agricultural production activities will be displaced. (PDD C.3)	CAR 6 OK

Draft report clarifications and corrective action requests by validation team	Ref. to checklist question table 2	Summary of project owner response	Validation team conclusion
		<p>Also, the grazing assessment in the revised PDD (version 06-1) shows that the average grazing is below 10% and this indicates that there is no leakage due to grazing.</p> <p>The biomass (grass) density of the project area and also the surrounding area is 4.0 tCO₂/ha (including above and below ground biomass) and very low compared with the average biomass density of 11.4 tCO₂/ha for tropical moist grasslands. (Ref. Table 3.4.2 of IPCC GPG LULUCF)</p> <p>This indicates that the project area as well as the surrounding area is highly degraded.</p> <p>Taking into account these conditions, the leakage can be considered insignificant.</p> <p>In this condition, a leakage estimation is not required due to AR-AMS0001 version 05 and also, the monitoring of leakage is not required due to Decision 6/CMP.1 §23 (c).</p>	
<p><u>Corrective Action Request 7</u> No procedures are provided for unintended emissions such as fire hazard.</p>	B.7.4.	Fire management is considered in the Forest Management plan for Bugamba and Rwoho Central Forest Reserves.	OK
<p><u>Corrective Action Request 8</u> No procedures for internal audits. The procedure should be described in PDD.</p>	B.7.9.	The procedures are added to PDD version 06-1 Annex 8: Carbon monitoring plan.	OK
<p><u>Corrective action Request 9</u> PDD quotes Annex 2 of the Sixth Meeting Report of the CDM A/R WG. as formulae used. These are practically identical to the formulae described in AR-AMS0001. For consistency of description, quotation of AR-AMS0001 is preferable.</p>	C.1.1.	Quotation was corrected.	OK

Draft report clarifications and corrective action requests by validation team	Ref. to checklist question table 2	Summary of project owner response	Validation team conclusion
Corrective Action Request 10 Copy of the Environmental Clearance by NEMA should be submitted to DOE.	D.1.4.	The copy was provided to DOE.	OK
Corrective Action Request 11 As for monitoring of the environmental impacts, Annex.7 of the PDD states that this will be elaborated when submitting for registration. The elaborated plan should be explained in PDD. Also, the monitoring and remedial measures in the elaborated plan should be consistent with the anticipated impact and remedial measures for <u>CL 22.</u>	D.1.5.	Refer to Environmental Impact Statement by NFA (April 2006) This document covers; 1) project design 2) Environmental baseline and assessment of environmental impacts including biodiversity and socio, cultural and economic impacts. 3) Mitigation 4) Environmental management and monitoring plan. The description was added to the PDD version 06-1 Annex 8.	OK
Corrective Action Request 12 As for monitoring of the socio-economic impacts, Annex.7 of the PDD version 04 states that this will be elaborated when submitting for registration. The elaborated plan should be described in PDD. Also, the monitoring and remedial measures in the elaborated plan should be consistent with the anticipated impact and remedial measures for <u>CL 23.</u>	E.1.4.	The impact of the project on the well being of the population in the area will be monitored by the NFA staff within the framework of the Community Forest Management plan. The description was added to the PDD (version 06-1 annex 8).	OK
Corrective Action Request 13 Relevant stakeholders are to be clarified and the PDD is to be corrected.	F.1.1	Stakeholders meetings have been conducted 3 times from June 30 th 2005 to March 1 st 2006, with all communities living near the project sites. These meetings have been organized by RECPA.	OK
Corrective Action Request 14 The description of the PDD F.3 regarding the area to be planted by communities is for all 5 small scale projects and not for this particular project No.3.	F.1.5	NFA explained about the areas to be reforested by all communities living near the 5 small-scale projects and also explained about the relation of all communities and the leading community RECPA. The description	OK

Draft report clarifications and corrective action requests by validation team	Ref. to checklist question table 2	Summary of project owner response	Validation team conclusion
		was added to the PDD F.1.	
Clarification Request 1 Project participants are to be clarified.	Table 1	Project participants are NFA (non annex I country) and Italy (annex I country). Communities are involved but not as project participants.	OK
Clarification Request 2 The letters from EU, UK and Norway are required indicating that the public fundings are not diversion of ODA.	Table 1	The project does not result in a diversion of ODA. Annex 2 was modified.	OK
Clarification Request 3 PDD states "Based on SPOT XS satellite images of Aug.1992, land eligible for the project was identified." However further information and explanation are required on, 1) how the areas were classified into categories as described in PDD version 04 Annex 4, especially in relation to the Uganda definition of forest specified in A.4.5.of the PDD? 2) how the areas were currently forested or which have been forest after 31 Dec.1989 excluded? 3) how it was confirmed that the land was not a forest from 31 Dec.1989 to Aug.1992.	A.3.1. (A.3.3, B.1.3.)	1) It was demonstrated using GIS image processing at NFA office during on-site assessment that the areas were classified into categories as described in PDD version 04, Annex 4. 2) The method was demonstrated how to exclude the area currently forested using GIS image processing at NFA office during on-site assessment. 3) In addition to 1992 SPOT XS images, 1984 Landsat images and 2004 Landsat images were used to confirm that the land was not a forest from 31 Dec. 1989 to Aug. 1992. PDD was revised.	OK The validation team confirmed the eligibility of the project by GIS at NFA office. Also, the validation team confirmed by the interviews with local communities conducted during on-site assessment that the project area is a human induced fire climax area and degraded during 1970's and early 90's.
Clarification Request 4 PDD.A.4.12 states 5 similar projects including this project are more than 1km apart from each other. The map provided as Annex 5 to PDD version 04 also supports this description. So the project does not appear to be a debundled component of a larger project. However, the distances between the projects need to be	A.3.2. (A.4.3)	The minimum distances between the projects were checked and indicated in the table "Closest points between individual projects demonstrating a minimum of 1 km between projects" A. 4.12.1 of the PDD and also illustrated in Annex 5 of the PDD version 04	OK

Draft report clarifications and corrective action requests by validation team	Ref. to checklist question table 2	Summary of project owner response	Validation team conclusion
confirmed based on exact scale maps, exact longitude and latitude data of the vertices of each project area.		(Annex 6 of PDD version 06-1).	
Clarification Request 5 Project plan and SPGS guidelines are to be provided.	A.4.1.	Project plan and SPGS guidelines are submitted.	OK
Clarification Request 6 Project area of 341.9ha is inconsistent with 14blocks x 25ha (345ha).	A.4.4.	The project area is planned along the contour lines, therefore block size data is approximate data.	OK
Clarification Request 7 The training plan of the people engaged in monitoring is described in detail in B.4.2, Annex.7 etc. of the PDD version 04. However, training requirement and plan of the people engaged in forest management other than monitoring are not clear in PDD. Please explain.	A.4.11	NFA staff and contractors will be trained to implement the forest management plan and the activities mentioned in the PDD version 06-1 B.8.2 and Annex 8. Details on the training program are outlined in the forest management plan and in the annual NFA plan of operation.	OK
Clarification Request 8 Specific CDM requirements and country specific CDM requirements of Uganda are to be clarified.	A.5.1. A.5.2	Information about Forest act and relevant rules was provided.	OK
Clarification Request 9 (1) Approval letter of Uganda concerning the sustainable development is required. (2) Contribution to other environmental or social benefits other than GHG emission reductions is to be clarified.	A.5.3.	The "Letter of approval for Voluntary Participation" issued by the DNA of Uganda dated 15 th February 2008 states that the proposed CDM project will contribute to Sustainable Development in Uganda.	CL9 OK The validation team confirmed by the interviews with villagers at the on-site assessment that the project contributes to other environmental or social benefits other than GHG emission reductions.
Clarification Request 10 The relationship between the operational lifetime (50 years) and the crediting period (20 years renewable) is to be clarified.	A.6.2.	Operational lifetime of the PDD was revised from 50 years to 60 years	OK
Clarification Request 11 Version No. of the methodology is not clear in PDD. This should be described in PDD.	B.1.1.	Version number was added to the PDD. The final version of the PDD is version 06.	OK

Draft report clarifications and corrective action requests by validation team	Ref. to checklist question table 2	Summary of project owner response	Validation team conclusion
<p>Clarification Request 12</p> <p>(1) As for leakage, background data and reports which support the description should be provided.</p> <p>(2) PDD states IPCC default value of grazing capacity for sheep is 7.9. This value should be corrected to 4.9.</p>	<p>B.1.3(d) (B.2.6.)</p>	<p>(1) Calculation was added to the PDD and demonstrated that the leakage by grazing is negligible.</p> <p>(2) Based on the enumeration of cattle kraals near reserve, the PDD was revised.</p>	<p>CL12: Monitoring of leakage is required by AR-AMS0001 paragraph 40.</p> <p>OK (Refer to the conclusion of CAR 6)</p>
<p>Clarification Request 13</p> <p>1) Comparison of the study with the National Biomass Study (NBS) 2000, 2004 and also NFA's own study should be provided and explanation should be given on how it was judged that the carbon stocks were constant or rather decreasing.</p> <p>2) Although the project is the reforestation of degraded grassland, in the discussions of PDD version 04 B.3.2, it seems that the baseline was determined considering all types of land uses such as wood land, (existing) pine plantation etc.</p> <p>3) How Mgrass, Mperennials and R were determined? Values and data sources should be described.</p> <p>4) PDD version 04 B.3.2 mentions the result on "above ground biomass", however, the result on below ground biomass should be mentioned in accordance with AR-AMS0001 version 05.</p> <p>6) The unit of the above ground biomass of 3.7t/ha appears to be tCO₂/ha, which should be explicitly stated in PDD.</p>	<p>B.2.1. (B.2.2, B.2.5., C.3.1.)</p>	<p>1) The NBS report gives an over all biomass trends in Uganda that rate of annual change of grassland is minus 1%. Also, according to the NBS data sets, there has been a general biomass decline in areas near the project in last 5 to 8 years (1995-1999 to 2004)</p> <p>2) The project sites are all degraded grasslands, other land-use types in the area are not considered in the project.</p> <p>3) Mgrass, Mwoody: Based on the National Biomass study and its back data</p> <p>Mgrass (measurement by sample plot (Grass + Forbs): 0.84 t/ha Mwoody (National Biomass Study report and sample plot): 0.23 t/ha R: IPCC LULUCF GPG Rgrass: 1.6 (Table 3.4.3) Rwoody 0.42 (Table 3A.1.8)</p> <p>For Mgrass and Mwoody, evidence data for dry matter and plot data [(1) coverage of grass and woody, (2) dry matter measurement data for grass & forbs in Rwoho CFR] were provided.</p>	<p>1) OK 2) OK 3) OK 4) OK 5) OK 6) OK</p>

Draft report clarifications and corrective action requests by validation team	Ref. to checklist question table 2	Summary of project owner response	Validation team conclusion
		4) PDD was revised. 5) PDD was revised.	
Clarification Request 14 1) Version No. of the methodology is not clear in PDD. This should be described in PDD. 2) The description on the procedure to determine above ground biomass (PDD version 04 B.4) is different from the rules of AR-AMS0001, § 42. The latter recommends use of allometric equations developed locally or nationally as the first choice, when such equations are not available, use of Option1 or Option2 is admitted. The availability of appropriate allometric equation for this project should be explained. 3) Method of calculation of SV from DBH and height should be explained. 4) For all tree species of the project, the values of BEF, R and the data source (Table No. and corresponding rows and columns of IPCC GPG.) should be identified. 5) Evidence of Basic wood density (National Biomass Study 2002) should be provided. 6) Explanation on why sampling intensity of 0.16% (400 m ² per 25ha) enables precision target of 10% and confidence level of 95%.	B.3.1, B.3.2 (B.3.3.)	1) Version No.: AR-AMS0001 ver.04 → Version No. 03 is indicated in the PDD. 2) The description was revised to meet the AR AMS-0001 version 05. 3) SV will be estimated from on-site measurement using DBH and height. 4), 5) Evidences of expansion factor (BEF), R and wood density (WD) data were provided. BEF: IPCC LULUCF GPG, Table 3A.1.10 R: IPCC LULUCF GPG, Table 3A.1.8 WD: IPCC LULUCF GPG, Table 3A.1.9-2 and local data from various sources such as NBS, data of Uganda Timbers, etc. 6) Sampling intensity: description was added as "in case that required accuracy is not sufficient the sampling intensity will be increased".	1) OK 2) OK 3) OK 4), 5) OK Note: For Pines: BEF=1.32, R=0.3, WD=0.45 For Maesopsis & Prunus BEF=1.4, R=0.2, WD=0.5 The data are based on the IPCC data and adjusted by taking into account local expert judgment. 6) OK
Clarification Request 15 Licensing period of the land should be harmonized with the period of the monitoring period.	B.4.1.a	Licensing period of the land is harmonized with the licensing period.	OK
Clarification Request 16 1) Organization chart for the project management and monitoring should be provided. 2) Registration and reporting appears to be the	B.7.1 B.7.2.	1) Biomass section of NFA will be in charge of monitoring. 2) Registration and reporting is the responsibility of the NFA.	OK

Draft report clarifications and corrective action requests by validation team	Ref. to checklist question table 2	Summary of project owner response	Validation team conclusion
responsibility of the NFA. This should be confirmed			
Clarification Request 17 1) AR-AMS0001 requests GHG removal calculation to be done stratum wise and summed for total strata. Please explain the rational of calculating GHG removals neglecting the stratification of the project area. 2) Source of BEF and R should be explained for each tree species of the project (if IPCC GPG were used, Table No. and corresponding rows and columns referred should be identified.) 3) There are differences of values of wood density, BEF, R etc. among table B.4.1.1.1. , PDD. and provided calculation sheets. Please explain the reason of difference and which value should be the reference. 4) Yearly cutting and planting plan should be clarified. (PDD A.4. states Prunus will be managed in a 10 year rotation period. However calculation sheet treats the Prunus based on 22 years rotation as in the case of Maesopsis.) 5) Calculation sheets treat the Punus in the same way as Maesopsis due to the lack of reliable growth data. The same description should be added to PDD. 6) In order that the growth data shown in the calculation sheet is applicable to this project, management plan such as planting density, thinning and pruning plan, areas spared for fire control zone, etc. should be similar between this project and the projects where the growth data was obtained. These points should be explained.	C.1.2.	Spread sheet was provided. 1) As for Pine, “Yields of Eucalyptus and Caribbean Pine in Uganda” was provided. As for Maesopsis Eminii, a document “Maesopsis Eminii - a challenging timber tree species in Uganda” was provided. As for Prunus, there is no document available and the same data with Maesopsis was applied. 2) BEF: no national data Density: national data available R: IPCC 3) PDD was revised. 4) 22 years rotation is used for all tree species. 5) Due to a lack of better information, it is assumed that Maesopsis and Prunus have the same growth curves. 6) See Forest Management Plan by NFA.	(1) OK 2) OK Refer to the response and conclusion of CL 14. 3) OK 4) OK 5) OK 6) OK
Clarification Request 18 Please explain how the uncertainties in the GHG removal were taken into account.	C.1.4.	The GHG removals are based on conservative estimates which will be assessed during the GHG monitoring. Yield calculation is based on the Forest Management Plan (/9/) in terms of thinning, pruning and assumption of survival rate 90% and density index 75%.	OK

Draft report clarifications and corrective action requests by validation team	Ref. to checklist question table 2	Summary of project owner response	Validation team conclusion
Clarification Request 19 §.31 of AR-AMS0001 version 03 states “when fertilizer is used, consideration on N2O is required”, This point should be clarified.	C.2.1.	Fertilizer is not used.	OK According to AR-AMS0001 Version 05, project emissions are considered insignificant and therefore neglected.
Clarification Request 20 The project result in increased net GHG removals by sinks than the baseline scenario provided all Clarification Requests relating to B, C of the checklist are resolved.	C.4.1.	(Related to the final conclusion)	OK
Clarification Request 21 EIS should be provided so that the checklist question can be confirmed.	D.1.1.	EIS is provided.	OK
Clarification Request 22 It is described in PDD.D.1 that “the project might cause some environmental impact in the short run, but these are recoverable through tree planting. Mitigation measures are proposed and will be incorporated in FMP. Explicit explanation on the impact and mitigation measure should be described in PDD. Evidence documents should be provided to the validation team.	D.1.3.	Refer to Environmental Impact Statement by NFA (April 2006) This document covers; 1) project design 2) Environmental baseline and assessment of environmental impacts including biodiversity and socio, cultural and economic impacts. 3) Mitigation 4) Environmental management and monitoring plan	OK
Clarification Request 23 The results of socio-economic impacts analysis carried out based on the criteria of Uganda DNA should be provided. Also description of PDD.E.1. seems to have some editorial errors. It is stated that the “Results are presented below”, but the results are not found anywhere.	E.1.1.	Community response to the project at the stage of the feasibility study is provided. Also, the EIS was provided. The report includes a summary of socio-economic assessment carried out by the NFA in the framework of the feasibility study and as part of the environmental impact assessment (EIA). The EIS was accepted by the National Environment Management Authority (NEMA).	OK

Draft report clarifications and corrective action requests by validation team	Ref. to checklist question table 2	Summary of project owner response	Validation team conclusion
Clarification 24 Whether the stakeholder consultation process is the legal requirement or not is unclear. Please explain the legal situations of Uganda.	F.1.3.	No specific legislation has been formulated. Stakeholder comments are invited as part of EIA process.	OK
Clarification Request 25 1) Explanation about the communities and the stakeholder comments are mixed. Stakeholder comments should be distinguished. 2) Explanation about “zero grazing techniques” is needed.	F.1.4	1) Community and stakeholders have been interviewed together in a workshop. Therefore, it cannot be distinguished. 2) PDD was revised.	OK 1) The description of F.2. of the PDD summarizes the results of the interview. In the last part of F.2, the stakeholder comments are summarized. 2) OK
Clarification Request 26 A statement signed by all Project participants stipulating the modalities of communication is required.	Table 1, No.27	Modalities of communication signed by all project participants were provided.	OK

**APPOINTMENT CERTIFICATE of Validation team members
& Technical Expert****CURRIKULUM VITAE for Internal Verifiers****APPOINTMENT CERTIFICATE**

Validation team

Teruo FUKUDA

Osamu KOBAYASHI

Technical Expert

Makino YAMADA YAMANOSHITA

CURRIKULUM VITAE for Internal Verifiers

Yoshihiro OTSUKA

Shigekazu OKA

Noriyuki KOBAYASHI (Technical Advisor)

APPOINTMENT CERTIFICATE

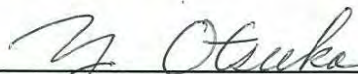
Mr. Teruo FUKUDA

born on 14 March 1942

satisfies the requirements as specified in the JACO CDM Quality Manual and is hereby appointed as

**JACO CDM CDM Lead Auditor and
Validation Team Leader for Uganda Nile Basin
Reforestation Project**

Tokyo, 19 December 2006



Yoshihiro Otsuka

General Manager of the Business Development Division
JACO CDM Co., Ltd.

CURRICULUM VITAE (CV) FOR PROPOSED PROFESSIONAL STAFF

1. Name of Firm: JACO CDM, Ltd.

2. Name of Staff: Teruo FUKUDA / Senior Chief Engineer, Assessment

3. Qualification: CDM lead auditor

4. Employment Record:

2004 - Present: Assessment Division of JACO CDM

- Verification team leader of China Xiaogushan Hydropower Project
- Validation team leader of Uganda Nile Basin AR Reforestation Project
- Verification team leader of “e7 Bhutan” CDM project
- Validation team member of Zafarana Windpower Project
- Validation team leader of “Fushun AN Plant “ CDM project
- Validation team sub-leader of “e7 Bhutan” CDM project
- Verification team leader of domestic GHG emission assessment projects

2002 - 2004: Technical Advisor of Japan AE Power Systems Corporation

1998 - 2002: Director and manager of Environmental department, Japan Electrical
Manufacturers Association

1967 - 1998: Hitachi, Ltd. Head Office

5. Work Undertaken that Best Illustrates Capability to Handle the Tasks Assigned:

- Verification e7 Bhutan project: acted as a leader and made a verification report
- Verification of China Xiaogushan Hydropower Project: acted as a leader
- Validation of “Energy Recovery Project from Multistage Combustion treatment of Off-gas and Wastewater of the AN Plant of Fushun Chemical Company” (Trial project sponsored by Government of Japan, MOE): Acted as a validation team leader
- Validation of e7 Bhutan project: acted as a sub-leader and made a validation report and registration for EB

APPOINTMENT CERTIFICATE

Mr. Osamu KOBAYASHI

born on 22 February 1947

satisfies the requirements as specified in the JACO CDM Quality Manual and is hereby appointed as

**JACO CDM CDM Lead Auditor and
Validation Team Member for Uganda Nile
Basin Reforestation Project**

Tokyo, 19 December 2006



Yoshihiro Otsuka

General Manager of the Business Development Division
JACO CDM Co., Ltd.

CURRICULUM VITAE (CV) FOR PROPOSED PROFESSIONAL STAFF

1. Name of Firm: JACO CDM, Ltd.

2. Name of Staff: Teruo FUKUDA / Senior Chief Engineer, Assessment

3. Qualification: CDM lead auditor

4. Employment Record:

2007 – Present: Manager of Assessment Division of JACO CDM

2004 - 2007: Assessment Division of JACO CDM

- Validation team member of Uganda Nile Basin AR Reforestation Project
- Determination team leader of Kaliakra Windpower Project in Bulgaria (JI project)
- Verification team member of “e7 Bhutan” CDM project
- Validation team leader of Zafarana Windpower Project
- Validation team leader of “e7 Bhutan” CDM project
- Verification team leader of domestic GHG emission assessment projects

2002 - 2004: Japan Audit and Certification Organization for Environment and Quality

1970- 2002: Fuji Electric Holdings Co., Ltd.

5. Work Undertaken that Best Illustrates Capability to Handle the Tasks Assigned:

- Verification team member of “e7 Bhutan Micro Hydro Power CDM Project”
- Validation team leader of Kaliakra Windpower Project in Bulgaria
- Validation team leader of Zafarana Windpower Project in Egypt
- Validation team leader of “e7 Bhutan Micro Hydro Power CDM Project”
- Verification team leader of domestic GHG emission assessment projects

APPOINTMENT CERTIFICATE

Ms. Makino YAMADA YAMANOSHITA

born on 25 November 1972

satisfies the requirements as specified in the JACO CDM Quality Manual and is hereby appointed as

**Technical Expert for AR-CDM Project for
Validation of Uganda Nile Basin Reforestation
Project**

Tokyo, 19 December 2006



Yoshihiro Otsuka

General Manager of the Business Development Division
JACO CDM Co., Ltd.

CURRICULUM VITAE (CV) FOR PROPOSED PROFESSIONAL STAFF

1. **Name of Firm:** Japan Overseas Plantation Center for Pulpwood
2. **Name of Staff:** Makino YAMADA YAMANOSHITA
3. **Membership of Professional Association:** The Japanese Forest Society
4. **Other Training:**
 - Training course for establishing tropical plantations by JIFPRO in 2002.
 - Capacity Building for AR-CDM project by JIFPRO in 2004
5. **Countries of Work Experience: Japan**
Research Experience in Vietnam, Thailand, Australia, Uruguay, Brazil, Chile, Guyana and South Africa
6. **Employment Record:**
1998 - Present: Researcher / Japan Overseas Plantation Center for Pulpwood

7.

Detailed Tasks Assigned	Work Undertaken that Best Illustrates Capability to Handle the Tasks Assigned
<ul style="list-style-type: none"> -Capacity building on AR-CDM for Vietnamese government and researchers -Develop a small scale AR-CDM project 	<p>Name of assignment or project: The Study on Capability Development for AR-CDM Promotion</p> <p>Year: 2006-2008</p> <p>Location: Vietnam</p> <p>Client: Japan International Cooperation Agency(JICA)</p> <p>Main project features: Capacity building of the Forestry Institute and Forestry University in Vietnam and develop a small scale AR-CDM project in Hoa Binh Province</p> <p>Position held: Experts on AR CDM</p> <p>Activities performed: Lecture in seminars, field research, PDD development and report making</p>
<ul style="list-style-type: none"> -Development of investment model for AR CDM 	<p>Name of assignment or project: Investment Model of AR CDM</p> <p>Year: 2006-2008</p> <p>Location: Japan</p>


<p>-Province information of AR CDM to potential investors</p>	<p>Client: The Forestry Agency of Japan</p> <p>Main project features: Developing a investment model of AR CDM for project developers and investors of the temporary CER</p> <p>Position held: Experts on AR CDM</p> <p>Activities performed: Investment analysis and report making</p>
<p>-Providing guidelines for developing AR- CDM project</p> <p>-Providing basic information of AR-CDM to investors and developer in Japan</p>	<p>Name of assignment or project: Technical guidelines for developing AR-CDM project</p> <p>Year: 2003-2008</p> <p>Location: Vietnam, Indonesia, Uruguay</p> <p>Client: The Forestry Agency of Japan</p> <p>Main project features: Making guidelines for the developer of AR-CDM project</p> <p>Position held: Experts on AR CDM</p> <p>Activities performed: Field research and report making</p>
<p>-A feasibility study of AR CDM on the industrial plantation sites for pulpwood production</p>	<p>Name of assignment or project: Model project for AR-CDM and JI</p> <p>Year: 2002-2004</p> <p>Location: Vietnam, Australia</p> <p>Client: Japan Paper Association</p> <p>Main project features: Using industrial plantation sites in Australia and Vietnam as a case study, the models are developed with different baselines and tree growth patterns.</p> <p>Position held: Experts on AR CDM</p> <p>Activities performed: Field research and report making</p>

<p>-Evaluation of the potential carbon stock in the industrial plantation for pulpwood</p>	<p>Name of assignment or project: Evaluation of Carbon Accumulation in Industrial Plantation for Pulpwood</p> <p>Year: 1998-1999</p> <p>Location: Vietnam, Australia, Chile, India</p> <p>Client: Ministry of Economy, Trade and Industry</p> <p>Main project features: Evaluating the Carbon stock in the industrial plantations for the future carbon trading and biomass energy utilization.</p> <p>Position held: Experts on Forest Ecology</p> <p>Activities performed: Field research, analysis in laboratory and report making</p>
--	---

CURRICULUM VITAE (CV) FOR PROPOSED PROFESSIONAL STAFF

1. **Proposed Position :** CDM Internal Auditor, Project manager
2. **Name of Firm:** JACO CDM., Ltd.
3. **Name of Staff:** Yoshihiro OTSUKA
4. **Date of Birth:** January 27, 1948 , **Nationality:** JAPAN
5. **Education:** Graduated from Faculty of Engineering, Chemical Engineering, Chiba University in 1970
6. **Qualification:**
CDM Lead Auditor
JRCA accredited Quality Auditor
CEAR accredited Environment Auditor
7. **Countries of Work Experience:** Japan, USA
8. **Languages:** Mother language: Japanese
Other language: Good in speaking, reading and writing in English
9. **Employment Record:**
2003 – Present: Director and General Manager of JACO CDM
2002 – 2003: Director of JACO Management System Co. Ltd.
1997 – 2002: Director of Tokai Branch, SONY Human Capital Corporation
1994 – 1997: Director of SONY Display Tube Co. Ltd. USA
1983 – 1994: Project Leader of “32 inches CRT”, SONY Inazawa Factory
1979 – 1983: SONY San Diego Factory, USA
1970 – 1979: SONY CRT Tube Manufacturing Division
10. **Detailed Tasks Assigned (Proposed)**
CDM Internal Auditor, Project manager for Capacity Building Project
11. **Work Undertaken that Best Illustrates Capability of Handle the Tasks Assigned:**
Planning, administration and dispatch of instructors for validator and verifier 5days course sponsored by METI (Japanese Government) (In 2004, 2005 and 2006, 3 times)
12. **Certification:**

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience. I understand that any wilful misstatement described herein may lead to my disqualification or dismissal, if engaged.

 Date: June 13, 2006

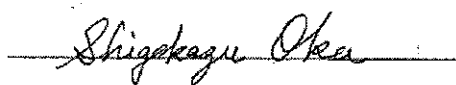
Full name of authorized representative: Yoshihiro OTSUKA

CURRICULUM VITAE (CV) FOR PROPOSED PROFESSIONAL STAFF

1. **Proposed Position:** Internal verifier
2. **Name of Firm:** JACO CDM, Ltd.
3. **Name of Staff:** Shigekazu OKA
4. **Date of Birth:** January 02, 1945 **Nationality:** Japan
5. **Education:** Graduated from Faculty of Engineering, Tokyo University in 1968
6. **Qualification:** manager in charge of pollution control, health administer, health controller in health engineering, RST Trainer, CEAR accredited Environmental lead auditor (A 1658)
7. **Membership of Professional Associations:** Full member of Japan Society of Mechanical Engineers
8. **Countries of Work Experience:** Japan
9. **Languages:** Mother language: Japanese
Other languages: Good in speaking, reading and writing in English
10. **Employment Record :**
 - 2004 - Present: Manager of Assessment Division of JACO CDM
 - Verification team leader of domestic GHG emission assessment projects
 - 2000 - 2004: Japan Audit and Certification Organization for Environment and Quality
 - 1968 - 2000: Hitachi, Ltd.
 - *The manager of Production Technology Department
 - *Lead the operation of EMS
 - *Engaged in development of the elemental technology of new series, development of automation of production facilities and the rationalization of refrigerators, etc.
11. **Detailed Tasks Assigned:** Internal Verifier
12. **Work Undertaken that Best Illustrates Capability to Handle the Tasks Assigned:**

Validation of "Introduction of Gas turbine co-generation system" to Semiconductor Company Nagaoka Factory of Matsushita Electric Industrial Co., Ltd. (Trial Project sponsored by Government of JAPAN, MOE)
13. **Certification:**

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience. I understand that any wilful misstatement described herein may lead to my disqualification or dismissal, if engaged.



Date: 2 April 2007

Full name of authorized representative: Yoshihiro Otsuka

3F. CURRICULUM VITAE (CV) FOR PROPOSED PROFESSIONAL STAFF

Proposed Position: Technical Advisor

Name of Firm: Law School of Nihon University
Nihon University

Name of Staff: Noriyuki KOBAYASHI

Profession: Professor of Law School, Nihon University
Professor of Bioresources Science of Nihon University

Date of Birth: August 9, 1940

Years with Firm/Entity: one year

Nationality: Japan

Membership in Professional Societies:

Expert Reviewer of the IPCC Fourth Assessment Report
Member of Government Committees related with CDM, Forest Sink
Member of Committee of the Technical Advisory Board of Bio Carbon Fund

Detailed Tasks Assigned: Technical Advisor for AR CDM

Key Qualifications: Ph.D.

Education:

1964 Graduated from Hokkaido University, Agriculture Department, Forestry
2000 Ph.D., (Hokkaido University)

Employment Record:

2004 Professor of Law School, Nihon University
Professor of Bioresources Science of Nihon University
2003 Retired from Sumitomo Forestry Co., Ltd.
2001 Chief Research Fellow of Sumitomo Forestry Co., Ltd.
1998 Supervisory Officer of Sumitomo Forestry Co., Ltd.
1991 General Manager of Green Environmental Department of Sumitomo Forestry Co., Ltd.

1987 General Manager of Overseas Department of Sumitomo Forestry Co., Ltd.
1964 Entered to Sumitomo Forestry Co., Ltd.

Part Time Lecture:

Tokyo University of Agriculture and Technology
Shinsyu University

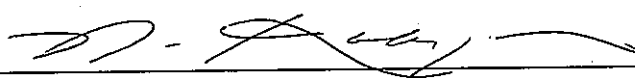
Languages:

Mother Language: Japanese

Other Languages: Excellent in speaking, reading and writing in English

Certification:

I, the undersigned, certify that to the best of my knowledge and belief, these data correctly describe my qualifications, my experience, and me.



[Signature of staff member and authorized representative of the firm]

Date: 13, DEC, 2005
Day/Month/Year

Full name of staff member: Noriyuki Kobayashi

Full name of authorized representative: Yoshihiro Otsuka

