

Making REDD Work for Communities and Forest Conservation in Tanzania

Proceedings of the Social Impact Assessment Workshop for the Lindi Community-led REDD project conducted at the Novelty Hall, Lindi Town

13th to 17th February 2011



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Background to the project

Making REDD work for communities and forest conservation in Tanzania is a 5 years project. It is a partnership between the Tanzania Forest Conservation Group and the Community Forest Conservation Network of Tanzania (MJUMITA). The project aims to reduce greenhouse gases from deforestation and forest degradation in Tanzania in ways that provide direct and equitable incentives to communities to conserve and manage their forest sustainably.

The project purpose is to demonstrate at local, national and international levels, a pro-poor approach to reducing deforestation and forest degradation by generating equitable financial incentives from the global carbon market for communities that are sustainably managing or conserving Tanzanian forests at the community level. Consequently, the project includes an evaluation and communication component designed to inform project implementation and share lessons learnt with the national and international community. It also focuses on building in-country capacity with regards to REDD at both local and national governmental levels. Building in-country capacity is linked with a strategic advocacy component aimed at forging a smooth path for REDD in Tanzania by engaging in the formulation of REDD frameworks and processes at national and international level.

Implementation is ongoing in two sites. One site is in the Eastern Arc Mountains (Kilosa and Mpwapwa Districts covering 19 villages with 140,000 ha of forest): and includes a mosaic of woodland and high biodiversity submontane and montane forest on village land. The other site is in the Eastern African Coastal Forests (Lindi District: 17 villages 75,000 ha of forest) hotspot and includes areas of woodland and coastal forest also on village land. The project aims to simultaneously deliver social and environmental co-benefits, and to be validated and verified against the Voluntary Carbon Standards (VCS) and the Climate, Community and Biodiversity (CCB) project design standards.

The project intervention logic identifies four (4) project outputs which are;

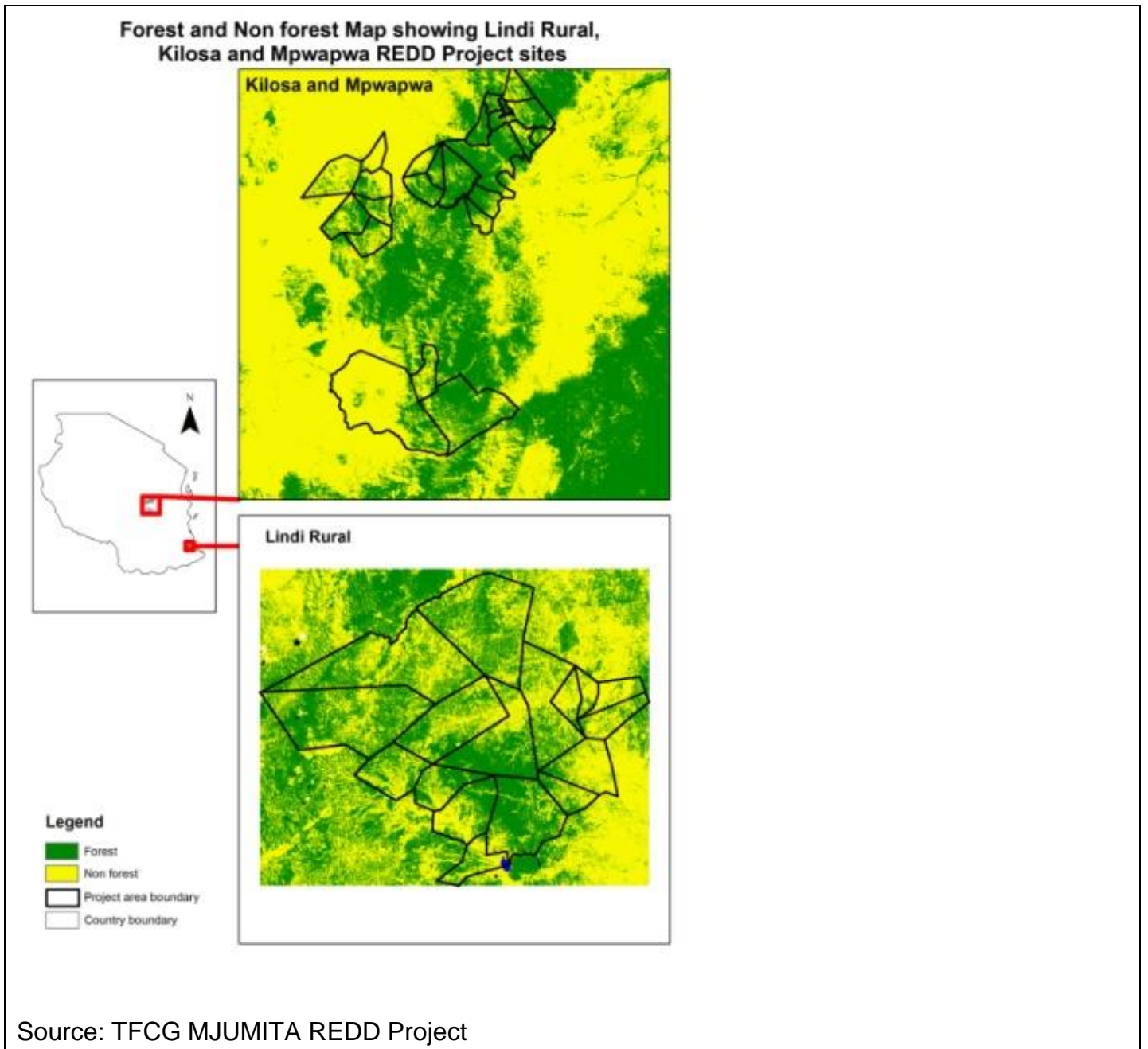
Output 1: Replicable, equitable and cost-effective models developed and tested at the group or community level for REDD on village and government forest land in ways that maximize benefits to communities, forests and the nation

Output 2: Replicable, equitable and cost-effective models developed that are designed to address the drivers of deforestation and forest degradation and to reduce leakage across project sites in ways that build capacity of communities and other stakeholders and provide additional climate change adaptation benefits to participating rural communities.

Output 3: Monitoring, evaluation and documentation processes supported that assess the overall impact of the project at local and national levels and communication of the findings undertaken

Output 4: Advocacy process supported at the national and international levels that promote equitable and effective REDD benefit sharing mechanisms and in particular with regard to forest managers at the community level

Fig 1: Map Showing TFCG MJUMITA REDD Project Area



1) Introduction

This report describes the process and outcomes of a social impact assessment (SIA) workshop that was conducted for the Lindi project site as part of the project "Making REDD Work for Communities and Forest Conservation in Tanzania". The workshop took place from 13th to 17th February 2011 at the Novelty Hall in Lindi Town. This workshop was facilitated by the TFCG and MJUMITA staff following a training conducted by Forest Trends in 2010 on Social impact Assessment for Carbon Projects which detailed a step by step approach of using the Manual on SIA developed by CCB and Forest Trends for Land-based Carbon Projects. The project carefully adapted and adopted the guidelines with the intention of demonstrating best practices and at the same time creating a leaning opportunity for implementing REDD+, the project contextualized the process and underwent a rigorous process for assessing the social impact of REDD.

Participants for this workshop were carefully selected and comprised of women and men representatives from 17 villages. Representatives included village leaders, community communicators, network members, normal farmers, old people youth representatives, women root-tuber collectors, charcoal dealers in the village, herders and herbalists. An average of 5 to 8 representatives per village participated in the workshop. District level representatives from the Planning, Natural Resources, Community Development, and Agricultural departments, politicians also participated. Other participants included representatives from Education department, teachers, NGOs working in Lindi, pilot project representatives from Kilwa and Care Zanzibar, the Forestry and Beekeeping Division, Project Advisory Committee representative from Lindi District and project staff from both Lindi and Dar es Salaam. A total of 66 participants (40 male and 26 female took part in the process), see Annex 1

The facilitators of this Social Impact Assessment Workshop were project staff from TFCG (Nike Doggart, Bettie Luwuge, Nuru Nguya) and MJUMITA (Someni Mteleka) with technical backstopping from Tuyeni Mwampamba.

Main Objectives of the workshop

Social Impact assessments aim to ensure that a project achieves positive social impacts at the same time as ensuring that the negative social impacts are mitigated. In this respect, It was clear the need to bring together a number of stakeholders in order to have a common understanding of the process. The main objectives of the workshop were:

- To validate the results of the village level without REDD project scenarios and project design;
- To identify potential negative social impacts related to the implementation of the project and to find ways of mitigating them
- To identify appropriate and effective means of communication and conflict resolution/grievance procedures in relation to implementation of both the REDD readiness activities and the REDD implementation activities.
- To validate the stakeholder list and identify any additional stakeholders.
- To identify appropriate indicators for monitoring the social impact of the REDD readiness and REDD implementation activities.

It was also necessary to identify if there are other stakeholders in the Project Area who are addressing (or planning to address) the same priority issues in the next 5 to 30 years, and determine whether collaborations could be fostered with those stakeholders to jointly implement strategies. Additionally it was the intention of the project in collaboration with the landscape stakeholders to consciously decide whether the best strategy for the Project is not to address a priority issue either because it is being adequately addressed by other stakeholders, or because it is not appropriate given short- and long-term objectives, and human and financial resources.

Brief description of what is SIA, linkages with CCB project standards

In order to ensure full and effective participation of all relevant stakeholders in the project, a participatory approach to social impact assessment was adopted. This requires communities in the project area to

evaluate the potential impacts of the project and anticipate what impact it might have on their lives, and the strategies needed to enhance positive impacts and mitigate or remove negative impacts.

The CCB Standards require that projects generate net positive impacts for local communities. The CCB Standards require:

- An accurate description of the conditions at the start of the project;
- A projection of how those conditions would change, if the project were never implemented;
- A description of the likely outcomes after the implementation of the project
- A justification of how project activities are likely to bring about the expected changes;
- Design and implementation of a credible system for monitoring social impacts – the community monitoring plan.

Thus, the CCB Standards require that the project proponents describe the socio-economic condition of communities and make projections about how this condition will change with and without the influence of the project. To be approved against CCB Standards, the “with-project scenario” must show an improvement over the “without-project” scenario.

Methodology

This landscape meeting was preceded by a series of 3 days participatory planning workshops in each of the 15 villages in Lindi facilitated by the project team and a District representative. During the village meetings the project team worked with communities to describe the baseline conditions; to identify stakeholders; to describe a social reference scenario; and to initiate the development of the causal model including developing visions of the future and identifying strategies to achieve those visions. A number of steps were still remaining including further elaborating the causal model / theory of change; identification of social impacts and mitigation measures; identification of monitoring indicators; development of a community monitoring plan; and data analysis, reporting and stakeholder verification and agreeing on a grievance mechanism.

In these meetings, the same category of representatives of stakeholders (farmers, VNRC members, Village Council leaders, herbalists, women, youth, elders, primary school teacher, ward representative, charcoal producers and a district representative) participated. This was based on the initial stakeholder analysis developed by the project (Forrester-Kibuga and Samweli 2010). In preparing for the landscape level meetings it was necessary to synthesise the results of the village level meetings so that they could be presented to a broader range of stakeholders for validation and elaboration. These results were complemented by the findings of the stakeholder and deforestation driver analysis.

Participatory methodologies were used to collect data and elicit comments from the participants. All discussions, presentations and materials were in Swahili as this is the language that communities had stated that they prefer to use for communicating with the project. During the landscape meeting, a number of participatory methods were employed in sharing and involving all the participants. Short presentations made by the facilitators especially while introducing a concept or discussion. Small group discussions were carefully guided by a set of questions that were prepared by the facilitators. These were followed by question and answer sessions, gallery walks and group discussions during the validation and prioritization process.



Photo 1. Gallery walk during the Lindi SiA workshop.

2) Workshop Proceedings Day 1

Session 1. Introductions

This session involved setting the scene, self introductions and going through the participant expectations and norms for the 4 day period.

Day one aimed at letting the participants understand the aim of the project, the roles of the partners; the progress / achievements of the project; and the policy context in terms of what REDD is. It was also intended to ensure that all participants had a good understanding of the visioning and social impact assessment work that has been carried out at village level by the project

The project manager made a presentation providing an overview of the project. The presentation summarized the following information on the project Making REDD Work for Communities and Forest Conservation in Tanzania:

Objectives

- Aim of the presentation: for the participants to understand the project and the responsibilities of various stakeholders in the implementation of the project; and to learn about the progress and achievements of the REDD project in general.
- Participants to understand the different activities in the SIA process that have been undertaken in the villages.

About the project

- Project goal is to reduce greenhouse gas emissions from deforestation and forest degradation in Tanzania in ways that provide direct and equitable incentives to rural communities to conserve and manage forests sustainably.
- Project purpose is to demonstrate at local, national and international levels; a pro-poor approach to reducing deforestation and forest degradation by generating equitable financial incentives from the global carbon market for communities that are sustainably managing or conserving Tanzanian forests at a sub-national level

Overview and location

REDD is a five years project (2009 – 2014). Partnership project between TFCG and MJUMITA. Other collaborating institutions includes Clinton Foundation, Care Tanzania, WWF, Forest Trend, TNRF, SUA, IRA, RECOFCT), Local Government (Lindi and Kilosa), Central Government (Forestry and Beekeeping Division) and the communities. The project is being implemented in Kilosa (16 villages), Lindi (17 vilages) and Mpwapwa (6 villages).

Social impacts

- What does Social impact mean? Social impacts as the consequences to human populations of any public or private actions that alter the ways in which people live, work, play, relate to one another, organize to meet their needs and generally cope as members of society. The term also includes cultural impacts involving changes to the norms, values, and beliefs that guide and rationalize their cognition of themselves and their society. These could be direct or indirect, and could be intentional or not intentional

Why do we need to do Social impact assessment?

- Social impact assessment (SIA) is the process whereby the intended and unintended, positive and negative social consequences of planned interventions are assessed
- Purpose is to bring about sustainability in the biophysical and environmental benefits to the community
- **Effects-** the “impact” of a project activity is the difference between what would happen with the action and what would happen without it.

Relationship between SIA and REDD

- REDD is **R**educed **E**missions from **D**eforestation and forest **D**egradation

- CCB Standards require that carbon projects generate net positive impacts for local communities. A core component of the CCB Standards is the specification that the co-benefits of carbon project must - like carbon- be real, 'additional' and measurable. At the very least, specify that carbon projects must 'do no harm' to communities in the Project Zone.
- SIA provides an alternative that will ensure that social positive benefits are maximised and negative effects are minimised.

Update on Project Progress (methodology used)

- Data collection and stakeholder analysis process in the villages
- Stakeholder identification at village levels.
- Launching of the project at district and village levels
- Analysis on drivers of deforestation in the project area
- Establishing of Village forest reserves in some villages
- Supporting the establishment of village landuse plans in some villages
- Social economic surveys conducted
- Participatory village visioning meeting at village levels.
- Awareness raising on PFM, climate change and fire, construction and use of fuel efficient stoves

Planned activities

- To validate information collected during the visioning exercises in the villages
- Prioritize some of the issues raised at village level
- To analyse, identify and agree on the a grievance procedure for the project in Lindi

Session 2. Description of the original conditions in the project landscape prior to the project's interventions

In this session, the presenter Nuru Nguya took the participants through a process of going into the details of the current situation in the project area, presenting the findings from the village level SIA meetings on the original conditions.

This included information on public and social services / agriculture / forest use / wildlife / problem animals / history / social / fire / HIV / governance etc. The summary of issues raised was as follows;

The objectives of this presentation were

- To present the data on the original conditions.
- To seek inputs from stakeholders on the original conditions.
- To validate the original conditions data that we have collected.

History of the landscape

- Villages established between 1910 (Kikomolela) and 1973 (Nandambi).
- Pre-1974, most households were scattered, many of them within the forest.
- 1960s Ilulu cooperative society established to promote cashew nuts, sesame and pigeon peas.
- 1974 many communities lumped together into larger villages except Nangaru which was split into Mkombamosi and Muungano

Cultural conditions

- Tribes: the majority of people in all villages are from the Mwera tribe.
- Other tribes present in the landscape include: Makonde, Yao, Ndonde, Makua, Zigua, Ngindo and Hehe
- Languages: everyone speaks and understands Swahili. Other commonly spoken languages include mwera, makonde and ndonde
- Religion: the majority of people are Muslim. Christians are also present in all villages.

Economics

- Agriculture is the main livelihood activity in all villages.
- Other livelihood activities include timber harvesting, charcoal production and small businesses.

Public services

- Nursery schools: most villages do not have a nursery school. A few have facilities within the primary school e.g. Kikomolela and Mkombamosi.
- Primary schools: half of the villages have primary schools. Children living in villages with no primary school have to travel to adjacent villages.
- Secondary schools: no secondary schools in any of the project villages but children travel to adjacent villages to attend.
- Dispensaries: available in Kiwawa, Moka and Mkombamosi. Other villages do not have dispensaries.
- Health clinics: available in Moka and Mkombamosi. Other villages do not have health clinics.
- Roads: main highway is paved. Other roads are not paved. Many of the roads to the villages are impassable during the heavy rains.
- Improved water points: half of the villages have at least one improved water point. Half do not and some are reliant on water sources from neighbouring villages.
- Meeting spaces: no villages have proper meeting halls. Many meet under a large mango tree.
- Market space: most villages have a market area.
- Village office: most villages do not have a village office but use the village go-down, dispensary or ward office.
- Food storage building: most villages do not have a food storage building. Of those who do, most buildings are in poor condition.
- Communication: zain and vodacom available in parts of the landscape.
- Transport: is any public transport available?
- Mosques: all villages have mosques
- Churches: Likwaya and Mkombamosi have a church.

Governance

- Village meetings: half of the villages held 1 or more village meetings in 2010. Half of the villages held 0 meetings.
- Most village governments have work plans (except Kikomolela, Milola and Kiwawa).

Cooperatives and groups

- Ilulu agricultural cooperative
- External stakeholders: timber harvesters, Aga Khan Foundation and Concern (Likwaya only).

Agriculture

Main crops

- Cash crops: sesame, cashew, coconut, rice, sugarcane, oranges;
- food crops: maize, sorghum, cassava, pigeon peas, banana/plantain, groundnuts, sweet potatoes, tomatoes
- Shamba size: 0.5 – 5 acres
- Length of time that a field is used: 2 seasons usually and then abandoned because of weeds and low soil fertility
- Length of fallow: 3 to 15 years

Natural Resources

- Land use plans: prior to the REDD project, no villages had village land use plans or village land certificates.
- Participatory forest management: prior to the REDD project, no villages had village forest reserves.
- Fuelwood: Most villages have fuel wood available except in Chikonji.
- Timber: in some villages, some timber species are still available. In others, little or no timber trees are left.
- Charcoal production: done in small quantities in most villages. In Likwaya and Chikonji, larger quantities are produced.
- Ming'oko, mushrooms and fruits: collected in most villages by women.
- Bushmeat: duiker, bushbuck, mbutuka, wild pig, elephant and vervet monkeys.
- Building poles: available in most villages except Likwaya
- Honey: in most villages, a few individuals keep hives
- Medicinal plants: available in all villages.
- Mining: some mining going on in Milola Village

HIV

- HIV rates are high in most villages excepting Chikonji where more awareness raising work has been carried out. There was an awareness raising campaign that reached most villages in 2009.

Thereafter the team went through a validation exercise on original conditions. This exercise was done in smaller groups basically characterized by members from the respective villages, participants were to review the description of the original conditions in the landscape, in the process, they could correct any errors in our description of the original conditions in the landscape and later contribute additional information about the original conditions in the landscape. Groups were guided by the following questions and guidelines as seen in Annex iii attached – Group work 1. The results of the group work were collated and were used to update / correct the results as presented in the SIA Report (see Mwampamba *et al.* 2012).

Session 2. Stakeholder identification

A presentation on stakeholders was made by Someni Mteleka using the data from the stakeholders analysis report including both village – level and landscape-level stakeholders. The SIA Manual advocates high community and stakeholder participation in all aspects of the assessment as such is it important to ensure that all stakeholders have been identified. The presentation was as follows:

Who is a stakeholder?

Stakeholders are individuals, groups, or organizations inside the project zone that may end up being affected by project activities directly or indirectly. Many stakeholders are aware of their involvement in the implementation of different project activities. The level of involvement is not the same hence not all have the same level of attention during the implementation of the project.

Types of Stakeholders

Primary stakeholders (inside stakeholders) are found inside the project zone and are involved directly with the implementation of project activities.

External stakeholders- do not live in the project area and are not directly involved in the implementation of the project activities. However, the implementation of the project activities may have an impact on them in one way or the other.

Steps taken to analyse stakeholders

There are different ways of doing a stakeholder analysis. These ways depend on the needs and objectives of the project. The analysis that is undertaken by the project is following the CCB standards that are recognised internationally.

According to the CCB standards, the steps of doing an analysis of stakeholders are identified as follows;

1. Identify people with an good understanding of the activities conducted and area where such activities are conducted and list all responsible people involved in the project, people, groups of people, institutions with a potential effect in the implementation of the project . groups these people as “inside” or “outside” stakeholders.
2. Analyse each stakeholder or group of stakeholders depending on their level of involvement in the project, level of participation, level of interaction with other stakeholders
3. Analyse the level of importance of all stakeholders, knowing their importance will help understand how each of them is affected by the implementation of the project if not well involved. Understanding the level of influence of these stakeholders will enable us understand how strongly he/she can affect the project negatively of positively
4. To group individuals and institutions depending on the level of importance in the implementation of the project activities
5. Systematically ensure that all stakeholders grouped in the matrix have a clear identified role in the implementation of the project
6. This should be a sustainable process that could be repeated with time.

Stakeholder analysis in Lindi Project site

The first step in relation to a stakeholder analysis involved meeting with stakeholders from 5 villages in the project area including village leaders, elders, women groups and youths. This was carried out by an external consultant (Forrester-Kibuga and Samweli 2010). The analysis aimed at understanding how each of the stakeholders is involved and looking at how their activities contribute to deforestation.

The stakeholders that were identified in the project area include:

1. Farmers: Every household is involved in agriculture. Average farm size is 1-5 acres. Many are involved in shifting cultivation. Main cash crops are sesame, coconuts, cashew nuts and oranges. Sesame is the main cash crop and is cultivated in the forests at an average of between 3-5 acres per household. The major food crops include maize, cassava, sorghum, bananas, potatoes and peas. In the Mkombamosi wetlands people grow sugarcane, coconut trees, vegetables, onions and cabbages. Many families grow food crops and sesame in the uplands.
2. Charcoal producers and transporters: In many villages there are no charcoal making activities. In Mkombamosi and Mkanga 1 charcoal production occurs at a low rate. Charcoal is also produced when trees are fallen during the preparation of farms. The charcoal produced in Mkanga1 is transported to Kinengene village or Lindi town and sold at a price of between 1500 to 2000 per bag.
3. Ming'oko collectors:-These tuber are collected between March and April. Mainly women are involved. One bowl of the tuber is sold between 3000 and 5000 TSH in Lindi town.
4. Forest route users:- In Mkombamosi there is a route inside the forest from Kinyope to Noto forest.
5. Forest product users:- Fuel wood, Poles, Timber etc
6. Hunting:-There is little hunting in many of the villages. In Lihimilo. Poaching techniques are used. Animals that are hunted include: antelopes, duikers, rabbits, monkeys, warthogs, wild pigs, buffalos and elephants. Wild meat is normally used in HH and excess is sold in Nyanda and Masasi
7. NTFPs:- are available in the villages. Fruits and mushrooms are normally collected by children and women on their way back home from the farms. Mushrooms are normally collected during the rainy seasons and used in HH. Most of the honey collected is from the forest. Not many people have skills in bee keeping activities. Grass, ropes and herbs are mainly collected by men for building constructions and for sale. Many who collect herbs were not ready to identify which trees are used for which herbs
8. Youths in Likwaya are involved in businesses such as bananas, coconuts, and cassava. Transportation of farm produce by bicycles to Lindi. Charcoal and timber is also taken to Lindi.
9. Illulu Cooperative- This cooperative buys sesame, cashew nuts and pigeon peas from the farmers. Market for the sesame is at local and international level.
10. Agriculture Department
11. Other organisations. There have not been many organizations. Concern, OG paper from Mtwara, Agha Khan Foundation are supporting rice growing in some of the villages that the project is working with emphasis is on CA. Financial Sector Deepening Trust established SACCOS.
12. Village Governments, VNRCs. Many villages have not done their village land use plans. Likwaya was once supported by Concern but never completed the process. During the time making this assessment, many villages had not established their VNRC and in some few who had, members had never had any training on their roles and responsibilities
13. Visitors outside the project area- Business people come to the area for business in farm produce. Government staff come for their official responsibilities. Many villages are accessible with telephone network.
14. Airtel Tower: In the Noto plateau is found the Airtel tower with security guards full time. These have constructed their houses and started families there and are clearing forest for agriculture.

Questions

Participants raised the following questions and were provided with the following responses:

- Which villages were visited during the assessment?

The villages visited during the stakeholder assessment were Ruhoma (Likandilo sub village Mwenge sub village), Mkombamosi, Lihimilo (Msikitini sub village), Mkanga 1, (Mandanje sub village) and Likwaya (Lumumba subvillage).

- Is it true that Lihimilo villagers said they do not use wild meat completely?

This was got from the village members who were interviewed during the assessment in Lihimilo. However, during this session, participants will be able to validate this statement and provide us with more information and examples.

One of the working groups was requested to review the list of stakeholders; to classify each stakeholder group as either a primary stakeholder or external stakeholder; and to add any additional stakeholders. The results of this activity have been incorporated into the SIA Report (Mwampamba *et al.* 2012).

Session 3. Validation by stakeholders of the 'without project' scenario at 5, 10 and 30 years

The participants were informed that the project aims to generate a description of what local stakeholders think that the landscape will look like in 5, 10 and 30 years in the future. This was based on their knowledge of how things have changed recently and of any plans that are in place that will bring significant change to the landscape. The basis for the information to be validated was the 'without project' scenarios at 5, 10 and 30 years that were prepared during the village level meetings. Participants were provided with summaries of the 'without project' scenarios for their respective villages. Participants worked in groups separated by village plus an external stakeholder group. Participants were asked to address a number of questions in relation to the data presented. See Annex 3. Each of the villages had an opportunity to review and validate the information for their respective village. With the aid of using arrows to mean 'increase, decrease or remain constant', each of the villages were able to validate the scenario for their village as seen below and to fill any gaps in the data.



Part of the validation process for Kiwawa and Rutamba ya sasa villages for 5,10 and 30 years without project scenario.

Each group was then requested to present their 5,10 and 30 year project scenarios and future plans including any amendments or corrections. These were collated and are reflected in the SIA Assessment report.

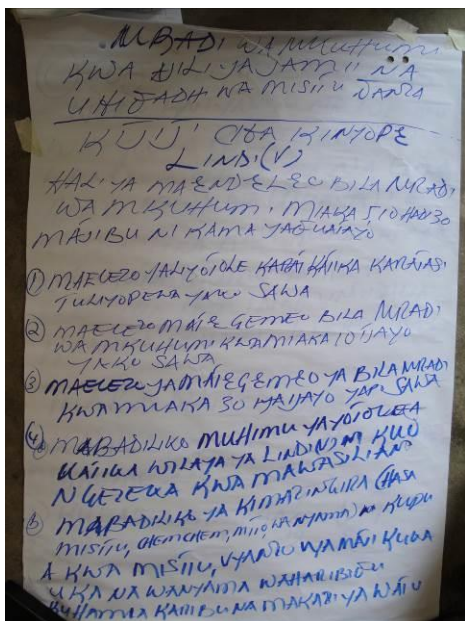


Photo 2 Without project scenario for Kinyope Village.

Some of the findings from the villages include:

In Likwaya the participants stated that the situation in relation to the availability of public services was likely to remain the same. For instance, in 5 years they will still have no primary school, the food storage facility is likely to be the same in 10 years. However, they think that there will be increase in the development projects in 30 years and a decrease in shifting cultivation.

In Chikonji, although many of the items remain more or less the same, they observed that the village and district government leadership will improve due to the fact that their capacity will be developed through different training. Additionally, more conflicts will increase due to not having VLUPs in place. On the hand, the rate of shifting cultivation is likely to increase due to the fact that community members are unaware of alternatives and have little understanding of the importance of forests. This was the case in many other villages too.

Kiwawa stated that there will be an improvement in 5 years due to the District plan of constructing a dispensary in the village, Likewise, there was a project under the World bank that is funding a water project.

It was a general observation by several of the village group and by the district group, that there will be a significant change in the level of communication with the influx of mobile telephone service providers and accessibility of mobile cell phones to a wider range of people. Likewise, many were confident that there will be a significant change in the understanding of environmental conservation amongst the younger generations because environmental education will be conducted in primary schools.

External stakeholder presentations

This was followed by presentations of plans by the District and Aga Khan Foundation. The Aga Khan Foundation described their project supporting sesame farming.

Evaluation of Day 1

The facilitators organized a participatory evaluation of the day's proceedings and participants had the opportunity to provide suggestions for Day 2. In general participants were happy with the proceedings of the first day.

3) Workshop Proceedings – Day 2

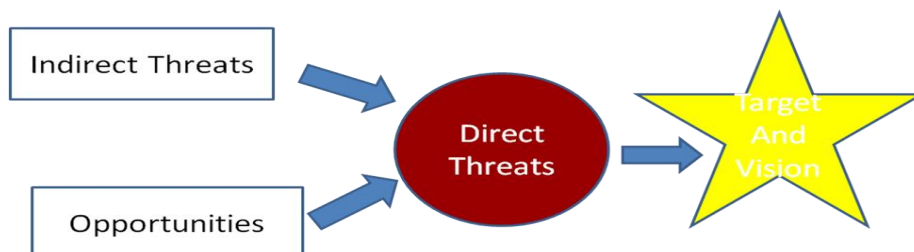
One of the participants provided a summary of the proceedings from the previous day.

Session 4. The Project's Conceptual Model

A presentation on what is a conceptual model was made to the participants by Nuru Nguya. Some of the issues that were pointed out include:

A conceptual model shows the cause and effect relationships in a landscape.

It links the conditions in the landscape with the overall targets and vision for the project.



Defining a vision

We asked communities to describe their vision for their communities in 10 years time and to prioritise those visions.

The following things were mentioned in order of priority, as ranked by the communities:

- Improved agriculture

- Improved public services
- Improved housing
- Village Land use Plans
- Increased income
- Sustainable forest management

Based on the visions developed by the communities we worked together to propose a common vision statement:

'We envisage a landscape in which women and men do not live in poverty and are earning a good income; are practising improved agriculture; live in brick houses and are enjoying the benefits of sustainably managed forests.'

To reflect the vision, the project's impacts are defined in terms of Poverty reduction including increased income, better houses, better public services, improved agriculture and village land use plans; and reduced deforestation including sustainable forest management.

Defining a target

In achieving the two visions of reduced deforestation and reduced poverty, forests are key targets within a REDD project strategy. As such the conceptual model looks at the indirect and direct threats affecting forests.

Direct Threats

Through our analysis of deforestation drivers, we identified the following direct threats to forests:

- Clearance of forest for small holder agriculture
- Fire
- Charcoal production
- Logging
- Fuel wood collection
- Logging
- Clearance of forest for commercial agriculture

Identifying indirect threats and opportunities

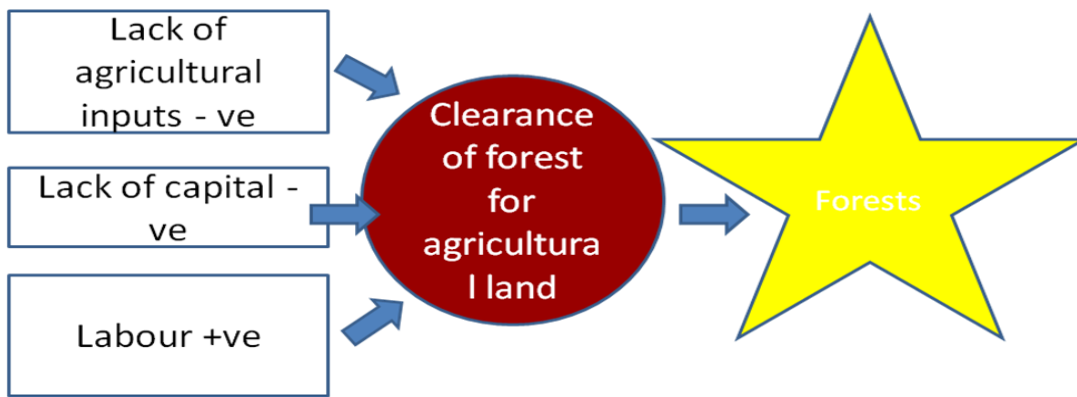
We asked communities to identify the supporting and opposing factors to achieving their visions. These are the indirect threats and opportunities in a conceptual model. Many opportunities and threats were identified e.g.:

Opportunities: availability of land and labour

Indirect threats:

- lack of capital,
- technical expertise,
- land use plans,
- markets,
- Inadequate agricultural expertise and agricultural inputs,
- micro-finance
- unpredictable rainfall patterns.
- Poverty
- Inadequate infrastructure including roads, electricity, water supplies, sewerage.
- Inadequate public services including schools, clinics, market spaces.
- Weak governance
- Gender inequalities
- Disease including HIV
- Low awareness
- Population growth
- Inadequate environmental impact assessments

An example of a conceptual model



The presentation was followed by a validation of the conceptual model developed by the project.

Participants were asked to:

- review the list of direct threats identified by the project and suggest other direct threats;
- review the indirect threats and opportunities that may impact on the direct threat that the group is working on.
- suggest additional indirect threats and opportunities that may impact on the direct threat that the group is working on.

See Annex 4 for the group work guidelines. The results of the validation exercise were presented by the groups through a gallery walk with opportunities for discussions. These have been incorporated in the Social Impact Assessment report.



Photo 3. Conceptual model for charcoal production.

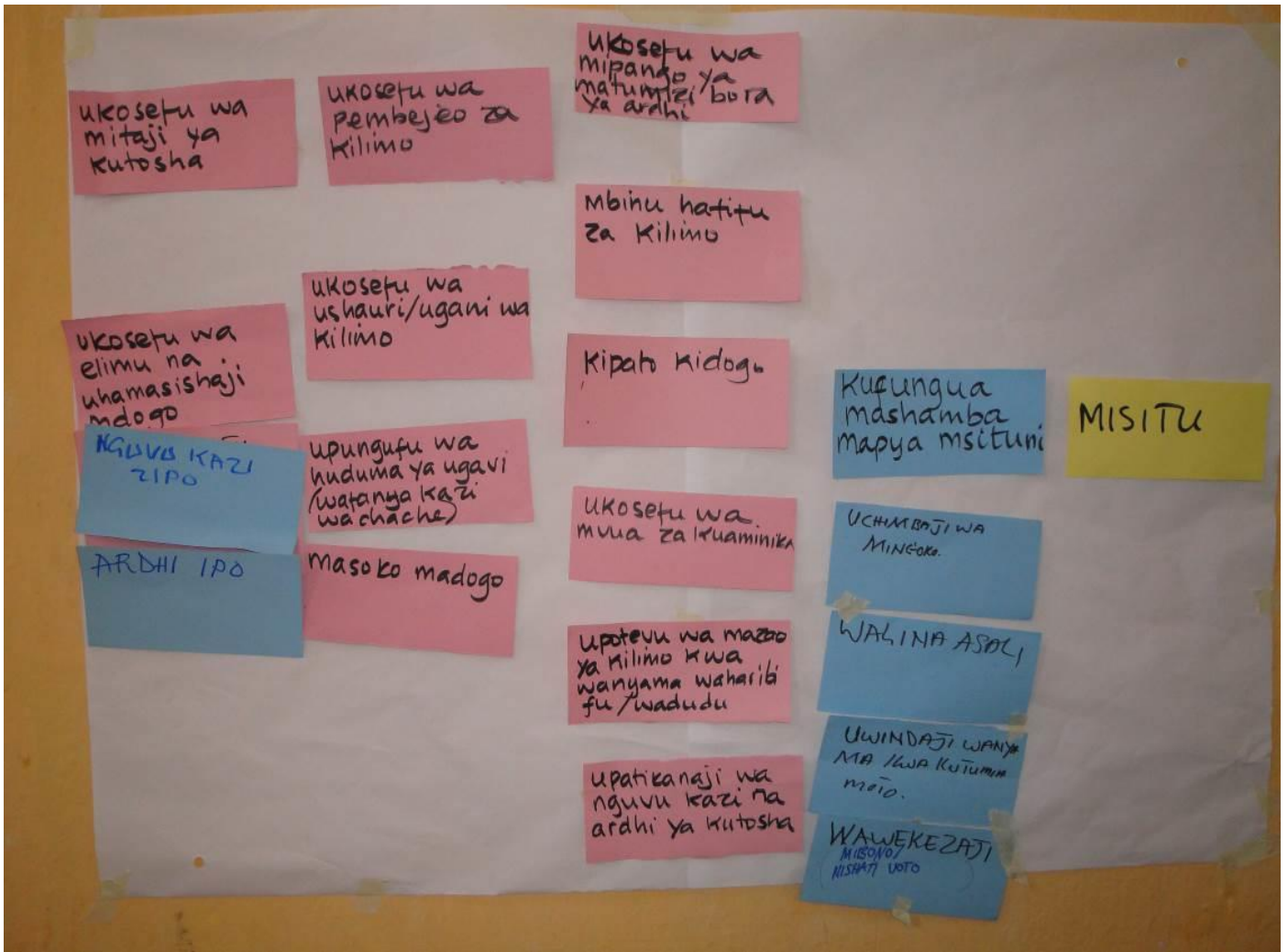


Photo 4; Conceptual model for shifting agriculture.

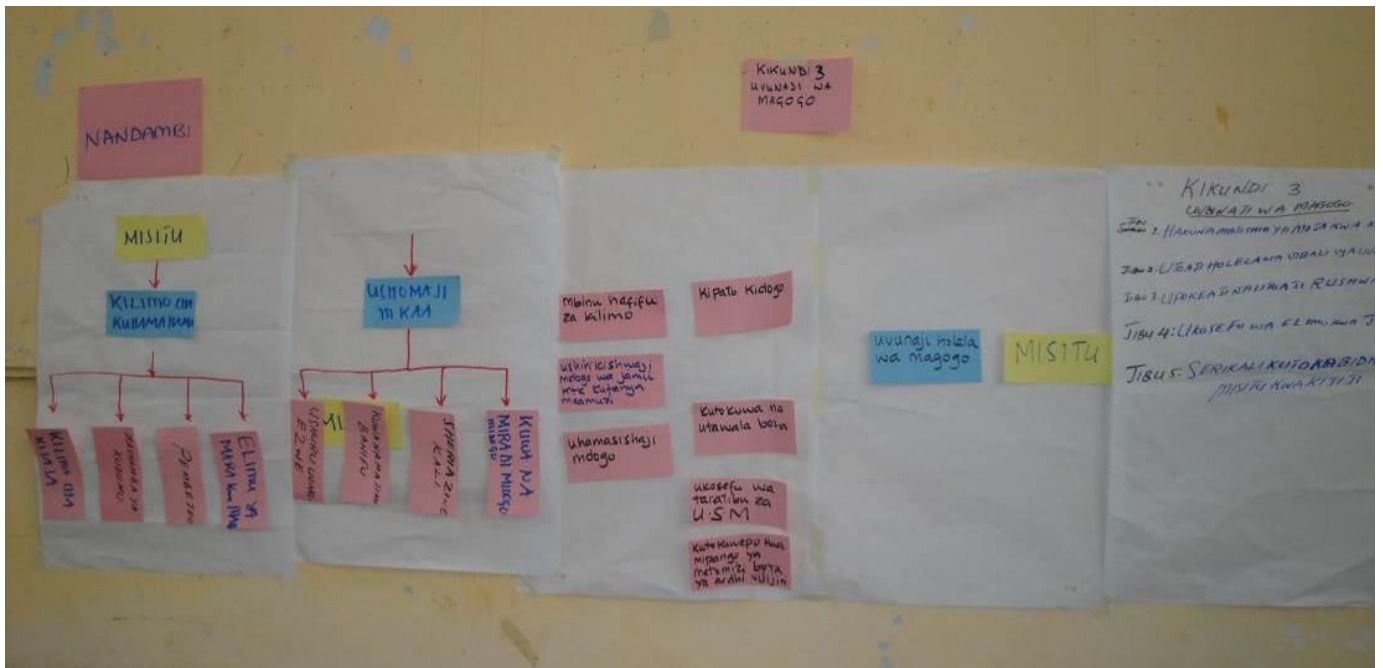


Photo 5. Conceptual Model for logging



Photo 6. Conceptual model for fire

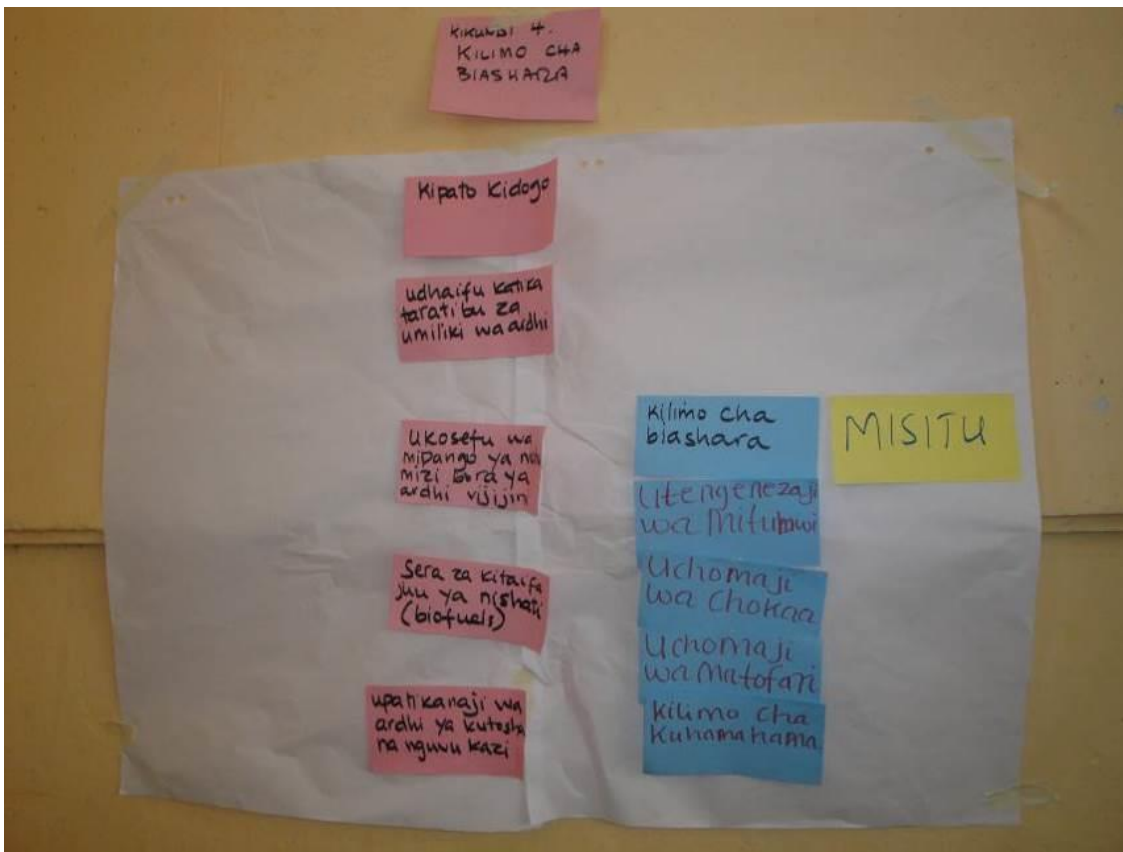


Photo 7. Conceptual model for commercial agriculture..

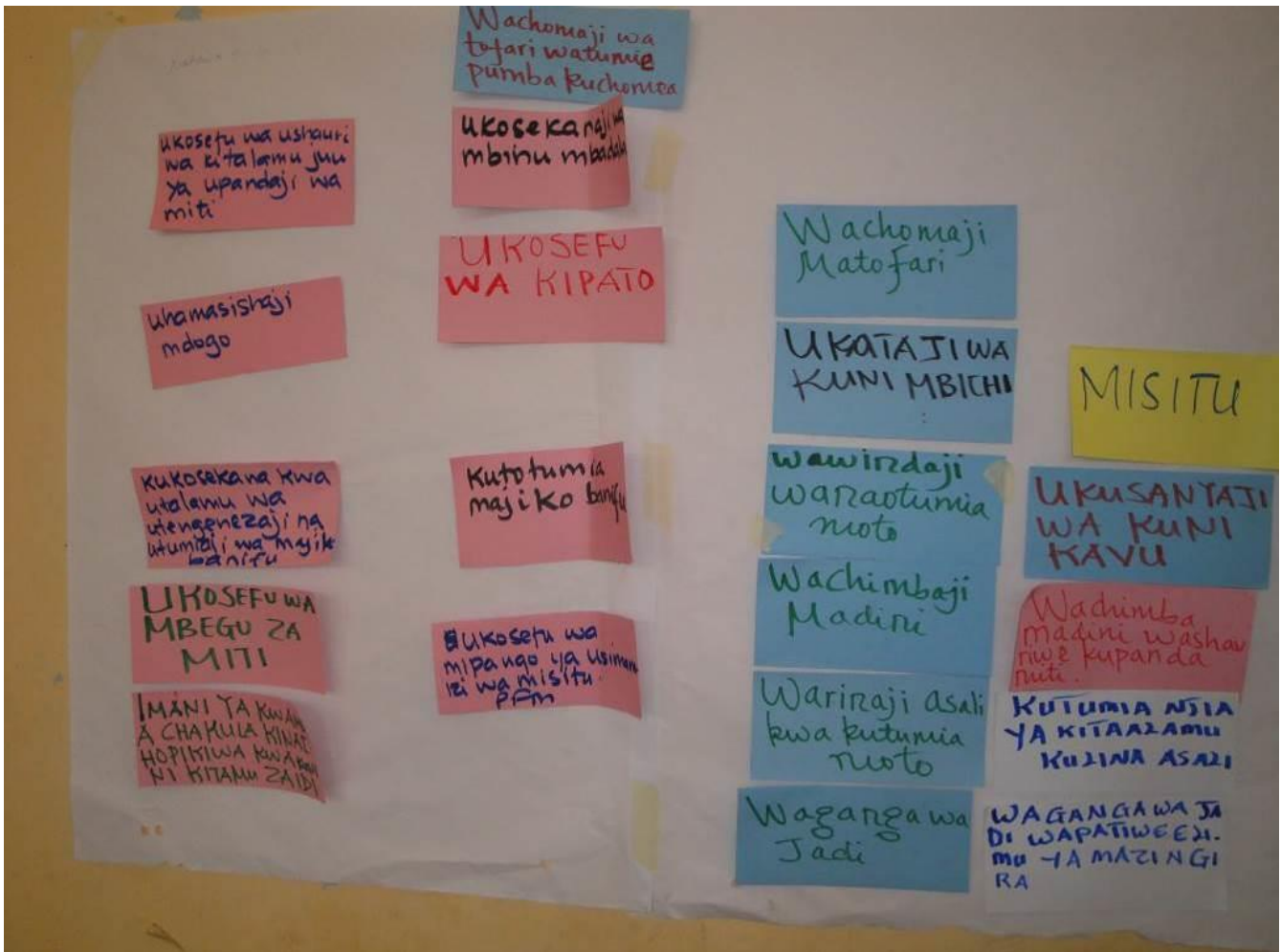


Photo 8. Conceptual model for fuelwood collection.



Photo 9. Conceptual model for poverty.

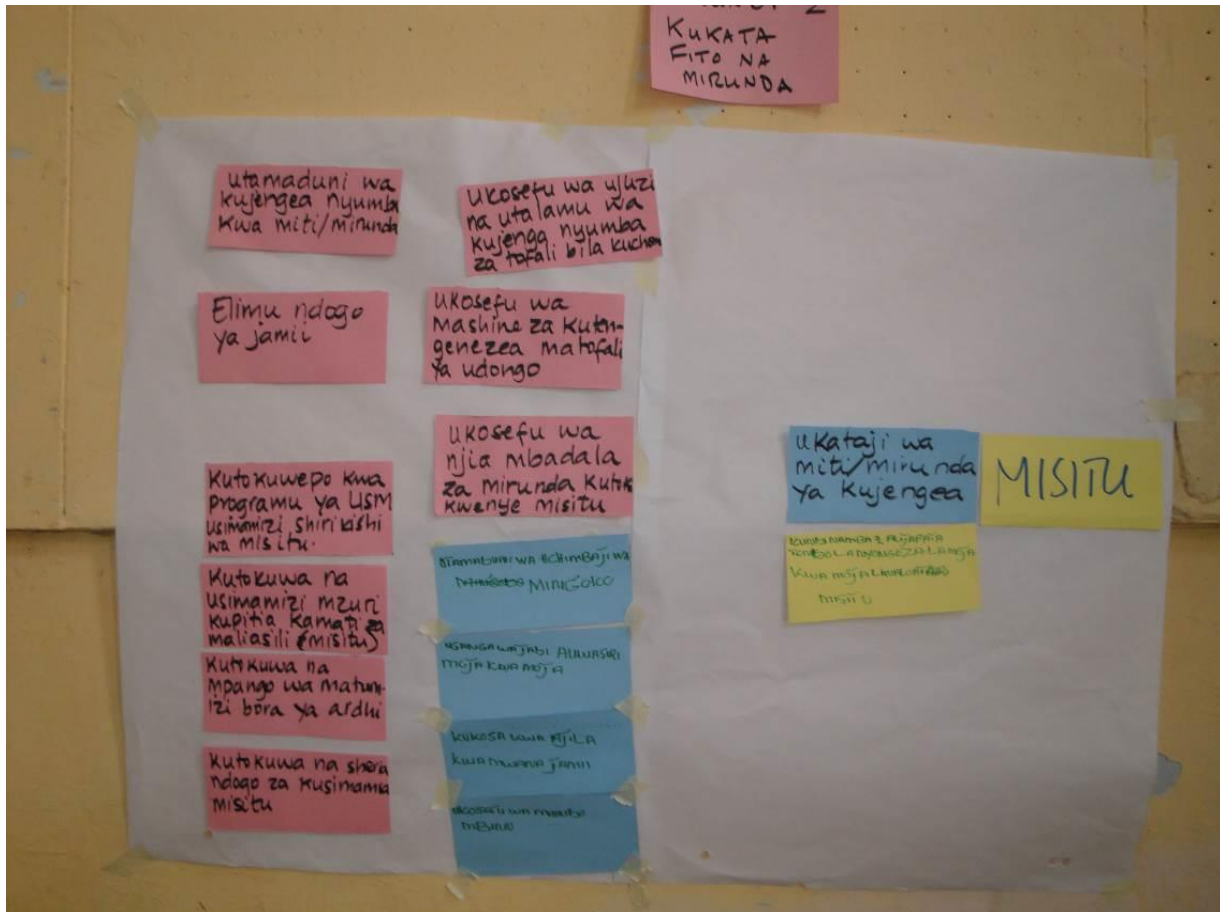


Photo 10. Conceptual model for pole cutting.



Photo 11. Participants in the SIA workshop.

Session 5. The Project's Theory of Change

A brief presentation on the Project's Theory of change was made by Someni Mteleka as follows:

What is a theory of change?

- A theory of change describes how a project aims to achieve its intended goals and objectives.
- A 'road map' from activity to impact.

How to develop a theory of change.

Step 1. Identify the change that we want to bring about – our vision.

In the case of our project, stakeholders have identified two issues:

1. Reducing poverty including improved agriculture, better public services, better houses and increased income.
2. Reducing deforestation

Step 2. Identify project activities, outputs and outcomes

By referring to the project's conceptual model, identify activities that can achieve the desired changes to the direct and indirect threats identified in the conceptual model.

In the case of our project, activities that have been recommended by the communities during the village-level meetings to address the indirect and direct threats are:

1. Improve agricultural practices;
2. Improve public services;
3. Develop village land use plans;
4. Establish sustainable forest management;
5. Improve quality of houses;
6. Establish income generating activities and microfinance.

Step 3. Map the linkages between the activities and the desired impact.

- For each of the activities, develop a set of 'if - then' statements that map the steps that need to be taken from the activities to achieve the impact.
- Describe any external factors or risks that might prevent the activities, outputs and impacts; or external assumptions which will favour them but over which the project has little control.

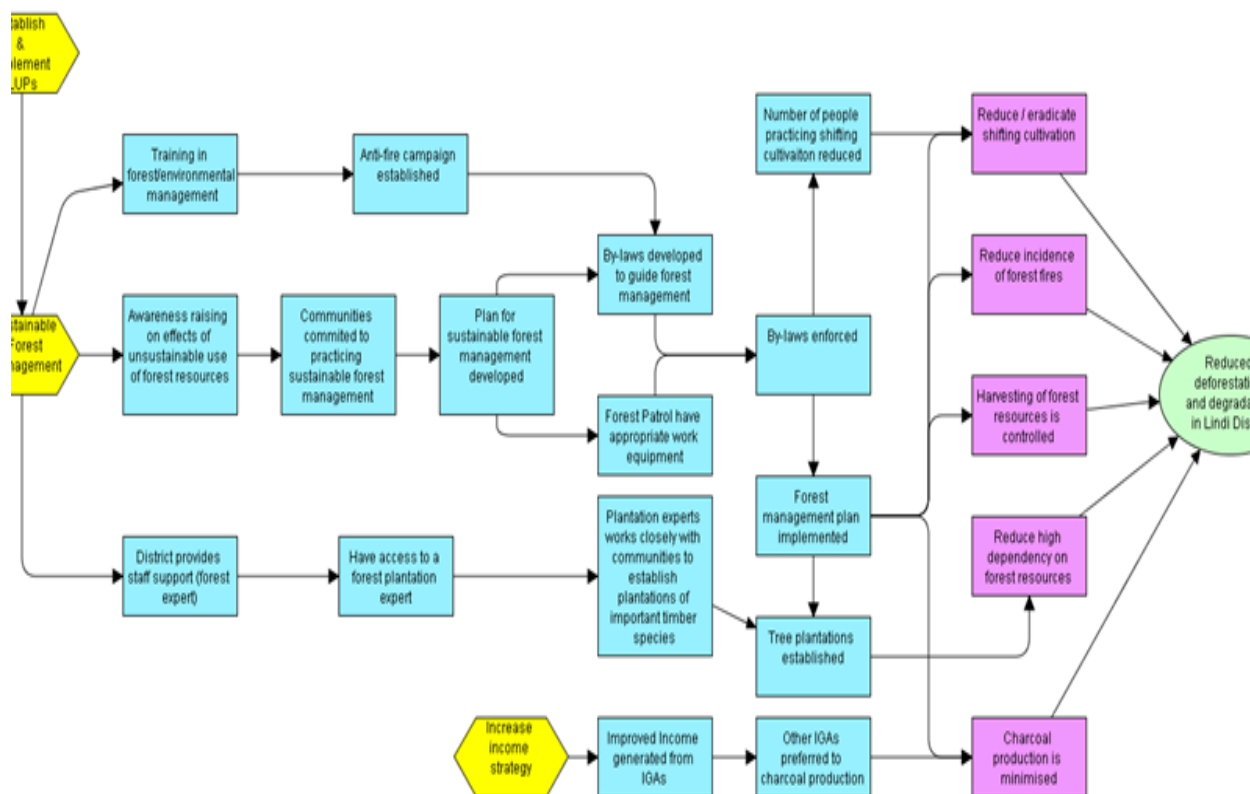
In a nut shell, a theory of change (also known as a result chain) presents a series of 'steps' based around the thinking 'if we do this, then we think that this will happen'.

These have been categorized into activities, outputs, outcomes and impacts.

Supporting and opposing factors: during the village meetings, participants identified some of the external and internal factors which might favor or prevent the desired outputs, outcomes and impacts being achieved. In the process, they were also validated.

A diagram showing the result chain of an intervention shows a referenced step by step way of how issues and strategies will be achieved.

Example of a theory of change for PFM (Participatory Forest Management)



Distinguishing between Activities, Outputs, Outcomes and Impacts.

Activities => Outputs => Outcomes => Impact

Activities: the physical or implemented activities of the projects.

Outputs: tangible short-term results of the project activities usually in terms of products or services e.g. number of people trained, land use plans developed, village forest management plans developed or trees planted.

Outcomes: the direct intended results stemming from the outputs such as increased incomes from agriculture; better public services; less extraction of timber / fuel wood / charcoal; and more positive attitudes towards forest conservation.

Impacts: the end results sought by the project notably poverty reduction and reduce deforestation and forest degradation.

In order to capture enough information and ensure effective participation, the following groups were formed to validate the project theory of change while developing chains, and these were;

1. Training and facilitation to communities on participatory forest management and community based monitoring
2. Capacity building to communities on improved agriculture, conservation agriculture, marketing and storage of agricultural products
3. Capacity building to communities on improved governance and community networking
4. Facilitating village land use planning
5. Awareness raising campaigns including fire awareness campaigns and environmental education
6. Capacity building on other livelihood activities including tree planting, improved stoves and microfinance
7. Assisting the communities to generate carbon credits and to gain an income from REDD payments

The participants went through a process where they could validate the project's theory of change (results chains). Based on consultation with stakeholders, the project identified some activities that they thought may help to achieve desired results including capacity building on improved agriculture, participatory forest management, land use planning and environmental education. Looking at the long term experience and knowledge on the landscape, it was important to validate the results chains in terms of whether they will reduce poverty and / or deforestation and forest degradation.

Each of these groups discussed and put their thoughts on flip charts and later shared with other participants using gallery walks. The results have been incorporated into the SIA Report (Mwampamba et al. 2012).



Photo 12. Theory of change for improving agriculture.



Photo 13. Theory of change for improved income generating activities.

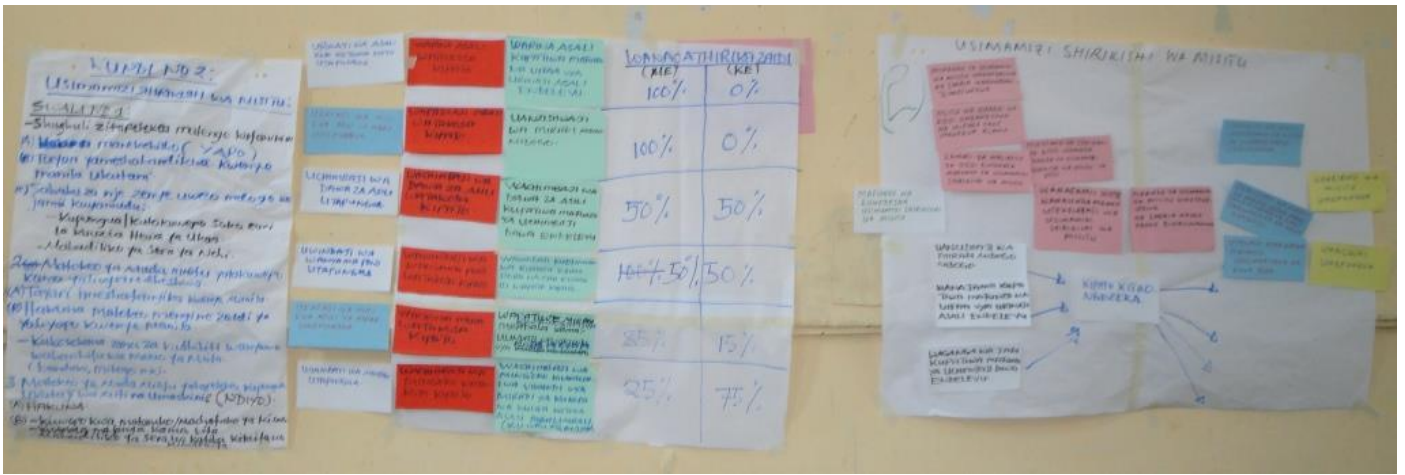


Photo 14. Theory of change for participatory forest management.

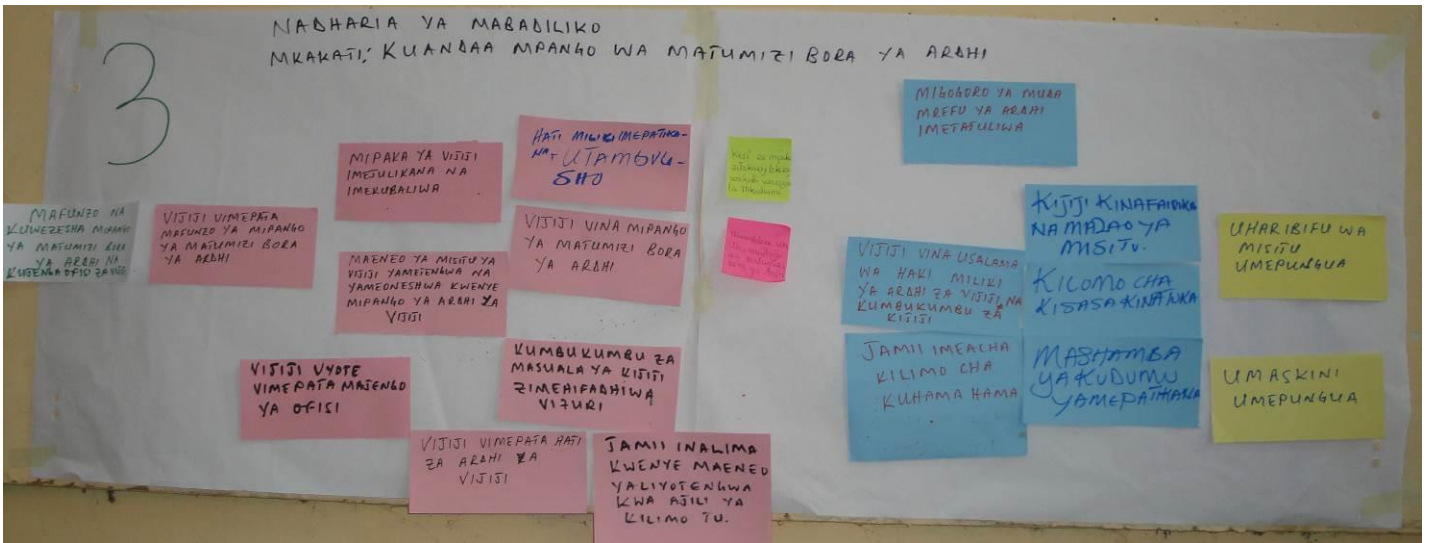


Photo 15. Theory of change for village land use planning.



Photo 16. Theory of change for formulation of local Mjmita Networks.



Photo 17. Theory of change for awareness raising.

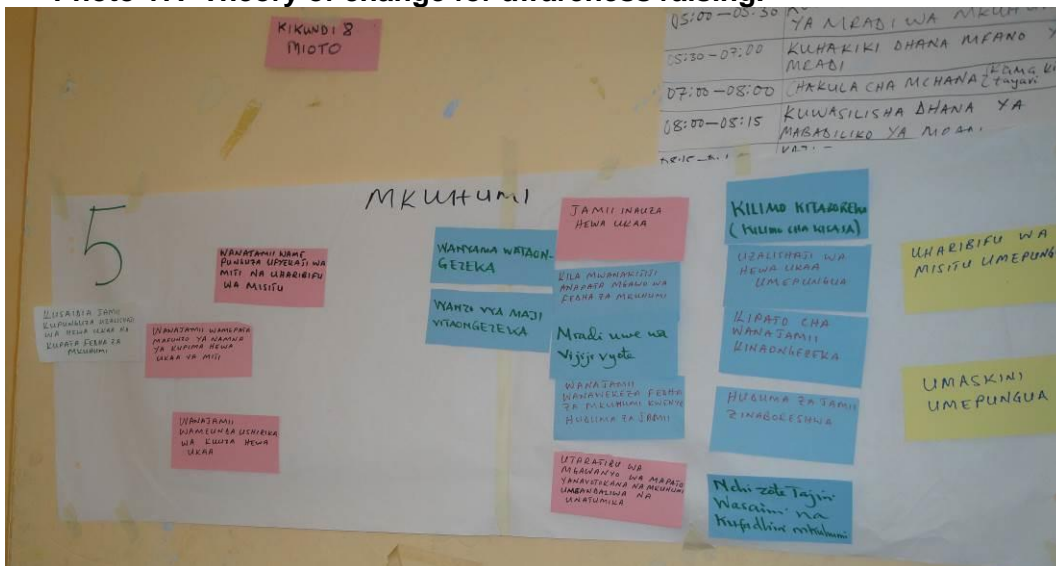


Photo 18. Theory of change for REDD payments

4) Workshop proceedings – Day 3

Session 6. Identification of potential negative impacts and mitigation measures

After the validation of the project's theory of change (results chain) for various issues identified in the conceptual model, a presentation aimed at explaining the rationale for and the process of identifying potential negative impacts and mitigation measures was made by Nuru Nguya.

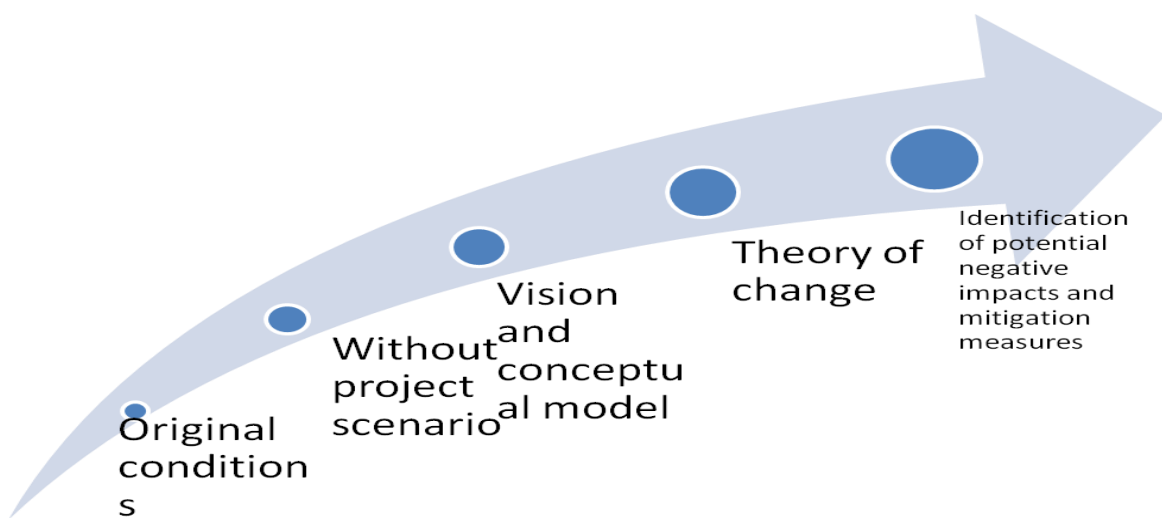
Negative social impacts and mitigation measures – what could go wrong?

The presentation first looked at the progress of the process with the participants during the meeting. This provided an overview of the workshop process from day 1 to the current day. She reminded participants of the steps taken so far included:

- validating the original conditions -how communities are today;
- validating the with and without project scenarios for 5, 10 and 30 years- how life will change in the absence of the project;

- developing a common vision for the landscape involving a combination of poverty reduction and reduced deforestation;
- identifying a conceptual model including identifying the direct and indirect threats that currently prevent communities from reaching that vision;
- developing a project theory of change - activities that could be taken so that communities can reach their vision;
- and now at the stage of identifying potential negative impacts and possible mitigation measures.

The presentation explained that the project aims to reduce deforestation and forest degradation and improve livelihoods within the project area. In order to achieve this, during the village level meetings, community members recommended some activities that could help to achieve those objectives. The activities that were identified included capacity building on improved agriculture, participatory forest management, village land use planning and support for alternative income generating activities. She went on to explain that some of these activities may have unintended negative impacts on certain groups within the landscape. As such, it is important to identify these potential negative impacts and to identify measures that can mitigate those potential negative impacts.



The next step is to think about whether any of these activities, outputs and outcomes could affect members of the community in a negative way and to identify ways to avoid any negative impacts.

For example:

Financial

We expect that the project will bring positive financial benefits from improved agriculture, alternative income generating activities, micro-finance and REDD payments. **BUT** it might bring negative financial impacts as well to some groups. For example if forests are protected, will charcoal producers and those that depend on slash and burn agriculture be affected negatively?

Social

We expect that the project will bring positive social benefits by strengthening land tenure, clarifying natural resource rights, improving governance, empowering women and the poor and supporting MJUMITA networks.

BUT it might bring negative social impacts to some groups. For example, could REDD payments bring conflict or corruption?

Infrastructure and public services

We expect that the project will bring positive benefits both through direct investment in e.g. village offices but also by generating REDD payments that can be invested in improved public services such as schools, water points etc.

BUT it might bring negative impacts that you can think of.

Environment

We expect that the project will bring positive changes to the environment by protecting water sources, managing forests sustainably, and protecting soils.

BUT it might bring negative impacts that you can think of.

Mitigating negative social impacts

For any negative impacts, it is important to identify ways that we can reduce or avoid those negative impacts. For example,

- if charcoal producers within the village will not be able to access the forests, they need to be supported to adopt alternative livelihoods.

If REDD payments might bring corruption and conflict we need to set up transparent and fair systems that everyone understands to avoid that conflict.

Participants formed groups and were requested to review each step of the results chain to identify any potential negative impacts (see Annex 7 for details).

Some of the discussions that went on had it that

- Many people will be affected by a reduction in income, corruption and an increase in the number of destructive and wild animals in the forest.
- While, a few people will be affected by conflicts and reduction in the availability of fuel wood
- Many people will also be affected by not having enough land.

Some other negative impacts that could happen in a short run were identified by some of the groups such as

- The VNRC members to enter into conflicts with the rest of the community which could be addressed through creating awareness and educating the community on the importance and roles of the VNRC and encourage their cooperation in the implementation of their activities
- Lack of agricultural inputs faced by farmers was identified as another negative effect which could be addressed by facilitating the accessibility of agricultural inputs and extension services to farmers.
- With the increase in destructive animals could be addressed through providing local expertise in chasing away wild animals from the farms coupled with the correct extension techniques.

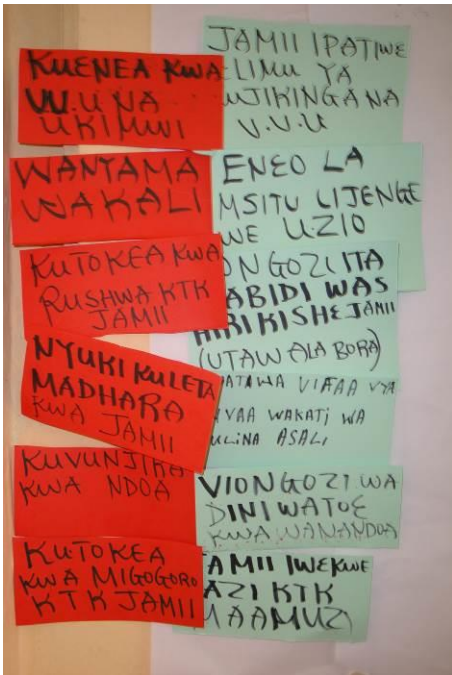


Photo 19. Potential negative impacts and mitigation measures associated with support for income generating activities.

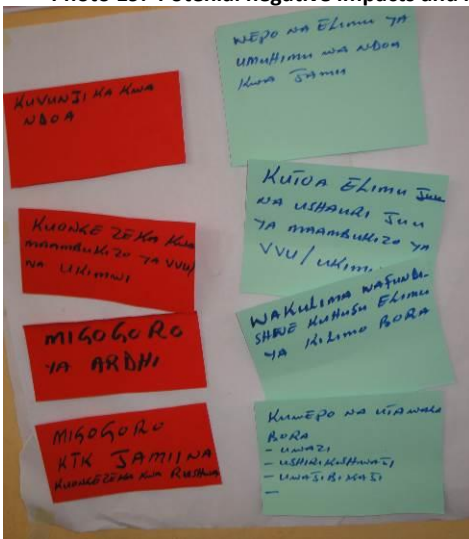


Photo 20. Potential negative impacts and mitigation measures associated with improving agriculture.

	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	WAZIWAATHIRIKWA ZAYI (KIE)	WAZIWAATHIRIKWA ZAYI (KE)
NJUTU:	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	100%	0%
Kufanya (b) Mte	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	100%	0%
Wazigo wa o enzi	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	50%	50%
Kimwito	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	100%	50%/50%
Wazigo zi ya	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	85%	15%
Wazigo zi ya	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	UWAZI WA ASALI KWA KUTOKA KATI UTAFUTAZA	25%	75%

Photo 21. Potential negative impacts and mitigation measures associated with participatory forest management.

5) Workshop proceedings – Day 4

Session 7. Project Community monitoring and evaluation plan

A short presentation was made that aimed to provide the participants with a common understanding of what is involved in a community monitoring plan and to identify the main social impact indicators in the projects monitoring and evaluation document. In a nut shell, the presentation described the following issues;

Things to consider in a monitoring plan

What to monitor: the indicators and variables.

How to monitor: the method for collecting data.

- The project will use 17 different methods to measure the 34 project indicators.
- Of these six methods are aimed at measuring the impact of the project on greenhouse gas emissions and biodiversity. One looks at the policy impact of the project.
- The remaining 10 methods are aimed at measuring the social impact of the project.

Methods to be used to monitor the social impact of the project

- Semi-structured interviews: discussions with community and local government stakeholders.
- Mapping of poorest households in a sample of villages: identification of five of the poorest households in 10 sub-villages.
- Focus group discussions: group discussions with stakeholder groups.
- On-site field observations: visits with community representatives to assess project progress e.g. To verify that a new village office has been built.
- **In-depth interviews with key informants:** in-depth discussions with village leaders, MJUMITA representatives and women to determine project progress.
- **Review of carbon payments:** reviewing documentation on REDD payments and verifying with a sample of recipients.
- **Review of project reports:** extracting monitoring data from project progress reports e.g. To assess how many training events have taken place.
- **Knowledge Attitudes and Practice survey:** a structured questionnaire to measure changes in awareness on issues related to REDD.
- **MJUMITA membership monitoring:** data collection on membership numbers disaggregated by gender.
- **Governance score cards:** structured questionnaires on issues related to governance.

Who to monitor: who is responsible for collecting and collating data.

Monitoring data will be collected by:

- Communities including village governments, village natural resources committees and MJUMITA networks.
- Local government staff
- Project staff

Data to be collected by community members with Project Staff

- Carbon monitoring data
- Rates of forest use
- Data on improved public services, land use plans, village forest reserves, REDD revenues
- Biodiversity data
- VNRC and Village Government membership including the number of women and the number of members from poorer households
- Village governance data including frequency of village government and VNRC meetings;
- PFM costs and revenues.

When to monitor: how frequently should data be collected

- Data to monitor the project's outputs is collected every six months.
- Most data to monitor the projects outcomes is measured at the start, mid-term and end of the project with a few indicators being measured annually.

- Most of the impact level indicators are measured at the start and end of the project.

Communicating the monitoring results: to whom, how and when.

- How will local stakeholders get the results of the monitoring?
- Village specific data collected with the involvement of the VNRCs or VGs will be presented at Village Assembly meetings by the VNRC or VG on a biannual basis.
- Landscape level data will be provided as written reports to the MJUMITA networks for dissemination to their members.
- Other information will be communicated in the Komba Newsletter.
- Overall project progress will be presented at MJUMITA steering committee meetings.
- A summary of the project level indicators was prepared and distributed to all participants where each of the groups ticked on the indicators regarded relevant.

Some of the elements that are used and will be used for community members include among others

- % of households in all areas economically and socially or vulnerable groups with little income from low wealth rank to a higher wealth rank due to more benefits
- Number of people benefiting from the development projects supported by the project;
- Number and type of community development projects supported by the project and / or using a proportion of the revenue from the sale of carbon credits;
- Number of communities with land use plans and land certificates as a result of the project’s support;
- Number of communities with village forest reserves;
- Revenues in TZS from the sale of carbon credits reaching each village;
- Number of people disaggregated by wealth rank and gender receiving financial benefits from the project.
- Level of awareness and change of attitude towards various resources

Participants were asked to provide feedback on the proposed indicators. Feedback is reflected in the project’s community monitoring plan.

Session 8. Development of Effective Grievance Procedures

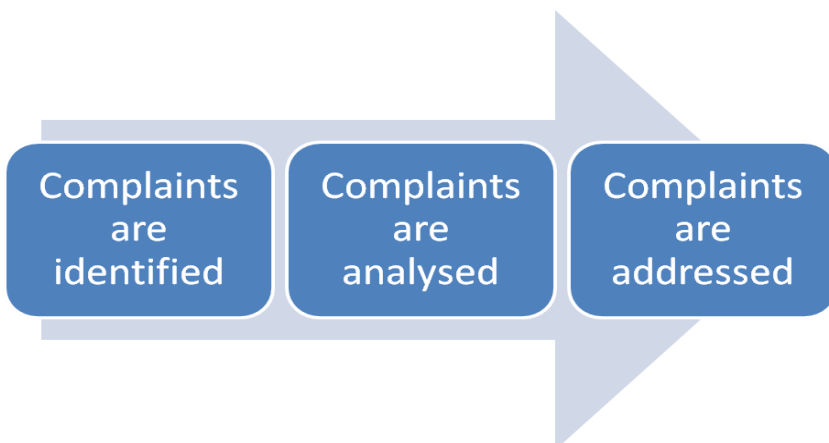
A presentation was made as follows:

What are Grievance Procedures?

These are ways used to address complaints at individual level or group of persons in an equitable manner with an objective and in a constructive manner.

These procedures provide a transparent process in which the community, project and local authority can discuss problems and identify common solutions.

Conflict resolution procedures relate to complaints against the project and not for example conflicts amongst community members or at household level. Below is how a grievance procedure should operate.



What are the characteristics of a good grievance procedure?

- It is fast
- Is easy to understand
- Is transparent
- Is easily accessible by all women and men in the community
- Is not cost -full to community members
- There is no risk of being punished

What kind of grievances do we expect?

In the previous sessions, participants identified some of the negative impacts that may arise during the implementation of the project, and these are:

- Corruption
- Increase in crop destructive and wild animals
- Social marital problems due to the increase in income e.g divorce
- Reduction in income due to regulations related to forest utilization
- Land and land use conflicts

Different types of grievance procedures

Different types of grievances can be addressed by using different procedures:

Conflicts that are related to the implementation of project activities amongst stakeholders e.g land conflicts, corruption should be addressed through normal procedures.

Existing grievance procedures that are available

During village meetings community members said some of the institutions available that are used in resolving conflicts include;

- VNRCs
- Village councils
- Village elders
- Village land tribunals
- Village assemblies
- Ward development committees

The project does not intend to change these.

Conflicts with the project

- The objectives of grievance procedures should be about complaints from individuals or group of people and the project.
- There is need to identify a third party who will be independent, where individuals or a group of persons can take their complaints.
- Who should this be?

Criteria for selecting an independent third party

- Availability
- Free
- Well respected and trusted by the community

Procedures to follow while addressing a conflict

1. Complaints reach the 3rd person through , meeting or letter. Answers to the message are made by the 3rd person who will then specify a time to address the problem.
2. Complaints are taken to the Executive Director for TFCG and a copy to the project site leaders. TFCG / MJUMITA analyse the complaint and provide feedback in writing to the 3rd person in 1 month
3. 3rd person reviews the feedback and if contented will forward the feedback to the complainers if not contented they agree on a plan to solve the issue ie joint meetings with all stakeholders.

At the end of the session, a discussion that led to identifying a third party was made. During the discussions, some participants proposed that the 3rd party could be the Ward Development Committee

whilst others proposed the District Commissioner. However, conclusions amongst them recommended the District Executive Director to be the third party.

Session 9. Community communication plan

During the village meetings, communities recommended a number communication procedures by the project. Most of the existing means of communication include meetings and listening to radio. Additionally, the project will facilitate and support communication activities with and between the project. In the initial project interventions in all the project villages, a community communicator was selected in the VA meetings. He or she becomes an easy link for the project and the community.

The project communicated the following plans that were also discussed by the community in a validation process. They include

- Facilitating the community communicators, VNRC and Network leaders to have at least 1 mobile phone per village and airtime to allow communication all the time.
- Provide bicycles to each VNRC, some community communicators' village
- Conduct meetings regularly
- Use brochures, posters and leaflets
- Some time through radio programmes produced

6) Challenges and Lessons learnt

Having completed this process for the 4 days, we identified some challenges with undertaking the work and some lessons learned. Many of the challenges apply as much to any participatory planning process at community level as they would to REDD.

Raising expectations:- Looking at the nature of involvement in the participatory planning process there is a risk that the process of identifying the social objectives can lead to raised expectations. The social objectives were wide ranging. The chart shows the priorities for Kikomolela Village where the three priorities were improved social services, improved agriculture and improved houses.

Care is needed to be very transparent about what the project can and can not deliver. The social impact assessment process undertaken is covering both the REDD readiness activities and the longer term impact associated with communities receiving REDD revenues. This was carefully explained to participants during the meeting.

Environmental Vs Social priorities:- In most villages, reducing deforestation was not a priority social objective when compared with improving schools and health care. Again, it took time to reiterate the linkages between the project's readiness activities and the benefits that REDD revenues could bring in the longer term which might include funds to identify the social objectives such as improved social services.

Complexity of the process:- Overall, the process is quite complex and requires very careful facilitation including ensuring that all points of view are heard. In particular we found that the methods need to progress quite quickly towards the conceptual model so that more time can be dedicated to producing a water-tight results chain, identifying negative impacts, and developing mitigation measures. This is because this part of the SIA is what eventually becomes the community management plan for positive and negative impacts, and it is important that this is done in as participatory way as possible. In terms of developing the social reference scenario, there was a tendency amongst communities to describe a negative future and not to volunteer information about positive changes happening in the area.

Careful gender involvement:- It was noted that we required more careful facilitation to ensure that women were properly represented and that gender issues were properly covered,

In terms of developing the participatory monitoring plan, we proposed some indicators but found that it was difficult to get much feedback on these given the lack of experience of impact monitoring amongst most of the participants.

Overall, we found that community members were very quick to understand concepts and participate in the process up to indicator identification. With careful facilitation we could cover the first four steps of the social impact assessment process involving a range of stakeholders including women and men who were non-literate. As such the process can be a powerful way of integrating poorer community members in decision

making. Linked to this, the experience of having the District and Village stakeholders work together during the landscape level workshop contributed to more balanced and rigorous results chains.

Annex 1. List of Participants

List of Participants during the Social Impact Assessment Workshop in Lindi, 13th to 17th February 2011

S/N	Name of participant	Male	Female	Title	Village/Designation
1	Anaphy Saidi	1		Ward Education Coordinator	Nangaru
2	Ashura Chimbuli		1	Ward Executive Officer	Kiwawa
3	Saidi Manyanaya	1		Chair	Kiwawa
4	George Mtalika	1		Aghakan Foundation	Milola
5	Saidi Mtipa	1		VICOBA	Milola
6	Hamisi Abdi	1		Chair	Chikonji
7	Hassan Mpanga	1		Community Communicator	Kinyope
8	Mwanaidi Manzi		1	Villager	Kiwawa
9	Yusuf Ally	1		Charcoal Producer	Chikonji
10	Rukia Hasara		1	VNRC	Chikonji
11	Juma M Mnsang	1		Chair	Muongano
12	Rashid Mushawe	1		Chair	Mkombamosi
13	Hadija Haji		1	Farmer	Chikonji
14	Rashidi Manduta	1		Farmer	Muongano
15	Saidi Likwena	1		Treasurer VNRC	Mkombamosi
16	Juma Msaka	1		Villager	Likwaya
17	Hassan Rashidi	1		Charcoal Producer	Chikonji
18	Athmani Kimeja	1		Chair	Mkanga 1
19	Abdalla Mangwacha	1		KIRUMA Network	Ruhoma
20	Amina Mnuta		1	Min'goko collector	Mkanga 1
21	Zuhura Chika		1	Farmer	Mkanga 1
22	Bakari Abdallah	1		Villager	Kikomolela
23	Mariam Mtwana		1	VEO	Lihimilo
24	Amina Pacheku		1	Treasurer	Nangaru
25	Walter Kitambawazi	1		LFO 1	Rutamba
26	Hassan Mndolwa	1		WEO	Rutamba
27	Mohamedi Kachele	1		WEO	Chikonji
28	Muhidini Libui	1		Chair	Kikomolela
29	Issa Pilipili	1		Chair	Milola Magharibi
30	Mohamedi Makunda	1		Community Communicator	Ruhoma
31	Bakari Mwintenda	1		Zain Tower guard	Ruhoma
32	Saidi Kitambi	1		Chair	Ruhoma
33	Mwajuma Maua		1	Farmer	Ruhoma
34	Selemani Mtopa	1		UMICHITA Network	Nandambi
35	Rashidi Selenge	1		Chair KIRUMA Network	Kiwawa
36	Somoe Waluwo		1	Chair	Moka
37	Zainabu		1	Villager	Moka
38	Asha A. Malibiche		1	chair VNRC	Moka
39	Mansulia Joroa	1		Secretary	Rutamba
40	Mayasa Chola		1	Farmer	Nangaru
41	Salima Chingwange		1	Treasurer	Likwaya
42	Saidi A. Mnyavi	1		Village Chair	Rutamba
43	Flora Munga		1	WEO	Moka
44	Kitenge Selemani	1		VEO	Nandambi

S/N	Name of participant	Male	Female	Title	Village/Designation
45	Mariam Mweri		1	Traditional Healers	Nandambi
46	Asha H Livigha		1	VEO	Makumba
47	Esha Mghopa		1	VEO	Likwaya
48	Ally Namila	1		LUP	Lindi DC
49	Kasimu Ally	1		VEO	Namkongo
50	Ali M hilay	1		Care Zanzibar	Zanzibar
51	Anna Lauwo		1	Forestry and Bee Keeping Division	Dar es Salaam
52	Anna Maro		1	CDO 1	Lindi DC
53	Hamisi J Mzee	1		VEO	Kinyope
54	Mohamedi Timwanga	1		VEO	Moka
55	Charles Mwaipopo	1		FO	Lindi DC
56	Fatuma Kimbindu		1	VEO	Matimba
57	Mwajuma Ally		1	Farmer	Kikomolela
58	Mathee Mawanya	1		Chair District Council	Lindi DC
59	Athmani Mtimbwa	1		MJUMITA Board Member Southern Zone	Kilwa
60	Abid Mohamed	1		MJUMITA Staff	Dar es Salaam
61	Bettie Luwuge		1	TFCG Staff	Dar es Salaam
62	Someni Mteleka	1		MJUMITA Staff	Dar es Salaam
63	Nuru Nguya		1	TFCG Staff	Lindi
64	Ally Mnunduma	1		Economist 1	Lindi DC
65	Nike Daggart		1	TFCG Staff	Dar es Salaam
66	Mwajabu Abdalla		1	Farmer	Milola
	Total	40	26		

Annex 2. Workshop timetable

Detailed Program for Conducting Social Impact Assessment with Stakeholders in Lindi Project Site, Noverlty Hall, Lindi, 14th to 17th February 2011

	14th Feb 2011 Day 1: Introductions, original conditions and without project scenario	15th Feb 2011 Day 2: Conceptual Model / Theory of change	16th Feb 2011 Day 3: Finalising the results change	17th Feb 2011 Day 4: Developing of the Community Monitoring Plan
0830 – 0930 :	<p>Session 1. Self introductions. Workshop objectives. Norms. Ice breaker. Objectives: participants understand the purpose of the workshop; Participants have agreed on workshop norms and have introduced themselves. Led by: Bettie Luwuge</p>	<p>Recap on previous day Objective: Participants have a clear picture of what was achieved on Day 1. Led by: A participant, selected on the previous day.</p>	<p>Continuation of work on theory of change</p>	<p>Recap on previous day</p>
0930 – 1015	<p>Introduction to the project and report on progress so far with a particular focus on the process (but not results) of the village level SIA. Objective: Participants understand the aim of the project; the roles of the partners; the progress / achievements of the project; and the policy context in terms of what REDD is. Participants understand the visioning and social impact assessment work that has been carried out at village level. Timing: 30 minutes presentation, 15 minutes for questions and discussion Led by: Bettie Luwuge</p>	<p>Presenting the projects conceptual model Objective Participants understand what a conceptual model is Participants have a broad understanding of the project's conceptual model Participants have provided input regarding other major direct and indirect threats and opportunities.</p>	<p>Continuation of work on theory of change</p>	<p>Gallery walk to review indicators Each group will present their findings in terms of the project's indicators through a gallery walk.</p>

1015 – 1045 :	Tea Break	Tea Break	Tea Break	Tea Break
1045 – 1130 :	<p>Session 2. Results of the original conditions study and stakeholder identification.</p> <p>Objective: Participants are aware of the findings from the village level SIA meetings on the original conditions; Participants are aware of the list of stakeholders identified by the project Presentation on original conditions by Nuru Nguya using the synthesized data . This will include information on public and social services / agriculture / forest use / wildlife / problem animals / history / social / fire / HIV / governance (20 minutes) Presentation on stakeholders by Someni Mteleka using the data from the stakeholders analysis report including both village – level and landscape-level stakeholders. (10 minutes)</p>	<p>Group Work 3: Validation of the project’s conceptual model</p> <p>Objective Participants review the list of direct threats identified by the project and suggest other direct threats; Participants review the indirect threats and opportunities that may impact on the direct threat that the group is working on. Participants suggest additional indirect threats and opportunities that may impact on the direct threat that the group is working on.</p> <p>Description Working in groups, participants will review the conceptual model specific to the deforestation drivers.</p> <p>Groups will be divided into: Clearance of land for smallholder agriculture Charcoal production Fire Collection of fuel wood Timber harvesting Pole cutting Clearance of land for commercial agriculture Groups will then present back to the plenary. Timing: 1.5 hours for group work 1 hour for plenary and discussions.</p>	<p>Identification of potential negative impacts and mitigation measures in working groups followed by gallery walk to review group work.</p> <p>Objective Participants should identify potential negative impacts of the activities and outputs in the results chain; Participants should identify actions that can be taken to mitigate potential negative impacts.</p> <p>Description Participants should review each step of the results chain to identify any potential negative impacts. For each negative impact they should indicate the nature of the impact and the stakeholders who would be negatively affected. The negative impacts should be added to the results chain by sticking on labeled post-its to the results chain.</p> <p>For each negative impact suggest an activity that could reduce the negative impact. This</p>	<p>1030 - 1130 Overview of the community monitoring plan</p> <p>Objective Participants will have provided their input on other aspects of the project’s monitoring plan including the timing, methods and participation.</p> <p>Description A presentation will be made on other aspects of the project’s monitoring plan. This will be followed by an opportunity for discussion.</p> <p>Objective: Participants have a clear picture of what was achieved on Day 1. Led by: A participant, selected on the previous day.</p>

			<p>information can be documented onto a flip chart.</p> <p>Each of the three facilitators shall oversee the activities of two groups providing assistance where necessary.</p>	
1130 – 1300	<p>Validation exercise on original conditions. Have we got it right? Objectives:</p> <p>Working Group Description</p> <p>Break into 15 working groups with the task of reviewing the results and presenting their comments to the plenary. Representatives from each of the 13 villages will review their data. Plus one group for landscape level information and one to review the stakeholder analysis results.</p> <p>The stakeholders group will carry out a slightly different exercise to map the insider and outsider stakeholders and to determine their relative importance. This group will be facilitated by Someni (see pages 69 – 70 of the SIA manual).</p>	<p>Group Work 3: Validation of the project’s conceptual model continued</p>	<p>Identification of potential negative impacts and mitigation measures in working groups followed by gallery walk to review group work. Continued</p>	<p>Review of project grievance procedure Objective</p> <p>Participants will have an opportunity to review the recommendations made by the communities in terms of a grievance procedure for the project.</p> <p>Description</p> <p>A presentation will be made to synthesize the communities’ recommendations on a grievance procedure for the project. This will be followed by questions and discussion.</p> <p>Led by: Someni Mteleka</p>
1300 – 1400	Lunch	Lunch	Lunch	Lunch
1400 - 1445	<p>Presentation on the without project scenario Objectives</p>	<p>Presenting the theory of change / causal model Objective</p> <p>Participants understand what a theory of change</p>	<p>1400 - 1500: Gallery walk for each results chain including the negative impacts</p>	<p>Review of communication plan Objective</p> <p>Participants will have an opportunity to</p>

:	<p>Participants will be familiar with the without project scenarios that have been suggested by communities</p> <p>Description Present the findings of the without project scenarios at 5, 10 and 30 years based on Tuyeni’s synthesis with information on the following topics: Availability of social / public services, Forest area, Availability of forest resources, Agriculture, Availability of water, Wildlife, Economic activities Social HIV Led by: Nuru Nguya</p>	<p>is Participants have a broad understanding of the project’s theory of change Participants have provided input regarding other major activities that should be considered by the project</p> <p>Description A presentation will be given including a description of what a causal model is and what it seeks to communicate; a summary of the project’s theory of change will be provided; and participants will be asked to consider whether there are any other major activities that should be considered. Timing: 40 minutes presentation, 20 minutes questions and discussion</p>	<p>Objective: To allow stakeholders an opportunity to comment and contribute to each of the results chains.</p> <p>To validate the results chains.</p> <p>Description All participants listen to each group as they present their findings on the results chain and provide comments.</p>	<p>review the recommendations made by the communities in terms of communication procedures by the project.</p> <p>Description Participants will have an opportunity to review the recommendations made by the communities in terms of a grievance procedure for the project.</p> <p>Led by: Nuru Nguya</p>
1445 – 1645 :	<p>Validation by stakeholders of the without project scenario at 5, 10 and 30 years</p> <p>Objective Participants will correct / supplement / validate the information included in the without project scenarios.</p> <p>Break into 9 groups as follows: Availability of social / public services Forest area Availability of forest resources Agriculture Availability of water Wildlife</p>	<p>Presenting the theory of change / causal model</p> <p>Explanation of the group work activity and break into working groups</p> <p>Objective: Participants understand what is expected of them for the group work. Led by: Nuru Nguya</p> <p>Group work to review theory of change. Participants will break into 7 groups. Each group will look at one of the following results chains by investigating the linkages from the activity to the impact level. At the impact level this will include both reductions in deforestation and reductions in poverty. The groups will be:</p>	<p>Gallery walk for each results chain including the negative impacts</p> <p>Introduction to monitoring and evaluation</p> <p>Objective Participants will have a common understanding of what is involved in monitoring and evaluation. Participants will be familiar with the main social impact indicators in the projects monitoring and evaluation document.</p> <p>Description A presentation that describes the</p>	<p>Review of communication plan</p>

	<p>Economic activities Social HIV District plans</p>	<p>Training and facilitation to communities on participatory forest management and community based monitoring Capacity building to communities on improved agriculture, conservation agriculture, marketing and storage of agricultural products Capacity building to communities on improved governance and community networking Facilitating village land use planning Awareness raising campaigns including fire awareness campaigns and environmental education Capacity building on other livelihood activities including tree planting, improved stoves and microfinance Assisting the communities to generate carbon credits and to gain an income from REDD payments Each group will be provided with flip charts showing the project's theory of change linking the activities with poverty reduction and / or reduced deforestation via outputs and outcomes.</p> <p>Objectives To develop a landscape wide theory of change.</p> <p>Participants will be asked to add / remove different steps in the chain by adding or taking away manila cards representing the outputs and outcomes. Led by: Nuru Nguya</p>	<p>indicators from the project M and E plan relevant to measuring the social impact of the project followed by questions and discussion. Led by: Bettie Luwuge Timing: 25 minutes presentation, 20 minutes for discussion and questions.</p> <p>Validating the project's indicators Objectives Participants will consider whether the project's indicators adequately measure the potential positive and negative social impacts of the project.</p> <p>Description The group will go back into the same working groups for the results chain work. Each group will be given a set of project indicators to stick onto their results chain in the relevant place. Groups will then add additional indicators to fill in gaps in terms of measuring both the positive and negative impacts.</p>	
<p>1645 – 1700 :</p>	<p>Evaluation of Day 1. Objective Participants give feedback on the workshop so far.</p>	<p>1645 – 1700: Evaluation of Day 2. Objective Participants give feedback on the workshop so far.</p>	<p>1645 – 1700: Evaluation of Day 3. Objective Participants give feedback on the</p>	<p>Way forward and Official closing</p>

	Led by: Bettie Luwuge	Led by: Bettie Luwuge	workshop so far. Led by: Bettie Luwuge	
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Facilitators:

Bettie Luwuge, Project Manager (TFCG)

Someni Mteleka, Carbon Enterprise Coordinator (MJUMITA)

Nuru Nguya Community Development Coordinator (TFCG) and

Nike Doggart Senior Technical Advisor (TFCG)

Annex 3 Group Work 1: Validation exercise on original conditions.

The Objectives of this exercise are that:

- Participants review the description of the original conditions in the landscape;
- Participants correct any errors in our description of the original conditions in the landscape;
- Participants contribute additional information about the original conditions in the landscape.

We would like you to review the information that has been provided in the separate sheet describing the original conditions in order to answer the question, have we got it right?

At the start of the exercise please:

1. Introduced yourselves
2. Select a Chair, a time keeper and a rapportour.

You should present your comments on a flip chart and should be ready to present this to the wider group.

You should arrange your comments on the basis of the following questions:

- 1) Is any of the information presented in the original conditions description (i.e. the other sheet that your group has been provided with) incorrect?
- 2) Can you provide us with any additional information about the landscape in relation to the topic that your group is covering.

Annex 4. Group Work 2: Validation by stakeholders of the 'without project' scenario at 5, 10 and 30 years

Introduction

The project aims to generate a description of what local stakeholders think that the landscape will look like in 5, 10 and 30 years in the future. This should be based on your knowledge of how things have changed recently and of any plans that are in place that will bring significant change to the landscape. You should focus your description on the topic provided to you on the accompanying worksheet. However if you are aware of other significant changes then you may also include those.

Objectives

The Objectives of this exercise are that:

- Participants will review the 'without project' scenarios at 5, 10 and 30 years that have been prepared on the basis of the village level meetings;
- Participants should suggest changes to the 'without project' scenarios at 5, 10 and 30 years in terms of the topic that their group is focusing on;
- Participants contribute additional information about the 'without project' scenario at 5, 10 and 30 years in order to present an accurate overview of how things will change in terms of the topic that their group is focusing on;
- Participants present significant changes that they think will affect the landscape in 5, 10 and 30 years.

What your group needs to do

At the start of the exercise please:

1. Introduce yourselves
2. Select a Chair, a time keeper and a rapporteur.

We would like you to begin by reviewing the information that has been provided in the separate sheet describing the 'without project' scenario that was developed at the village level meetings.

You should present your comments on a flip chart and should be ready to present this to the wider group.

You should arrange your comments on the basis of the following questions:

- 1) Do you think that the 'without-project' scenario description at 5 years (see the other sheet that your group has been provided with for details) is likely?
- 2) Do you think that the 'without-project' scenario description at 10 years (see the other sheet that your group has been provided with for details) is likely?
- 3) Do you think that the 'without-project' scenario description at 30 years (see the other sheet that your group has been provided with for details) is likely?
- 4) Can you provide us with any additional information about how you see the landscape in 5, 10 and / or 30 years in terms of the topic that your group is focusing on. In doing so, please consider the following
What are the most important changes taking place in Lindi rural at present?
What environmental changes (especially re forests, streams, rivers, animals, etc) have happened and what is causing these changes?
How do you think your children will be different from you? Why?
- 5) Can you list three other significant changes that you can foresee for the landscape over the next 5, 10 or 30 years?

Annex 5. Group Work 3: Validation by stakeholders of the project's Conceptual Model

Introduction

The project aims to reduce deforestation and forest degradation in a pro-poor way within the project area. Based on consultation with stakeholders, we have identified some of the direct and indirect threats to forests in the landscape.

Objectives

The Objectives of this exercise are that:

- Participants review the list of direct threats identified by the project and suggest other direct threats;
- Participants review the indirect threats and opportunities that may impact on the direct threat that the group is working on. These are indirect threats and opportunities were identified by communities during the village level meetings.
- Participants suggest additional indirect threats and opportunities that may impact on the direct threat that the group is working on.

What your group needs to do

At the start of the exercise please:

1. Introduce yourselves
2. Select a Chair, a time keeper and a rapporteur.

Questions for the group

1. Are there any other direct threats to forests and woodlands in the project area in addition to those listed below:

- Clearance of land for smallholder agriculture
- Charcoal production
- Fire
- Collection of fuel wood
- Timber harvesting
- Pole cutting
- Clearance of land for commercial agriculture

Please document these on a flip chart.

2. For the 'direct threat' that your group is working on, please review the indirect threats and opportunities on the flip chart diagram and comment on whether you think that these are valid.

4. For the 'direct threat' that your group is working on, please add indirect threats and opportunities.

Annex 6. Group Work 4: Validation by stakeholders of the project's theory of change

Introduction

The project aims to reduce deforestation and forest degradation in a pro-poor way within the project area. During the village level meetings, community members recommended some activities that could help to achieve that including capacity building on improved agriculture, participatory forest management, village land use planning and support for alternative income generating activities. Based on your experience and knowledge of the landscape, we would like you to critically review our theory of change. We would like to know your opinion as to what you think will happen if we carry out these activities. In particular we would like to know, in your opinion:

- Will they reduce poverty?
- Will they reduce deforestation and forest degradation?

A theory of change presents a series of 'steps' based around the thinking 'if we do this, then we think that this will happen'. These have been categorized into activities, outputs, outcomes and impacts.

Distinguishing between Activities, Outputs, Outcomes and Impacts.

Activities => Outputs => Outcomes => Impact

Activities: the physical or implemented activities of the projects.

Outputs: tangible short-term results of the project activities usually in terms of products or services e.g. number of people trained, land use plans developed, village forest management plans developed or trees planted.

Outcomes: the direct intended results stemming from the outputs such as increased incomes from agriculture; better public services; less extraction of timber / fuel wood / charcoal; and more positive attitudes towards forest conservation.

Impacts: the end results sought by the project notably poverty reduction and reduce deforestation and forest degradation.

Objectives

The Objectives of this exercise are that:

- Participants review the project's theory of change in relation to their particular activity;
- Participants suggest additional activities that are needed in order to ensure that our activities have the desired outputs, outcomes and impact.
- Participants describe any external factors or risks that might prevent the activities, outputs and impacts; or external assumptions which will favour them but over which the project has little control.

What your group needs to do

At the start of the exercise please:

1. Introduce yourselves
2. Select a Chair, a time keeper and a rapporteur.

We would like you to begin by reviewing the theory of change that is presented on the flip chart sheet given to your group.

At the left on the white manila cards you will see a description of one of the activities that the project is implementing / planning to implement.

Moving from left to right along the flip chart sheet, on the pink manila cards, there is a description of the outputs that we think will result from the activities. Moving further right, on the blue manila cards, there are a list of the outcomes that we think will result from these outputs and finally at the far right you will the impacts that we are expecting to achieve on the yellow cards.

Questions for the group

1. Will the activities lead to the outputs listed?
 - a) Please remove any outputs that you think will not be achieved as a result of the activity by taking off the relevant manila card OR add an additional activity / modification of the activity that you think would mean that we do achieve the output. You can add this by writing the activity on a pink manila card and sticking it onto the flip chart at the point where you think that, that activity is relevant.
 - b) Add more outputs that you think will be achieved as a result of the activity.

On a separate flip chart note down any comments about the output => outcomes logic.

c) Note down any external factors or risks; or external assumptions which will favour the activities leading to the outputs but over which the project has little control. Write these on the small post-its.

2. Will the outputs lead to the outcomes listed?

a) Please remove any outcomes cards that you think will not be achieved as a result of the outputs by taking off the relevant manila card OR adding an additional activity / modification of the activity that you think would mean that we do achieve the outcome. You can add this by writing the activity on a white manila card and sticking it onto the flip chart at the point where you think that, that activity is relevant.

b) Add more outcomes that you think will be achieved as a result of the outputs.

On a separate flip chart note down any comments about the output => outcomes logic.

c) Note down any external factors or risks; or external assumptions which will favour the outputs leading to the outcomes but over which the project has little control. Write these on the small post-its.

3. Will the outcomes lead to reductions in deforestation and / or reductions in poverty?

a) Please remove either (or both) of the red impact cards that you think will not be achieved as a result of the outcomes by taking off the relevant manila card OR adding an additional activity / modification of the activity that you think would mean that we do achieve the outcome. You can add this by writing the activity on a blue manila card and sticking it onto the flip chart at the point where you think that, that activity is relevant.

b) Note down any external factors or risks; or external assumptions which will favour the outputs leading to the outcomes but over which the project has little control. Write these on the small post-its.

Annex 7. Group Work 5: Identification of potential negative impacts and development of mitigation strategies

Introduction

The project aims to reduce deforestation and forest degradation in a pro-poor way within the project area. During the village level meetings, community members recommended some activities that could help to achieve that including capacity building on improved agriculture, participatory forest management, village land use planning and support for alternative income generating activities. Some of these activities may have unintended negative impacts on certain groups within the landscape. We would like you to think about what kinds of negative impacts might be caused; to whom; and how serious they are.

Objectives

The Objectives of this exercise are that:

- Participants identify any negative impacts that might arise from any of the activities, outputs or outcomes to stakeholders within the project area and to offsite stakeholders.
- Participants suggest additional activities that are needed in order to mitigate any negative impacts that occur.

You should remain in the same groups as for the validation of the project's theory of change.

Activity description

1. Review the theory of change to identify any negative impacts that might arise.
2. Where you have identified a potential negative impact, make a note on a post-it of the nature of the impact; who would be affected and how serious it would be. In identifying the people affected you should state clearly whether men or women will be most affected.

You should rank the seriousness of the threat as:

- 1 = minor impact affecting a small number of people in a minor way;
- 2 = small impact on a lot of people OR a significant impact on a small number of people;
- 3 = significant impact on a large number of people.

For example, in relation to controlling access to fuelwood supplies, you might note that the negative impact is 'reduced access to fuelwood will negatively impact women by increasing their work load. Seriousness = 3.'

'improving forest condition may lead to more wild animals crop raiding thereby reducing yields. Affects women, men and children. Seriousness = 3.'

3. For each negative impact, suggest activities that can be undertaken in order to minimize the impact on stakeholders. Note these on a different coloured post it and stick it beside the negative impact.