

Strengthening tenure security and community participation in forest management in Kibaale district, Uganda

INSIGHTS FROM PARTICIPATORY PROSPECTIVE ANALYSIS

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Key messages

- Participatory Prospective Analysis (PPA) proved
 to be effective for encouraging collective reflection
 to identify threats to forest tenure security and to
 develop ways for improving local people's tenure
 security over forests in Kibaale district in Uganda's
 Western Region. A PPA exercise carried out in
 2015–16 brought together stakeholders from district
 government, civil society, local communities and the
 Bunyoro kingdom, as well as politicians, to discuss the
 past, present and future of forest tenure security in
 the district. As the forest and land sectors are maledominated, a separate women-only PPA workshop
 was organized to gather women's perspectives.
- While the mixed group and women-only PPA participants identified four common key influences on forest tenure security, they also each identified four unique influences. The four commonly identified influences were the role played by politicians, the implementation capacity of key stakeholders (particularly at district level), the implementation and enforcement of forest laws and policies, and population dynamics, including the influx of migrants. The four influences identified only by the women's workshop were access to adequate funding for reform implementation, the level of security in the district, and the role of NGOs, particularly those working to advance and defend women's forest tenure rights. Influencing factors identified only by the mixed group were the knowledge, attitudes and participation of local people in implementing forest tenure reforms, and the extent of forest tenure rights actually granted to communities.
- Stakeholders identified two desirable and three undesirable scenarios to envision the potential forest tenure security situation in Kibaale in 2025. Desirable scenarios involved participatory formulation and implementation of forest policies and plans, clear tenure rights, adequate funding for implementing forest tenure reforms, well-informed local communities, and corruption-free political leadership. Undesirable scenarios were characterized by insecure forest tenure rights due to immigration, and unfair enforcement of forest laws in favour of powerful, well-connected immigrants over indigenous peoples.
- The PPA then identified potential actions to be undertaken by various stakeholders to improve access to local forest tenure rights over the next decade. These included: the dissemination of laws, policies and technologies to communities and their political leaders; increased community involvement in resource planning and implementation (including the enforcement of rules); and the development of policies and laws to address problems caused by immigration.
- The women-only PPA workshop viewed as a major threat the prospect of men taking over trees that women have planted (due to discriminatory cultural practices that prevent women from owning land and trees). They also identified factors that could undermine forest tenure security over the next decade, including the lack of funding to invest in tree planting and for acquiring their own land, lack of access to markets, political instability, and limited NGO influence.

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Introduction

Forest users and other forest stakeholders in Kibaale district, western Uganda (Figure 1) wanted to know how the implementation of forest tenure reform could be improved, to enable local communities to secure tenure rights in their local forests. In response, the Center for International Forestry Research (CIFOR) and partners in Uganda organized a multi-stakeholder consultative process known as Participatory Prospective Analysis (PPA). PPA is a scenario-based collaborative approach that allows participants to learn and share information, and jointly solve problems (Bourgeois and Jesus 2004). PPA is a research and engagement activity implemented under the CIFOR-led Global Comparative Study (GCS) on the implementation of tenure reform for and by forest-dependent communities.

This flyer presents both the PPA process and the findings of the analysis, which covers key "driving forces" (influences) affecting forest tenure security in the district, possible future scenarios, and priority actions that can be undertaken to attain desirable future scenarios.

Kibaale district

Kibaale district spans an area of 440,000 hectares (ha). In 1990, forests covered 118,000 ha of this, making up 27% of total land area. By 2005, forest coverage had rapidly reduced to 56,000 ha, about 13% of total land area. Forest degradation continues to reduce this percentage, caused mainly by large-scale conversion of forest to other land uses, especially agriculture. Most of the forests – 80% – are found on private land, which are generally owned under the "mailo" land tenure system, a system that came into effect in 1900, and the basic unit of which is a square mile. The remaining forests are Central Forest Reserves under the management of the National Forest Authority (NFA) a body mandated by government to manage its forests (NEMA 2008). In Kibaale district, local people's rights over forests are threatened by a recent influx of migrants, increasing demand for forest products and land, conflicts over access to and ownership of forests, ineffective forest and land monitoring by responsible authorities, ineffective enforcement mechanisms, and a growing population. In 2003, the government enacted and began to implement the National Forestry and Tree Planting Act (NFTPA). This Act introduced different types of forest management that granted different degrees of rights to people living in and around forests, including Collaborative Forest Management on Central Forest Reserves, Community Forest Management, Private Forest Ownership and Customary Forest Management. NFTPA reforms were aimed at more sustainable management of Uganda's forests, securing tenure rights of forest-adjacent communities, and improving their livelihoods, following decades of unchecked deforestation and forest degradation. PPA was used to provide a forum for multiple stakeholders to reflect on the current status of tenure and the rights of local communities, nearly 15 years after the NFTPA

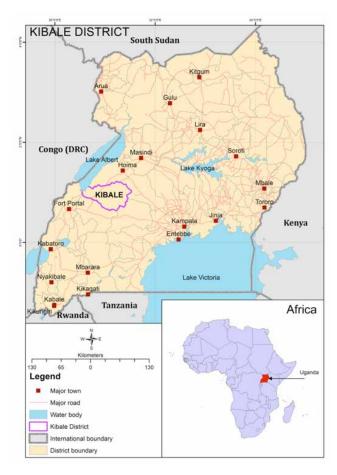


Figure 1. Location of Kibaale district, Uganda (Source: Dennis Ojwang 2017)

came into force, and against the backdrop of rising challenges to forest conservation and management.

Participatory Prospective Analysis

The PPA process involves working through the following five sequential steps:

- 1. Defining the "system," which includes the issue under consideration, the area covered, when the desired situation should be attained, and by whom.
- 2. Identifying and defining the "forces of change" that affect the system.
- 3. Selecting the key "driving forces" of forest tenure security that can have most effect on the system.
- 4. Formulating possible future scenarios that driving forces could lead to.
- Developing action plans to promote desirable scenarios, and to avoid or mitigate undesirable scenarios.

The PPA process was conducted through three workshops held between July 2015 and January 2016. The first three-day workshop covered steps 1 and 2, while the second covered 3 and 4. The final one-day consultative workshop recapped findings, and developed action plans towards attaining desirable scenarios, and mitigating or avoiding undesirable scenarios (step 5). Although a significant number of women took part in these workshops, their actual



participation in the PPA process was very low, as the workshops were dominated by male participants; this reflects typical male-dominated decision-making in Uganda's forest and land sectors. Thus, an additional women-only PPA workshop was organized covering steps 1 and 2, to capture women's concerns and experiences and integrate them into the process.

Workshops were attended by stakeholders representing district-level government, the Department of Natural Resources (Lands, Forestry, Water and Environment), the Department of Gender, local and national NGOs, academia, religious and cultural institutions, and local communities. There were 28 participants (16 men and 12 women) in the mixed group PPA workshops, while there were 18 participants (14 men and 4 women) for the one-day consultative workshop. Fifteen women attended the women-only PPA workshop.

PPA results

Defining the "system"

PPA participants defined the system as "securing forest tenure security by all stakeholders in Kibaale district by the year 2025." Forest tenure security was defined as "local people's rights being guaranteed into the foreseeable future and local people perceiving that these rights are secure." Focusing on the next 10 years provided a duration long enough to realize desired changes in forest tenure security, yet short enough to ensure realistic foresighting, i.e. looking ahead to anticipate future trends. However, women-only PPA stakeholders defined the system for the next five years only (to 2020), contending that stakeholders would see tenure as a less urgent issue if given a longer timeframe to reform it.

Identifying and defining "forces of change"

The mixed group workshop identified 30 forces of change, while the women-only workshop identified 27. The forces of change were then categorized into internal forces (28 from the mixed group and 26 from the women-only PPA) and external forces (2 from the mixed group and 1 from the women-only PPA). Internal forces are those over which stakeholders have more control, while external forces, such as climate change, are those over which stakeholders have little or no influence. Internal forces of change were then

categorized as social (e.g. gender equity), technical (e.g. land use and management, and the capacity of local leaders), environmental (e.g. forest resources use and harvesting technologies), economic (e.g. access to financial resources), and political forces (e.g. political will and support, and forest governance).

Determining the driving forces of forest tenure security in Kibaale district

Both the mixed group and women-only stakeholders identified eight key driving forces of forest tenure security in the district (Table 1). Both groups identified the following:

- Political will and support from local and national politicians.
- Implementation and enforcement of forest laws and policies.
- Technical capacity of key stakeholders, particularly at district level, for effective implementation of forest tenure reforms.
- Population dynamics, including migration and resettlement policies in the district.

Driving forces identified uniquely by the mixed group were:

- Knowledge and attitudes of local people towards forest tenure reforms.
- Extent of property rights and access to forest benefits
- Community participation in forest management.

Driving forces identified uniquely by women-only workshop participants were:

- Access to financial resources, defined as women's ability to access funds from banks, savings, credit groups and other sources, for undertaking activities that secure women's forest tenure rights and improve their livelihoods.
- The level of security in the district, defined as the state of peace, stability and the absence of conflicts, which women argued are crucial for defending women's forest tenure rights.
- The influence of NGOs, defined as the number and extent of involvement of NGOs in implementing forest tenure reforms, particularly those working on advancing and defending the rights of women to forests and forest products.

Table 1. Selected key "driving forces" of forest tenure security in Kibaale district

DRIVING FORCES	DEFINITIONS AND IMPLICATIONS OF ABSENCE OF THE DRIVING FORCES	
People's awareness of and attitude towards forest tenure reform	 The level of understanding of forest tenure rights and reforms, and people's opinions and perceptions of forest tenure reform. People's knowledge and attitudes towards forest tenure reform influence their decisions to participate (or not) in activities aimed at securing tenure rights. 	
Extent and nature of property rights and access to forest benefits	The various types of rights granted to local forest communities, and the level of clarity regarding who holds these rights (access, management, ownership, withdrawal, exclusion, alienation, etc.). • People with limited rights tend to lack motivation to be involved in sustainable forest management.	
Enforcement of forest laws and policies	The extent to which forest laws and policies are implemented and monitored, and the laws and legislation are clear and guaranteed. • Weak enforcement of laws and policies affects the security of local people's tenure rights, especially in situations where elites and powerful people contest with local people for land.	
Community participation in forest management	The level of involvement of forest-adjacent communities in making and implementing forest laws and policies. • Low community involvement results in laws and policies that do not adequately protect the rights and interests of forest-adjacent communities, particularly women and other marginalized community groups.	
Political will and support in forest governance	 The willingness and ability of politicians across levels of government to promote the implementation of forest tenure reforms. When politicians' interests and actions are not aligned with efforts for securing forest tenure rights, they will not mobilize communities and push for plans and budgets favourable to implementing forest tenure reforms. 	
Migration and resettlement policies	s that regulate migration and resettlement. The absence of such laws results in land-related conflicts that affect the tenure security of residents, is migrants move into the district in search of land.	
Capacity of stakeholders	The knowledge, skills and ability of key technical staff, local leaders and state and non-state actors to support communities in securing forest and land tenure rights. • This is an important factor for the success of multi-stakeholder forest management initiatives, such as recently introduced forest tenure reforms that involve both state and non-state actors.	
Harvesting and processing technologies	 The types of tools, mechanisms and skills used to obtain forest products. This is an important precondition under collaborative forest management between communities and the NFA. The NFA can revoke the rights of communities that use prohibited technologies. 	

Each PPA workshop identified one key driving force that appears to have no direct influence on forest tenure security, but is a serious concern for forest sustainability in Kibaale district. The women-only workshop identified "markets for forest products and industrialization," while the mixed group workshop identified "forest product harvesting and processing technologies." The stakeholders argued that sustainable forest management, which includes use of appropriate harvesting technologies, is an important precondition for stakeholder involvement in collaborative forest management in the district. The government, through the National Forest Authority (NFA), has the power to revoke any or all rights granted to forest-adjacent communities if they use prohibited harvesting and processing technologies, e.g. use of chainsaws for converting logs into timber. The women's concern around market access reflects interactions between tenure security, economic empowerment and incentives for sustainable resource use and management.

Development of future scenarios

Participants in the PPA then identified five possible future scenarios (Box 1). These scenarios cover both privately-owned land and forests, and state-owned Central Forest

Reserves, some of which are jointly managed with organized community groups in Kibaale district.

Scenarios 1 and 5 represent the most desirable situations, where local people's forest tenure rights are well protected due to good forest governance. While Scenario 1 emphasizes the role of political leadership in coordinating and facilitating forest tenure reforms, Scenario 5 emphasizes the role of empowered local people with adequate resources and skills. These desirable scenarios are characterized by well-resourced state actors implementing and enforcing policies and laws in a corruption-free environment with good political leadership, and empowered local communities collaborating with other actors to secure their forest tenure rights.

Scenarios 2 and 4 present the undesirable situations of local people having insecure forest tenure rights. Scenario 2 is the opposite of Scenario 1, being characterized by an absence of relevant policies and laws, resulting in poor planning and implementation of reforms. Scenario 4 represents the opposite of Scenario 5, with a lack of government support for communities resulting in disempowered communities who cannot implement forest tenure reforms, leading to government denying or revoking communities' forest and land rights.

Scenario 3 represents a "rupture" scenario, which in the PPA process refers to a scenario that is neither desirable nor undesirable, and possesses some features of both. In this scenario, cultural leaders from the Bunyoro kingdom, with forest governance rights and powers covering seven districts (including Kibaale), take charge of forest and land governance in the district, following failure by other stakeholders to address the main threats to local people's forest tenure rights. While the forest tenure rights of people belonging to the kingdom will be well protected under this scenario, other people's forest tenure rights in the district may be at risk.

Overall, the scenarios demonstrate the importance of effective forest governance for securing local people's forest tenure rights. Which scenario actually emerges will depend on the behaviour and capacity of local people, political leaders, cultural leaders and district-level government, as well as the ability and willingness of stakeholders to address threats to forest tenure security, such as rapid population growth caused by immigration, increasing demand for land leading to conflicts over forests and land, and the issue of absent landlords.

Box 1. Future forest tenure security scenarios in Kibaale district identified through PPA

SCENARIO 1. WELL-MANAGED AND CONSERVED FORESTS FOR IMPROVED LIVELIHOODS

Scenario 1 is an ideal forest governance situation, with political leadership that applies participatory consultative processes to implement forest tenure reforms to safeguard local people's rights; in so doing, it improves local livelihoods and forest conditions. This scenario sees:

- The existence of transparent, accountable and informed political leadership.
- All stakeholders, particularly cultural leaders and women, involved in formulating forest tenure-related laws and policies.
- Adequate and well-trained government technical staff, with sufficient government funding to effectively implement reforms.
- Community members with adequate knowledge of and positive attitudes towards forest tenure reforms.
- Community members who all know and exercise their forest tenure rights (access, management, ownership, withdrawal, exclusion, alienation, etc.) with special emphasis on enabling women to enjoy these rights.
- Laws enforced in a corruption-free environment by an adequate number of well-facilitated law enforcement officers, without negative political interference.
- State actors providing quality forest tenure rights and related services to communities, building their capacity for equitable participation in sustainable forest management.

SCENARIO 2. TOTAL COLLAPSE OF FOREST TENURE SYSTEMS IN KIBAALE

This scenario envisions local communities with insecure forest tenure rights as a result of failure by stakeholders to address factors that threaten forests and forest tenure rights of local people, including the influx of migrants, forest and land conflicts, and unsustainable forest harvesting. This scenario sees:

- A lack of clear policies and laws to implement forest tenure reforms, resulting in poor planning, financing and implementation of reform activities.
- Politicians taking advantage of the lack of planning for migration and resettlement to attract more migrants into the district as potential voters, without caring about the effect on resident tenure rights or forests.
- Rapid population growth, resulting in more forest clearance, and forest and land conflicts.
- Underfunded and corrupt forest officers conducting selective evictions, with economically stronger, politically-connected migrants not being evicted, while powerless native residents are forcefully removed from their places of residence.
- Disempowered and disorganized communities failing to participate in implementing reforms and instead engaging in "survival of the fittest" behaviours, whereby those who can, clear forests for their own benefit without caring about the rest of their communities.

SCENARIO 3. CUSTOMARY CHIEFS WORK TO RESTORE TRADITIONAL FOREST TENURE REGIME AND PEOPLE'S FOREST RIGHTS

The third scenario envisions a more proactive traditional or customary forest tenure regime as a result of failed policies, the uncontrolled influx of migrants, increasing forest encroachment and local conflicts, and inadequate stakeholder involvement in planning and implementing forest tenure reforms. The scenario is characterized by the existence of strong traditional and cultural institutions that regulate people-forest relations.

SCENARIO 4. DISENFRANCHISED COMMUNITIES

Scenario 4 envisions a situation whereby government revokes all forest tenure rights granted to communities following the failure of communities to honour their responsibilities. This scenario sees:

Box 1. Continued

- Communities with limited and/or conflicting information about forest tenure rights.
- · Laws and policies (e.g. on migration and resettlement) that are unclear and poorly enforced.
- Limited district government support for communities to implement forest tenure rights.
- · Corrupt forest officers who carry out tenure-related work without transparency and accountability.
- Government failing to involve communities in managing forests and subsequently revoking community forest rights, thus denying communities access to forest benefits.
- Political interference in forest management and tenure rights, due to politicians lacking adequate information about forest tenure security.

SCENARIO 5. LOCAL COMMUNITIES LEAD FOREST TENURE REFORM IMPLEMENTATION

Scenario 5 envisions the forest tenure rights of local people being well protected as a result of proactive and innovative actions by empowered local people, who collaborate with other stakeholders to plan and implement forest tenure reforms. This scenario sees:

- Local people's forest tenure rights being clearly documented and defined in laws and policies, aligned to their beliefs and upholding their norms and values.
- Gender equity being considered in rights implementation.
- A corruption-free environment, particularly among government officials.
- An adequate number of well-facilitated law enforcement officers working to protect people's forest tenure rights and forests.
- Planning and implementing of forest tenure reforms taking place through multi-stakeholder partnerships with active community involvement, free from negative political interference.
- Private Forest Owners and communities adjacent to forest reserves having access to adequate resources and skills to implement innovative and eco-friendly forest management technologies and activities.
- Development and implementation of customized resettlement plans for migrants resulting in proper land use and well-demarcated boundaries for migrant camps, and resettlement areas on non-forested land. This enables forest regeneration and reduces the threat to local communities' forest tenure security.

The identification of action plans

The PPA workshops concluded with sessions for action planning to promote desirable scenarios and avoid undesirable scenarios. Participants reflected on key driving forces, proposed possible actions and discussed the feasibility of actions. This also provided an opportunity for participants to eliminate less feasible activities and challenge the practicality of others. For instance, while it was deemed important to ensure more funding to support forest tenure reforms in the district, representatives from the District Planning Office cautioned that recommendations

that involved increasing local government funding from central government would require changes and policies at a higher level than district stakeholders can influence. They therefore stressed actions that could be undertaken by district-level government and other stakeholders. Tables 2 and 3 present actions that stakeholders proposed to address the eight drivers of tenure security. These actions are generally relevant to forest areas under co-management, Collaborative Forest Management and most Private Forest areas.

Table 2. Recommended actions from the mixed group PPA

KEY DRIVING FORCES	RECOMMENDATIONS	RESPONSIBLE AGENCIES
People's awareness of and attitudes towards forest tenure reform	 Intensive community involvement in planning and implementation. Disseminate translated policies and laws through multiple media (public meetings, radio, TV and printed materials) and at environment days. 	Department of Natural Resources; Community Development Offices; NGOs; District Information Office
Extent of property rights and access to forest benefits	 Incentivize Collaborative Forest Management (CFM) groups and Private Forest Owners (PFOs) to do conservation work. Provide clear guidelines for cultural institutions on forest reserve conservation. Clarify the location of forest reserve boundaries. 	National Forest Authority; District Forest Services; District Community Development Offices Department of Natural Resources, Lands Management Office
3. Enforcement of forest laws and policies	 Enhance the enforcement capacity of state agencies. Evict illegal settlers according to the law. Introduce incentives for involving community in enforcing forest laws and rules in Central Forest Reserves. Incentivize PFOs not to convert forests to other land uses. 	Office of the Chief Administrative Officer; National Forest Authority; NGOs Forest Sector Support Department (FSSD) through REDD+
Community participation in forest management	 Build the capacity of local communities on forest management. Encourage communities to use adaptive collaborative management to manage forests allocated to them. Introduce incentives for communities who conserve Private Forests, e.g. by supporting alternative sources of incomes. 	District Forest Services and Community; Development Office; NGOs

Table 2. Continued

KEY DRIVING FORCES	RECOMMENDATIONS	RESPONSIBLE AGENCIES
5. Political will and supportive forest governance	 Run induction courses for leaders on the role of forestry in rural development. Sensitize political leaders on their roles in forest management and conservation. 	Department of Natural Resources; District Forest Office
6. Migration and resettlement policies	 Evict all encroachers from Central Forest Reserves. Develop and implement a migration and resettlement plan customized to the needs of the district. 	National Forest Authority; The Court District Forest Services; Environmental Police; Local Council; Department of Natural Resources, Lands Management Office
7. Capacity of stakeholders	 Allocate adequate budgets to the forest sector to support forest management activities across the different collective tenure systems. Conduct exchange visits for stakeholders to enable them to learn and share experiences from other settings. 	District Council; Office of the Chief Administrative Officer; District Planning Office; District Community Development Office; NGOs
8. Harvesting and processing technologies	Identify and disseminate appropriate forest product harvesting and processing technologies for communities to use.	National Forest Authority; District Forest Services; Private sector

Table 3. Action plan from the women-only PPA workshop

SELECTED FORCES	PROPOSED ACTIONS	RESPONSIBLE AGENCIES
1. Political influence	 Encourage and support women to stand for directly elected posts to increase their numbers in councils and Parliament, and their voice in decision-making. Increase the number of women serving on village councils by increasing the affirmative action proportion (currently set at 40%). 	District Community Development (Gender) Office; Civil Society Organizations (CSOs); Women leaders at all levels District Council; District Planning Office
Implementation and enforcement of government policies and programs	 Conduct refresher training for local government staff working with the communities in areas of natural resources management, especially on forest tenure reforms. 	National Forest Authority; District Forest Office; District Community Development (Gender) Office; CSOs
	 Support and incentivize women (individuals and groups) to plant trees by providing seeds and seedlings. 	National Forest Authority; District Forest Office; CSOs; Ministry of Agriculture; Operation Wealth Creation Project
	 Encourage women to get involved in managing their local forests and seek ways to increase their influence on forest management decision-making and in benefitting from forests. 	District Community Development (Gender) Office; CSOs
3. Technical capacity	 Conduct training and exposure visits for stakeholders on enabling local people to access forest tenure rights under collaborative and private forestry. Increase the budget allocated to local governments for forest tenure reform activities. 	District Forest Office; District Community Development (Gender) Office; CSOs; Ministry of Finance, Planning and Economic Development
4. Access to financial resources	 Government should create a fund to implement activities that will secure local people's forest rights; e.g. support the registration process for Private Forests. 	Ministry of Finance, Planning and Economic Development; Micro Finance desk; District Planning Office; District Local Council
	Orient local women on how to acquire funds for undertaking forest management and protecting their forest tenure rights.	District and Sub-County Community Development Offices; Savings and Credit Cooperative Societies (SACCOS)
5. Level of security	Government should restrict the entry and use of unauthorized people into Central and Private Forest Reserves.	Resident District Commissioner (RDC); District Security Office (DISO); National Forest Authority
	All levels of political leaders should spend no longer than the maximum number of term limits allowed in their positions.	Members of Parliament and other local politicians, including councilors
6. Influence of NGOs	 Create an enabling environment to attract more NGOs that will assist women to secure their forest tenure rights, including by encouraging more collaboration between district government officers and NGOs. Create cordial working relationships between district-level government and NGOs. 	Office of the Chief Administrative Officer; District Local Council; District Community Development (Gender) Office

Conclusions

The PPA process provided a suitable platform for multiple stakeholders to reflect on past and current implementation of forest tenure reforms. The transparent, guided discussions provided stakeholders with the opportunity to openly discuss actions by which actors are facilitating or hindering reform implementation. Stakeholders articulated what is needed to be done to improve the situation:

- Representatives of Kibaale's local communities believed that key to forest tenure security is their involvement in managing Central Forest Reserves, as well as being granted titles to forest land they occupy but that is owned by absent landlords, something that affects 80% of all land in the district. They equally felt that building their capacity for sustainable forest management was key to improving reform implementation.
- NGO representatives and religious leaders believed that good governance with minimum political interference and enhanced law enforcement were key to forest tenure security.
- Government officials believed that good governance, local people's positive attitudes towards reform measures, and political will to support reform implementation will lead to increased funding for forestry activities, and an increased number of forestry technical staff, which in turn will improve forest tenure security for communities in Kibaale district.
- The women emphasized the importance of improving access to financial resources and enhancing the participation of NGOs in activities aimed at securing their rights. They also recommended increasing the number of women in leadership roles.

The various stakeholders agreed to integrate some of the proposed activities in their implementation plans;

an example of this was the NFA agreeing to continue its work on clear demarcation of Central Forest Reserve boundaries to discourage encroachment and conflicts between users. However, some of the activities requiring central and district government interventions will probably require lobbying before budget increases and new allocations are approved.

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