Schweizerische Eidgenossenschaft
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Tanzania Forest Conservation Group

Community-Based Forest Management in Tanzania

Training Manual

Volume 1. Facilitation skills and integrating community-based forest management support into local government service delivery

May 2018

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Charles Meshack
TFCG Executive Director
7th November 2017

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ABBREVIATIONS

AI	Appreciative Inquiry
ASDP	Agriculture Sector Development Programme
CBFM	Community Based Forest Management
CBNRM	Community Based Natural Resource Management
CDF	Constituency Development Fund
CFs	Council Facilitators
CMT	Council Management Team
CSOs	Civil Society Organizations
DASIP	District Agriculture Sector Investment Project
DC	District Commissioner
DED	District Executive Directors
FBD	Forestry and Beekeeping Division
FMU	Forest Management Unit
FPIC	Free Prior and Informed Consent
HSBF	Health Sector Basket Fund
ICT	Information and Communications Technology
LGA	Local Government Authority
LGCDG	Local Government Development Grant System
LGTP/VTTP	Village Transportation Grants
MDA	Ministry, Department or Agency
MJUMITA	Tanzanian Community Forest Conservation Network
MKUKUTA	National Strategy for Growth and Reduction of Poverty
MOFEA	Ministry of Finance and Economic Affairs
MPs	Members of Parliament
NGOs	Non-Governmental Organizations
NRM	Natural Resource Management
O & OD	Opportunities and Obstacles to Development
PADEP	Participatory Agriculture Development Empowerment Project
PFM	Participatory Forest Management
PMO-RALG	The Prime Minister's Office Regional Administration and Local Government
RAS	Regional Administrative Secretary
RS	Regional Secretariat
SCTVCD	Sustainable Charcoal and Timber Value Chain Development
SDC	Swiss Agency for Development and Cooperation
SWM	Sustainable Wetland Management
TASAF	Tanzania Social Action Fund
TBC	Tanzanian Broadcasting Corporation
TFCG	Tanzania Forest Conservation Group
TFS	Tanzania Forest Service Agency
ToT	Trainers of Trainers
TTCS	Transforming Tanzania's Charcoal Sector Project
UDEM	Urban Development and Environmental Management
VA	Village Assemblies
VEOs	Village Executive Officers
VLFR	Village Land Forest Reserves
VLUMC	Village Land Use Management Committee
VLUP	Village Land Use Planning
VNRCs	Village Natural Resources Committees
WDCs	Ward Development Committees
WEOs	Ward Executive Officers
WFs	Ward Facilitators

About the project 'Transforming Tanzania's Charcoal Sector'

This training manual was produced as part of the project 'Transforming Tanzania's Charcoal Sector'.

The **overall project** goal is 'a pro-poor and climate resilient transformation of the economics and governance of charcoal and other forest product value chains.

The TTCS project has two interlinked outcomes:
Outcome 1: Sustainable and well governed value chains for charcoal and other forest products improve rural livelihoods, climate change resilience and social services in three districts.
Outcome 2: An enabling and supportive policy and institutional framework exists for well-governed, environmentally sustainable and pro-poor charcoal and other forest product value chains.

What is sustainably produced charcoal?
Sustainably produced charcoal is charcoal produced from miombo woodlands under Tanzania's Community Based Forest Management regime that integrates ecologically sound harvesting principles. By combining our understanding of miombo woodland ecology and standard forestry methods, the project has developed a 24 year harvesting rotation scheme that aims to be robustly sustainable and easy-to-use. After an area is harvested, natural regeneration is encouraged through careful fire management and exclusion of other disturbances, particularly agriculture. The model aims to sustain the biodiversity and other ecosystem values offered by natural woodland. Charcoal is produced using efficient kiln technology and is produced and transported legally.

Project duration
SDC have committed funding for the project for 4 years from December 2015 to November 2019.

Project Location
During Phase 1 (2012/15), the model was established in 10 villages in Kilosa District, Morogoro Region.
During Phase 2 (2015/19), the model is being extended to another 20 villages in Kilosa, Mvomero and Morogoro Rural Districts. Advocacy and communication work is implemented nationally. The project focuses on woodland adjacent to the high biodiversity forests of the Rubeho, Nguu, Nguru and Uluguru Mountains.

The Project is financed by the Swiss Agency for Development and Cooperation (SDC)
SDC is Switzerland's international cooperation agency within the Federal Department of Foreign Affairs (FDFA).
www.eda.admin.ch/daressalaam

The project is a partnership project between three national non-governmental organisations:

Tanzania Forest Conservation Group
TFCG is a national non-governmental organization whose mission is to conserve and restore the biodiversity of globally important forests in Tanzania. TFCG is the lead partner in the implementation of the project.

tfcg@tfcg.or.tz www.tfcg.org

Tanzania Community Forest Conservation Network (MJUMITA)
MJUMITA is a national network of community groups involved in participatory forest management. The network provides a forum for capacity building, advocacy and communication for these groups. MJUMITA is responsible for advocating for policies that incentivize community-based forest management by integrating sustainable charcoal production.

mjumitaorg@mjumita.org www.mjumita.org

Tanzania Traditional Energy Development Organization (TaTEDO)
TaTEDO is a sustainable energy development organization with experience of 20 years working on rural energy issues. TaTEDO is responsible for contributing to national advocacy and communication.

energy@tatedo.org www.tatedo.org

1. INTRODUCTION

1.1. The purpose of this manual

The training manual is intended to enhance the capacity of district level technical staff to train communities to implement Community Based Forest Management (CBFM) that includes sustainable harvesting for charcoal and timber. Thus, the manual is designed to be used as reference for trainers training district staff and local communities. The manual focuses on two major capacity building blocks as follows:

1. Facilitation, training and advocacy skills to strengthen organizational capacity (Block 2a: Modules 1 - 4):

1. Facilitation skills
2. How to be ToT and follow up on the capacity building cascade downwards to the village level
3. Networking skills with other stakeholders (including private sector)
4. Linking to lower levels without budget

2. Strengthening organizational capacity in terms of accountability and district priority (Block 2 b: Modules 5 - 7):

5. Social accountability and transparency
6. Planning and budgeting for NRM/CBFM services
7. How to advocate in CMT and full council

1.2 Introducing the cascade model of training

This training manual is built on the cascade model of training that involves delivery of training through layers of trainers until it reaches the final target group. The choice of the cascade training model is based on its core advantages:
1) Given limited financial and human resources available for CBFM, the cascade model is the most cost-effective way of reaching village level actors and institutions supporting governance of the charcoal and timber value chain in multiple villages;
2) It empowers government (local and central) departments to become more responsible for their own capacity development while ensuring utilization of the expertise of all staff; boosting their confidence and motivating them to become trainers.

1.3 Purpose of the training manual

The purpose of this manual is to provide a training resource for government officials at district level who will be Trainers of Trainers (ToT). The manual is designed to empower Local Government staff to take responsibility for providing **support to Village leaders, Village Natural Resources Committees (VNRCs), Village Assemblies and Village Executive Officers (VEOs)** to ensure sustainability and good governance in CBFM and sustainable forest product value chains. It is highly recommended that those that will be trained as trainers must also train their peers to enhance sustainability given the high turn-over of staff within Local Government Authorities. This notion is a key assumption for the sustainability of local government support to CBFM. Thus, this understanding needs to be well instilled in the district council leadership and decision-makers in order to ensure that trainers are given formal responsibility to ensure training of their peers. It is also critical for scaling up the model beyond the initial villages where SDC support has been provided. Cascading is most successful when the trained trainers have specific responsibility at work to make them pass on the knowledge and skills acquired.

Besides peer training of their fellow Local Government Authority (LGA) staff, the trained trainers at the district councils are expected to reach out to **local private sector players**, such as the charcoal/timber producers and trader associations. For these stakeholders, LGA staff will enhance entrepreneurship, marketing and business skills. They will also build the capacity of those responsible for regulating and monitoring the value chains to ensure that they function in ways that are sustainable, transparent and equitable.

1.4 Intended users of the training manual

This Trainers Training Manual is designed for those who plan to support sustainable, forest-based enterprises in the context of community based forest management, particularly in miombo woodland areas of Tanzania.

The primary target audience for this manual, are technical officers within local government authorities at the district/municipal council and regional secretariat levels, workers from local, national and international Non-Governmental Organizations (NGOs), representatives of local stakeholders, staff of projects working in natural resource management, extension workers, and other individuals committed to enhancing participatory community based forest management in their surroundings.

In general, it is assumed that those using the manual will have already had some training and exposure to participatory approaches. Those with no prior experience with such approaches may still find it useful.
Although this manual has been developed in the context of the TTCS project, it is intended for use in local government authorities in other districts in Tanzania and even in other countries.

1.5 How to use this training manual

The manual is structured according to modules. An overview of the modules is provided on page 4. Description of modules and respective sessions under each module provides a general overview that users of the manual should make reference to, during or when preparing for a training.

Each training session makes reference to specific handout(s) that provide subject knowledge for the session including exercises, guided questions, and other relevant materials. During the training planning stage, users are advised to review, adapt, and use materials from the handouts relevant to the session(s) of their choice. Furthermore, individual handouts can be photocopied for use during the actual training.

1.7 Practical hints to use the manual

Modules and sessions in the manual are designed to be delivered using participatory training approaches. The following practical hints for conducting participatory training sessions are relevant:

a) Selection of training venue, materials and equipment

The manual does not propose any specific type of venue. However, it is important to ensure that the trainer(s) and the trainees are comfortable in the training venue. The ideal venue should have sufficient space and movable furniture to facilitate active engagement of participants. Participants should sit in a "U" or circular configuration in order to stimulate effective participation. Furthermore, for each training session some materials and stationery, such as flipcharts, marker pens and masking tapes, must be prepared prior to the training. Trainers are highly advised to use local materials whenever possible.

b) Documentation of the training

It is important to document the proceedings of the training and outputs of group activities for each training occasion. Documentation must be done on the same day of the training to avoid forgetting the best ideas that tend to be generated on the spot. Documentation of the outputs from different group activities provides valuable information that can be summarized for participants to take home. Therefore, it is important to include a skilled rapporteur to ensure effective documentation of the training events.

c) Mutual agreement on the training time

Trainers using this manual are advised to consider agreeing convenient times for the training, for them and the participants. This helps to plan the training at times convenient to participants.

2. TRAINING MODULES

There are eight modules described in "Part One" of this manual, each of which is divided into several sessions. Each session covers information on five key domains:

a) the objectives of the session,
b) the materials required to complete the session,
c) the amount of time that should be allocated, and
d) the training steps.

For each session, detailed elaboration and illustration of the required subject content knowledge is presented separately in the respective "Handouts", which are referred to in each session-plan description. These include elaboration of practical application of different technical concepts; processes and steps involved; and guidance for different training exercises. Therefore, handouts are important components of the training manual. The handouts are designed to expand the knowledge and skills of the trained trainers. The subject-content knowledge is one of the inherent motivating factors likely to encourage the trained trainers to engage in effective and efficient cascading.

SUMMARY OF DAILY SCHEDULES

Days	Modules to be covered
Day one	Module 1: Facilitation skills (2.5 hours) Module 2: The concept of 'Free Prior and Informed Consent' FPIC (1.5 hours) Module 3: How to be a trainer of trainers and follow up on the chain of training cascades (2 hours)
Day two	Module 4: Networking with other stakeholders including private sector – (4 hours) Module 5: Linking to lower governance levels without budget – (4 hours)
Day three	Module 6: Social accountability and transparency (4 hours) Module 7: Planning and budgeting for Natural Resource Management (NRM)/CBFM services (2 hours) Module 8: How to advocate in Council Management Team (CMT) and full council (2 hours)

MODULE ONE: FACILITATION SKILLS

This module comprises three sessions that require 2 hours and 30 minutes to be accomplished:

1. Introduction and opening (30 minutes)
2. Basic facilitation skills (1 hour)
3. The concept of positive enquiry (1 hour)

Table 1: Session plan for module number one

Module 1: Facilitation skills (2.5 hours)	
Session 1.1: Introduction and opening (30 minutes)	
Objectives	At the end of the session, participants: 1. Get to know each other 2. Understands the relevance, objectives and topics to be covered during the training 3. Participants are motivated to take the training seriously 4. Set and agree on the training norms
Materials	• Flip charts • Marker pens • Manila cards • Masking tape • Handout 1.1: Training objectives and agenda prepared on a flipchart • Handout 1.2: Session evaluation form • Notebooks and pens
Activities	1. The trainer invites a representative of an authority from a higher level (guest of honor) than those being trained and with major responsibility in forest management to officially open the training event. • Strategic choice of the cadre to officiate the training event is important to add weight to the importance of the training. The right choice is likely to assure participants that the training will be useful in their work and may reinforce the importance of taking the training seriously. 2. The trainer and co-trainers introduce themselves. 3. Each participant is asked to introduce him/herself; each participant is given one manila card and the instruction to draw: something that typifies him/herself, something one really likes when participating in trainings, something one really dislikes when participating, and one clear expectation. 4. The manila cards are exchanged among participants and each participant shares the introductions and the expectations on each card. • The trainer or training assistant takes note of the expectations on a flipchart. 5. This process is continued until all people have been introduced and all expectations are shared. 6. The trainer distributes name tags and asks participants to write their names on the tags. 7. The trainer uses 10 minutes to present training objectives and topics to be covered for three days by using flipcharts prepared by the trainer. See Handout 1.1. 8. The trainer introduces the participants to the training session evaluation form and reminds them that each of them should fill the evaluation form at the end of each session (See Handout 1.2) 9. A reflection exercise is conducted on the expectations and how they relate to the objectives and agenda. 10. Allow 5 minutes for questions and clarification.

	11. The trainer distributes materials (notebooks, pens and training agenda) to the participants. 12. The trainer asks participants to volunteer to join the feedback team, service team or the social team explaining that these will be rotated daily. The trainer describes the responsibilities of each of the team member: • Feedback team - collects information at the end of the day and analyses the results to be presented the following morning. • Service team - responsible for placing flip charts on the wall, distributing cards and marker pens and identifying a timekeeper. • Social team - responsible for energizers wherever necessary. 13. The trainer explains briefly the main training approaches which will be used in the training. The trainer emphasizes that the training will apply participatory approaches providing more opportunities to share their views, thoughts, opinion and experiences so that the learning outcome from this training will be more practical to the participants' interests. 14. The trainer explains that each session will build on the previous sessions. As such it is important to attend all training sessions. 15. The trainer facilitates the establishment of the norms to be followed during the training. 16. The trainer writes the norms on a flip chart and asks the participants to discuss and agree. Typical group norms include: • Start and finish on schedule • Any question is a good question • For any question there is not always a wrong or right answer, the purpose of questions is to elicit discussion • Everyone should have the chance to participate • We help each other to learn • Share responsibilities for group task • Everyone can ask questions at any time 17. Trainer concludes the session by encouraging participants to speak or express their views as much as possible.
Session 1.2: Basic facilitation skills (1 hour)	
Objectives	At the end of the session, participants: 1. Gain knowledge on the concepts, principles, and values of participation and facilitation 2. Able to apply participatory training approaches 3. Motivated to apply participatory training approaches
Materials	• Flip charts • Marker pens • Manila cards • Masking tape • Handout 1.3: The concept and principles of facilitation • Handout 1.4: Interactive games and exercises • Notebooks and pens
Activities	1. The trainer makes a presentation on the concept and principles of facilitation [Handout 1.3]: • What do we mean by "facilitation" • What is a facilitator? • Basic principles and values of facilitation • Styles of facilitation 2. Exercises – the trainer facilitate a series of selected exercises from Handout 1.4: • Listening • Verbal

	• Closing exercises 3. The trainer does a wrap-up and synthesis
Session 1.3: The concept of positive enquiry (1 hour)	
Objectives	At the end of the session, participants: 1. Gain knowledge on the meaning and application of the concept of appreciative inquiry in the context of natural resource management 2. Able to apply the appreciative inquiry approach in supporting communities to plan for community based natural management (e.g. Village Land Use Planning, Participatory Forest Management and Community Based Wildlife Management) 3. Motivated to apply appreciative inquiry in planning for community based natural resource management and other community based development initiatives
Materials	• Flip charts • Marker pens • Manila cards • Masking tape • Handout 1.5: Presentation on the concept of Appreciative Inquiry (AI) • Handout 1.6: Exercises on appreciative inquiry • Notebooks and pens
Activities	1. The trainer makes a presentation on the concept of Appreciative Inquiry (AI) [Handout 1.5]: • What do we mean by "appreciative inquiry"? • Basic principles appreciative inquiry • Comparing and contrasting "problem solving" and "appreciative inquiry" approaches • Application of AI approach in facilitating community based natural resource management 2. Exercises – the trainer facilitates exercises "in group works" on all four AI steps as described in Handout 1.6. 3. The trainer asks participants to present the group work on AI steps in a plenary session. 4. The trainer concludes the exercises summarizing all key steps of the AI in relation to natural resource management. 5. The trainer gives thanks to all participants, does a wrap-up and closes the session.

Handout 1.1: Training objectives

The objectives of the training are:

1) To enhance the capacity of participants to transmit knowledge and skills to other officials, stakeholders and communities with respect to preparation and support of Sustainable Charcoal and Timber Value Chain Development (SCTVCD) in the context of community based forest management
2) To enhance the capacity of participants in the following capacity areas:
   - i) Connecting with other stakeholders, particularly communities
   - ii) Practicing transparency and accountability in their roles
   - iii) Supporting fair budget allocation to Community Based Forest Management (CBFM) and other Community Based Natural Resource Management (CBNRM) initiatives
   - iv) Differentiating and creating appropriate balance between their supportive (e.g. delivering technical support to VNRCs) and regulatory such as law enforcement

Handout 1.2: Session Evaluation form

Training Evaluation form

Session title: ____
____

Trainer:__________________________________Date____________________

What portion of the session did you find:

Most helpful:____________________________________ __________________
____
____

Least helpful and why:______________________________________ __________
____
____

Items	Least effective						Most effective			
	1	2	3	4	5	6	7	8	9	10
How would you rate this session?										
Evaluate the Trainer's effectiveness in the following:										
Style and delivery										
Responsiveness to participants										
Knowledge of the subject										

How will you apply the skills learned back on the job?__________________________ ____
____
____
____

What can we do to make the course better? ____________________________________
____
____
____
____

General comments: ____
____
____
____
____
____
____
____

Handout 1.3: The concept and principles of facilitation

1. What do we mean by "facilitation"?

Facilitation means to enable or empower different groups of community members (with similar or different interests) to collectively carry out a task or perform an action to achieve their own shared goals. This entails an ability to understand the local context and guide group choices in appropriate ways towards achievement of desired objectives or outcomes at local level. Facilitating is the conscious process of assisting a group to successfully achieve its task or action while functioning as a group. The facilitator does not perform the task, but uses facilitation skills in a process which allows the individuals/group perform a task or reach their decision.

The concept of facilitation has different meanings to different people. There are various ways of describing facilitation:

- ☑ Enabling or making easy for a group to work out its tasks, or
- ☑ Creating an environment that enables people to help themselves by simply being there as a "neutral enabler", listening and responding to people's needs, or
- ☑ Supporting individuals, groups and organizations during participatory processes, or
- ☑ Moving a group towards a common destination.

2. What is a facilitator?

A facilitator is a person who helps the group of different community members to engage in processes to reach a collective solution or decision for their own problem or desired goal.

3. Relevancy of facilitation in community based natural resource management

Establishment of Community based natural resource management (CBNRM) such as community based forest management (CBFM), participatory village land use planning (PVLUP) and Wildlife Management Areas (WMAs); involves different stakeholders and local user groups with diverse ideas, experiences and social status. These diverse stakeholders, sometimes with conflicting interests, need a safe environment to enable them work together to achieve different tasks including:

- ☑ Identifying and solving problems
- ☑ Resolving conflicts between themselves
- ☑ Making collective sound mutual decisions
- ☑ Developing natural resource management plans together
- ☑ Developing cooperation mechanisms that takes care of their diverse and conflicting interests

There are two other important considerations for successful establishment and sustainability of CBNRM:

- ☑ Integration of indigenous knowledge and interests of different stakeholders including different user groups of the natural resources
- ☑ Effective participation of all stakeholders in the various decision-making processes to establish CBNRM initiatives

All the above requirements for establishment of CBNRM underscore active participation of diverse social groups and stakeholders. Participation is normally achieved through meetings in which different stakeholders are involved. Useful ideas and experiences are shared in those meeting. There are risks for some ideas and experiences to get completely lost if the meetings are not carefully organized. This happens because of natural principles that prevail in meetings and group discussions:

- ☑ Ideas expressed in easy and interesting way are easily accepted by many people.
- ☑ Regardless of relevancy or usefulness, ideas expressed poorly or offensively are not heard or simply not accepted by many people. Examples of poorly expressed ideas are broken sentences presented by individuals who are shy or nervous.

- ☑ Status of people determines whether their ideas presented in meetings or group discussions are accepted or rejected. For example, in most African village communities people are more likely to listen to a village leader or elders than to a young woman.

In this context, a facilitator applies various facilitation techniques to ensure that all ideas are well captured to support effective and sustainable CBNRM.

4. The role of a facilitator in community based natural resource management

The facilitator has two major roles of guiding the process and being content neutral in CBNRM related meetings and decision-making processes. Content neutrality means not taking a position on the issues being discussed and not having a position or stake in the outcome. This helps to ensure fair, inclusive and open process that enhance equal participation of everybody, and create a safe environment that encourages effective participation of all stakeholders. It is important that facilitators avoid giving advice, whether requested or not. Advice means that the facilitator tells the group what s/he thinks they should or should not do. It illustrates the belief that "I know better". The belief ignores the important facts that everyone is different, experiences are different and therefore the decisions they make ought to be different.

When asked for advice, facilitators can direct the question to the person/people who asked advice or respond back by asking one of the following questions or making a comment:

- ☑ What are the options or alternatives you can think of?
- ☑ What do you think are the advantages or disadvantages of these options?
- ☑ I suggest you answer that question for yourself first.
- ☑ Would you like the group to generate some suggestions?
- ☑ Are you asking for my opinion?

Sometimes it is not easy to avoid giving advice when guiding a group. Besides the above responses and questions, facilitators need to fulfill three conditions when asked for assistance by the group:

i) Clarifying expectations of group regarding your role as a facilitator,
ii) Creating a common understanding about facilitation in general, and
iii) Clarifying his/her role as a facilitator.

5. Facilitation techniques

There are four main techniques that facilitators can use to ensure that all ideas and experiences from diverse stakeholders and social groups are captured:

i) Summarizing what somebody has said when the person is being repetitive,
ii) Probing to slow down and drawing out concrete ideas from those who speak in broken sentences,
iii) Repeating or paraphrasing an idea presented by a shy participant in order to bring it to the attention of all participants, and
iv) Treating interruptions firmly and respectfully, by assuring the interrupted speaker that the facilitator will come back to it just before the discussion ends.

The concept and principles of facilitation: Facilitation techniques

6. Basic principles and values of facilitation

Good facilitators should demonstrate the following basic principles and values of facilitation:

i) Sensitivity to the feelings of individuals: facilitator should act in ways that ensure that everybody in the meeting or discussion group is comfortable.

ii) Listening actively: facilitator should listen actively to take note of ideas and concerns of every member of the group. This helps to avoid subsequent conflicts over the use of natural resources**. Thus, a good facilitator should be one that listen carefully, speaks less only when it is necessary to keep the discussion in harmony.** This assures the community members that the facilitator does not force them to reach decisions they don't want; and so community members becomes comfortable.

iii) Inclusiveness: participatory natural resource management should respond to the needs of all social groups from the start of the process. Thus, a good facilitator is one that is sensitive towards the needs of individual participants and their roles in the group. This creates an environment that enhances adequate involvement of each participant. Particular care should be taken to ensure that marginalized groups participate effectively, including women and youth.

iv) **Uses questions skillfully:** relationships between communities and their natural resources are complex and touches different facets of peoples' lives. It is important that when discussing such a complex system, open-ended questions are used. Such questions elicit flexible answers and promote careful thinking about ideas and opinions. Similarly, questions should be positive to enhance exploration of the potential relevant indigenous knowledge.

7. Styles of facilitation

Style of facilitation refers to the different modalities or approaches that facilitators can use to guide community groups' working processes. The appropriate styles vary depending on the task/activity, nature of people involved, time available and specific needs of group members. One set of facilitation styles or approaches are suitable for helping a given group accomplish a given task such as preparing a village forest management plan or village land use plan. Another set of facilitation styles or approaches are suitable for helping groups of community members through different process to achieve a given task such as prioritizing different forest threats. The different facilitation styles or approaches for each of the two different contexts are described below:

a) Styles for facilitating tasks

i. **Directive:** providing guidance to participants on how to perform a particular task. For example, demonstrating how to develop a community action plan.
ii. **Exploratory:** asking questions that encourage participants to speak out their ideas and experiences. Typical example of question may be: "What were successes in the last village forest management plan you developed?"
iii. **Delegating:** assigning tasks, roles and functions to individuals. For example, asking different participants to take the roles of note taking, chairing discussion meetings, etc.
iv. **Participative:** facilitator taking part in discussion through sharing of his/her own personal experiences as a way to encourage others to do likewise. For example, "The first time I participated in developing village forest management plan like this was ………"

b) Styles for facilitating processes

i. **Interpretive:** adding other words on a contribution or helping someone to find the words to express what s/he means. For example, "…do you mean relocating all pastoralists from this village or negotiating with them on how they can manage their herds without damaging your forests and farms…?
ii. **Cathartic:** encouraging clarification and modeling the expressions of feelings and emotions as they emerge by asking a question such as: 'And was that a very enjoyable experience?'
iii. **Evaluative:** attaching a statement of value in relation to behaviour or approach expressed by participants, such as: 'That seems to have worked well for this community…'
iv. **Sharing:** encouraging sharing of past and present feelings and those about future events, with a question such as: 'is there anyone with a different feeling?'
v. **Directive:** guiding participants to explore their feelings and express them to the group. This involves intervening in a discussion and making suggestions such as: 'Let us think deeper as a group on how drought has affected the community'.

8. What are important attitudes for a facilitator?

Attitudes are a combination of values, beliefs and opinion of an individual. Naturally any human being is free to talk about attitudes of other people but hate to think about his/her own. Attitude is visible and perceived by other people who observe you than to yourself. Attitude is difficult to measure but can be expressed through five different ways:

i) words or opinion,
ii) tone of voice,
iii) body language,
iv) behavior in a group, and
v) facial expression.

Facilitators need to have four key attitudes to enable them guide and interact with people from diversity of background, and help to open up the channels of communication between people:

i) **Showing interest in people's situations and lives:** people become more confident in sharing their thoughts with you when they feel that you are interested in their lives and not just those aspects that relates to your profession.
ii) **Showing empathy:** being able to put yourself in someone else situation in order to understand their perspective on an issue. This need to be developed very well as a facilitator will need to empathize with many people at the same time. It enhances trust of people to the facilitator, which increases their responsiveness. It is important for facilitators to remember that as they try to empathize with different people in a group they should remain neutral all the time.
iii) **Unconditional positive regard:** this means that regardless of a person's views, opinions, behaviour, gender, or class, etc. you should always value the humanity and uniqueness of an individual and respect their potential. This, however, does not mean that you need to like or agree with all the people irritating you but you simply accept their uniqueness and their value in the process.
iv) **Unconditional trust in a group's potential:** always trust the group's ability to find a workable solution or decisions for their own problems. This implies that regardless of the group composition, a facilitator should always believe that the answers lie within the group while the role of a facilitator is help and bring these answers out.

Important tips that can help facilitators check and regulate their attitude as they facilitate group processes are summarized in Box 1.

Box 1: Tips for self-checking and developing desirable attitudes for facilitators

- ✓ Do not judge
- ✓ Try hard not to project your own perceptions onto others
- ✓ Do not assume that people need your help
- ✓ Be genuinely friendly
- ✓ Show respect, and honour the people you work with
- ✓ Have faith in the people you work with
- ✓ Accept that people have their own values, behaviours and views
- ✓ Show interest in all aspects of people's lives
- ✓ Step back and listen
- ✓ Behave in the same way you would expect others to behave towards you
- ✓ Do not think you know better
- ✓ Do not give advice

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Handout 1.4: Interactive games and exercises

1. Introduction

Use of various kinds of games and simulation exercises in training helps to motivate participants and enhance effective participation. This session describes relevant games and exercise that are appropriate when facilitating trainings on community based natural resources management.

Games take a form of structured competition between two or more participants. **Exercise focuses** on problem-solving activity. These should be relevant to natural resources management. For example, asking a group to discuss how they can demarcate and develop a management plan in such a way that avoids conflicts between different users of the resources.

Figure 2: Advantage of using training games and group exercises

2. Examples of games and exercises

1) Ice breakers

These are games and exercises, also known as openers, that are used to get participants to introduce themselves or for putting trainees into the right mood for the coming session. The games and exercises should be those related to CBNRM in order to ensure focus of the participants.

a) Listening exercises
These exercises are intended to create listening skills among participants. The skill is among the most important skills when facilitating communities to discuss about management of their natural resources. Examples of listening exercises include:

i) Introductions
The trainer asks participants to sit in pairs. In each pair, the first person introduces her / himself to the companion (name, origin). They change roles and the other person now does the same. The trainer asks participants to go back to the larger group. Partners introduce each other, and then the trainer concludes the exercise.

ii) Babble-babble
The trainer asks participants to work in pairs. Working in pairs, both partners speak simultaneously on a CBNRM theme given by the facilitator, such as sustainable harvesting of timber trees. The pairs talk about viable strategies that they think can help to ensure keeping utilization of timber trees at levels that do not deplete them in the forest. The trainer asks the pairs to feedback their talks to the large group. The trainer asks participants to brainstorm and discuss strategies people use to keep talking and to avoid listening. The trainer asks participants to think about why it is important to have good listening skills when implementing CBNRM.

b) Verbal exercises
i) What I'll need, what I'll give
The trainer asks each participant to say what s/he needs from members so that s/he will work well. Participants then say what they will give to the group to enable people to work well together. The trainer records these statements and encourages members to act on them throughout the session. This exercise is relevant when preparing for transect walks as part of CBFM or Village Land Use Planning (VLUP) processes.

ii) Appreciations
The trainer asks participants to sit in a circle. Then he/she ask each member to give an expression of appreciation to the person on her/his right. The trainer choses the starting place and continues around until everyone has received an appreciation from the person next to her/him. This exercise is most appropriate when concluding meetings with fewer participants such as Village Land Use Management Committee (VLUMC) or Village Natural Resources Committees (VNRCs) meetings when developing respective draft plans and bylaws.

c) Name exercises
i) Throwing and receiving a pen
The trainer asks participants to sit in a circle. The trainer selects a pen. S/he says her/his name: 'I'm Babu/Bibi' Then s/he passes the pen to the next person who says: 'I got the pen from Babu/Bibi and my name is Komesha. Komesha passes the pen to the next person and s/he says: 'I got the pen from Komesha, who got it from Babu/Bibi and my name is Mawazo'; and so on. The last person must remember all the names. With more than fifteen people this might become pressurizing and too difficult. It is advisable that the facilitator be the last person for him/her to take the pressure. This exercise would be relevant for situations such as VNRC training on forest resource assessment or Village Land Use Management Committee (VLUMC) training on village boundary confirmation exercise.

ii) Each participant naming his/herself
Participants stand in a circle; the facilitator asks each member to name him/her and give a little information about her/his name: why was s/he called by that name? After whom is s/he called? Does s/he have a nickname? Does s/he like her/his name or not? Is there any name s/he would like to be called during the training? This exercise would be relevant for situations such as a VNRC or VLUMC training or training a charcoal association especially in the first training since their election.

iii) Each participant naming his/herself
Participants stand in a circle. Everybody says her/his name once or twice in a round. One person calls out a name and moves to the place where that person is standing. This second person immediately says another name and moves into that person's space. S/he moves on, calling out a fourth name and so on. This exercise would be relevant for situations such as a VNRC training or training a charcoal association or VLUMC.

d) Closing exercises
These are used to bring a session to a close, to acknowledge what has been achieved and to enable the group to say goodbye on a positive note.

i) Rounds of appreciation
The trainer asks for a round of positive feedback on the contribution of the group process from each participant. These appreciations may be written in a notebook or written on a sheet of paper for each member, or they may be spoken in a group circle. In a CBNRM context, this exercise would be relevant just after finishing transect walk with VNRCs or VLUMC

i) Advertisements
The trainer asks participants to be in small groups (or the entire group, depending on size). He/she then asks them to draw up an advertisement to encourage others to do the course, join the group, or take part in the programme. This could be a newspaper, which should highlight the benefits of being in the group. It can be hung up in the workroom or acted out. In a CBNRM context, this exercise would be relevant in sessions for preparation of forest management plan or VLUP.

2) Energizers
As the name suggests, these are exercises designed to refresh participants and to keep their concentration as sessions continue especially during mid-afternoon or anytime the trainer feels a group's attention might be fading away. They are also useful for smooth transitions when changing the pace of an activity. Although the focus is more on revitalizing a group, they should be chosen in such a way that they contribute to deepening the understanding on the topics. Energizers should be strategically chosen to relate to the subject content rather than just to do a physical exercise. Trainers need to have several relevant energizers and implement one after another when they see that participants' are exhausted. Another strategy is to delegate to some participants who have experience in attending trainings, asking them to do the energizer whenever there is a need. Examples, of two typical energizers are:

a) Animal Roundup
- ☑ **Purpose:** Physical energizer
- ☑ **Time Required:** 3 minutes
- ☑ **Group Size:** 5-50
- ☑ **Material Needed:** None

The exercise: The exercise involves four steps:
1. The trainer tells the participants to silently think of their favorite wild animal.
2. Then tell group members that, without talking, they need to arrange themselves from largest to smallest animals.
3. Group members can only make gestures and the noise of their wild animals.

4. After they have finished, the trainer asks group members to go around and say the wild animal they were supposed to be to see if it was accurate. This exercise is appropriate in CBNRM management planning sessions for forests that have significant numbers of wildlife that merit adoption of planning for multiple services and products.

b) Pushing back

- ☑ **Purpose:** To help participants get over their fear of being wrong and talk about their own ideas or experiences freely both in class and back on the job.
- ☑ **Time Required:** 10 minutes.
- ☑ **Size of Group:** Unlimited.
- ☑ **Materials Required:** None.

The exercise: The exercise is based on the premise that answers can be different without necessarily any of them being incorrect.

The trainer begins by asking for a volunteer. He/she instructs that person to raise his or her hands, palms forward. He/she then puts his palms against the volunteer's and pushes, gently at first, then with increasing force. The volunteer almost always responds by pushing back (if the first one doesn't, the trainer should thank the person, and move to another).

The trainer thanks the volunteer and asks the class a series of easy questions on which their answers generally agree: What were the instructions to the volunteer? What did the instructor do next? How did the volunteer respond?

Then the trainer asks his final question: Did the volunteer respond correctly to the situation? Some say yes, that there was no other logical response, that the instruction to resist was implied by the instructor's action. Others argue that instructions should be followed exactly, and none were given for the volunteer to push back.

The learning point: The trainer then finalizes by explaining that, we are conditioned to believe there is a right and a wrong answer to everything. Sometimes, as in the demonstration just seen in the exercise, that is not true. We need to open our minds to the possibilities that there might be multiple ways of responding to a situation, and many of them might be correct.

The trainer adds on and suggests that the test of whether an idea or action is correct might be whether it achieves the desired results. That, he/she says, is the approach he/she is taking to the session. Noting that as a trainer, his/her job is not so much to show the participants what's right and wrong," he/she tells the class, "as to assist you in exploring your responses to see if they help you get what you want; and in case they don't, I'll try to coach you to explore other options.
In the context of CBNRM and sustainable charcoal, this activity would be relevant for an LGA staff providing training to VNRC or Charcoal Association or VLUMC, especially in one of those training that comes soon after the election/appointment.

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Handout 1.5: The Concept of Appreciative Inquiry (AI)

1. What do we mean by "appreciative inquiry"?

Appreciative Inquiry (AI) is one of participatory techniques rooted in a philosophical belief that the past successes of individuals, communities, organizations are the basis for future success. AI is an approach to social change that identifies peak historical positive moments within a community and reinforces the conditions that make past achievements possible. The AI does acknowledge problems but, when finding solutions, it focuses on historical positive achievements, or past peak experiences, best practices and noble accomplishments as bases to help community members first visualize and then implement a collectively desired future. The basic premise is that, in each community, something good already exists that can be discovered and used to achieve the desired future of the community. AI requires that facilitators focus on the strengths of communities in order to enhance effective community participation get more of what works best, rather than trying to trace and eliminate things that do not work.

The Concept of Appreciative Inquiry (AI)

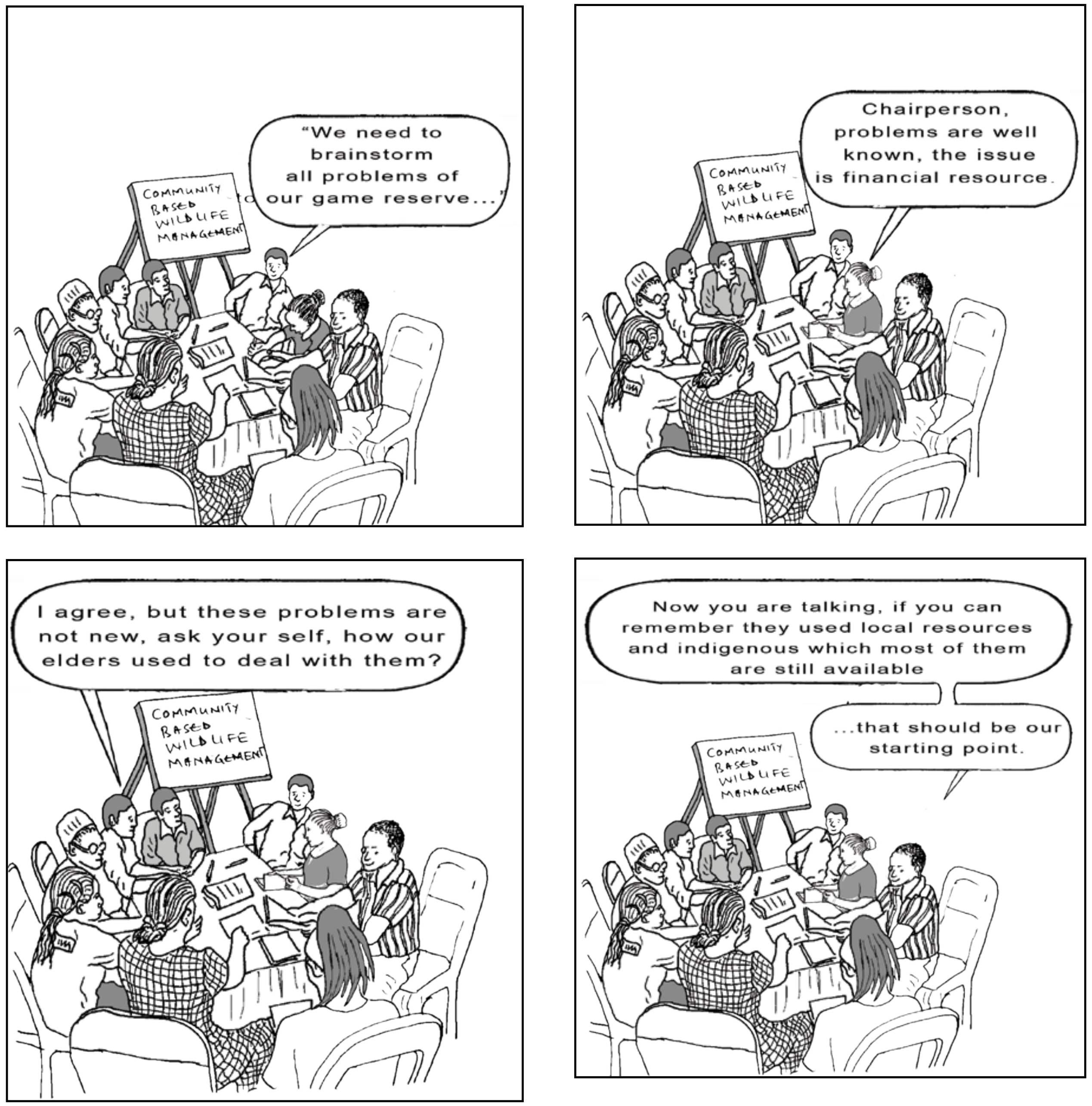

Figure 3: Meaning of appreciative inquiry and how it differs from problem solving approach

2. What are the basic principles of appreciative inquiry

AI is based on five principles as described below:

i) **Reality is socially constructed through language:** perceptions and knowledge of the community determine its fate. AI focuses on the best achievements and strength already existing in a given community. It creates positive perception of the future of a given community. This has empowering effects on the target community. Mindsets of the community members are tuned on confidence and commitment to the belief that they have what it takes to achieve their common goal. This helps communities overcome the dependency syndrome. They are energized and empowered to lead their own life using their own resources and capabilities.

ii) **The nature of the question asked determines the magnitude and direction of change:** the question asked (positive or negative) to the community determines what people talk about, discover, learn and focus on. AI starts by appreciative or positive questions. The positive questions guide the community to explore, discover and build on its existing strength to move towards a desired future. Based on this principle, facilitators of CBNRM should always construct questions that position local communities as custodians and managers of the natural resources rather than destructors of the natural resources.

iii) **Our choice of what we study determines what we discover:** any community's story is dynamic being co-authored by the people within the community and facilitators engaging with them. AI begins with storytelling elicited through open ended questions, practically, with flexible thematic focus. The stories generated contain holistic information touching not only facts but also feelings. This makes AI flexible to inquire into anything including CBNRM.

iv) **Community's image of the future inspires their positive actions to shape the present:** the AI creates collective positive imagination and discourse about future. The AI internalizes positive expectations in peoples' minds. This brings the future powerfully into the present as an energizing agent that ignites all possible community actions towards the envisioned positive future.

v) **Positive questioning leads to positive change:** this relates to principle number two-that **the nature of the question asked determines the magnitude and direction of change.** The positive principle maintains that positive imagery has a therapeutic effect; the higher the expectation of each other the greater the cognitive function and performance. People and communities move in the direction of their questions. Communities are inspired and energized by a positive image of the future than by constant discussion of difficulties. The AI is built on positive questioning; it stimulates positive thinking and social bonding, which leads to momentum for change.

The five core principles of appreciative inquiry

Figure 4: The five core principles of appreciative inquiry

2. Appreciative inquiry process: the 4-D cycle

> *"Tell me a story, if you are willing, of a time when this community has been enjoying abundant forest resources– when people were proud of living adjacent to forests. What happened? What made it possible for this enjoyable community moment to occur? What would the nearby forests look like if that example of excellence was the norm?"*

Appreciative inquiry involves 4 iterative phases that occur in a cyclic sequence - the 4-D cycle (Figure 1):

- discovery-appreciates "what works";
- dream-imagine "what might be";
- design-determine what "should be"; and
- delivery/destiny-create "what will be".

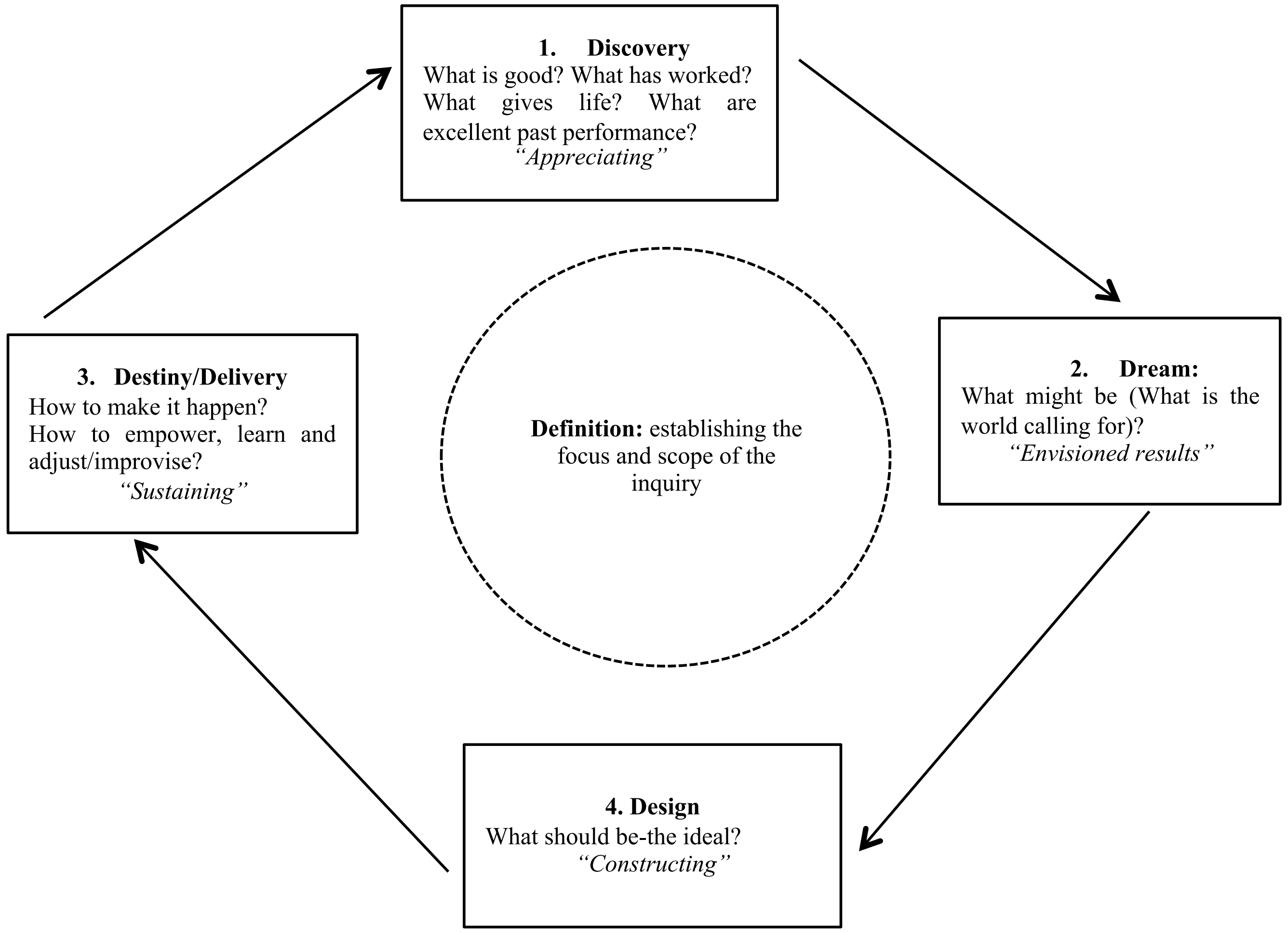

Figure 5: Appreciative inquiry, 4-D cycle

At the centre of the 4-D cycle is the definition of the scope of the inquiry. The choice of the scope is determined by available resources (human, physical and financial). This is accomplished through consultative meetings with the target communities and other stakeholders. It may be used as an opportunity to build awareness among key stakeholders with interest in management of a given natural resource such as forest. The scope statement for the AI is generated through discussions on what the natural resource management system should become. This is achieved by reframing problem statements into desired outcomes, for examples:

☑ **Problem statement:** unclear tenure of the forests on the village land creates a disincentive for communities to engage in effective management of forests on their village land

- Desired state: granting clear tenure of forests to communities and creating forest based enterprises incentivize communities to engage in effective forest management, refraining from all unsustainable livelihood activities to achieve shared goals.
  - ✓ Core ideas/inquiry topics to pursue: developing profitable and sustainable management of forests on the village land.

☑ **Problem** statement: recurrent conflicts occur between farmers and herders living in the same area over land resources, and no one is willing to relocate.

- Desired state: a clear demarcation and fair allocation of available land resources to farmers and herders and each party respects the boundaries demarcated.
  - ✓ Core ideas/inquiry topics to pursue: equitable land allocation among farmers and herders, sustainable land management, cooperation among farmers and herders.

The phases of appreciative inquiry:

1) **Discovery phase:** seeks to elicit community stories at its best; for example, focusing on when the community was managing forest resources effectively along the timeline. The key steps in the discovery data collection phase are:
   i) Identifying stakeholders: who are the stakeholders and which stakeholders should be involved?
   ii) Formulating a list of appreciative questions and developing an appreciative interview guide (see Box 2). The aim of conducting appreciative interviews is to collect stories about peak experiences in a given community or society regarding forest (or any other natural resource). It is important to interview a preventative sample of the community with respect to age, income levels and livelihood strategies (e.g. charcoal makers, livestock keepers, farmers, fishermen, etc.) besides gender balance. The typical interview progress as follows:
      - Asking the person to tell a story about a peak experience-his/her best time collecting cutting building pole/collecting firewood or his most successful mushroom collection/hunt.
      - Then a follow up question asking why the person valued that activity-benefits gained in terms of economic and social fulfillment.
      - Gauging the factors that made the peak moments happens- asking the person if he/she could think of ways to make the peak experience happen more often or more easily. These comments would lead into a discussion of the person's vision for the community forest in the future.

Box 2: Box Typical appreciative interviews guide

Typical appreciative interview questions relevant to CBNRM include:

1. Consider a hypothetical Mtakuja village with a forest or any other natural resources. People in the village value the forest for the many benefits that they provide. An appreciative interview question would be: "when you think back on your life in Mtakuja village, what do you think are the most important benefits that the forest provides to you, your family and the community? Please be specific."
2. Please tell a story of one particular incident when you were out (with your parents or friends) in the community's forest and felt really excited and fortunate to live in Mtakuja village with a nice forest and other natural resources? Who was there and what made it so special?
3. How do you feel when you take your children out in the community's forest or tell them forest related stories that were taught to you by your parents and grandparents? How do they feel?
4. The people of Mtakuja village have many skills, some have been passed down from their parents and grandparents, other learned from various ways. What skills do you think are most important to make your community strong and close?
5. When you think back on your life in Mtakuja village can you think of a time when the bond between people in the community was closest? What was it that made people feel so connected? What were they doing together?
6. The people of Mtakuja have made many remarkable achievements. Can you recall one that really stands out in your mind? Who was there, and what happened?
7. Pastoral/farming communities are known for their skills and their respect for the forest and land. How is this respect built?
8. Do you have any ideas about how those activities that are most important to the community can provide new economic opportunities while respecting the forest and land?
9. If you had one wish for Mtakuja village, what would it be?
10. If you were to recount a story of Mtakuja village that makes you feel proud, what would it be?

   iii) Conducting individual and group interviews using various participatory methods, asking probing questions to reveal underlying values, strengths and factors that led to success
   iv) Documenting the stories as they are; and
   v) Analyze the stories to identify strengths and enabling conditions for different themes of previous or present excellent performance.

2) **Dream phase:** focuses on envisioning their ideal future ('what might be') through affirmative exploration of what they learned in the discovery phase. The dream is elicited by asking questions that encourage participants to visualize how the forest and rivers that used to flow in the past might look like if a perfect forest management system were achieved.

3) **Design phase:** seeks to envisage the pathways (structures and processes) required to reach the desired future based on historical achievements. This responds to the question "what needs to happen among different components of the community to support their vision of the future?" The planning involves three interlinked levels:
   ☑ Action planning on short-term objectives
   ☑ Discussion on long-term strategies to achieve more challenging goals; and
   ☑ Consideration of structural changes.

4) **Destiny / delivery phase:** involves implementation of the dream, and beginning the cycle of inquiry again.

AI approach has been proved to work well in other CBNRM projects as follows:

1) Sustainable community based natural resource management.
2) Land use and natural; resource management
3) Participatory Forest Management

Community development, improving staff morale and conflict management

3. Comparing and contrasting "problem solving" and "appreciative inquiry" approaches

Both "problem solving" and "appreciative inquiry" approaches are inspired by the quest to bring success or development in a given community or organization. The key difference between AI and "problem solving" approaches is that it seeks to identify and focus on the best. AI focuses on something good, strong, already working and being achieved in a given community or organization. The AI follow the progression: identification of the current successes and strengths, identification of the factors that enable the success; envisioning the desired future on the basis of the historical success, innovating to build more support for those factors that enable success in order to move towards the desired future and getting better by enabling the inherent best work. By contrast, "problem solving" approaches identify and focus a problem that needs to be addressed. The philosophy is to find out "what is wrong" and then develop and implement action plan to "fix it". The "problem solving" approaches follow the progression: identification of the problem, analysis of the causes of the problem, developing and implementing action plan to solve the problem and attaining an improved situation once the problem is solved.

4. Application of AI approach in facilitating community based natural resource management

AI is one of the participatory approaches that can be applied to meet the needs of different contexts of CBNRM. Other participatory approaches include Rapid Rural Appraisal (RRA), Participatory Rural Appraisal (PRA), Participatory Poverty Assessment (PPA) and Participatory Action Research (PAR). AI can be used in facilitating communities to develop their CBNRM plans. AI can be used to collect detailed information on the past and current social and physical dynamics of different natural resources; mobilize communities to envision the future of the natural resources; and developed agreed collective plan to reach their desired future. Other applications of the AI include building trust with a wide range of local communities and strengthening relationships between facilitators and communities involved in CBNRM.

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Handout 1.6: Group exercises on problem solving versus appreciative inquiry approaches

1. Preamble

This exercise is designed to enable participants gain experience and acclimatize with the practical application of the four phases of AI; and compare and contrast AI with the problem-solving approach for tackling community challenges. The first exercise exemplifies the commonly employed problem-solving approach. It focuses on the identification and prioritization of local problems, analyzing their causes and designing interventions to address the challenges. The second exercise typifies AI approach for addressing community challenges. It seeks to highlight historical achievements and factors that facilitated them; and envision the hopes and dreams of local residents, showcasing the talents and skills that different individuals and the community can offer in helping achieve their dreams.

2. Instructions

a) The trainer divides participants into small sub-groups of 7-10 people. There should be even number of sub-groups (i.e., two, four, six, etc.).

b) The trainer asks half of the sub-groups to complete the "Problem Solving Process" exercise, while another half of the sub-groups complete the "Appreciative Inquiry Process" exercise. These activities should take 20 - 30 minutes to complete. The trainer should make sure that each of the two sets of the sub-groups is not aware of the activity that the other sub-group is completing (and vice versa).

c) The trainer asks each sub-group group to select a member to record the key highlights of the group's discussion.

d) The trainer asks the two sets of sub-groups to present their findings. Each group sub-group's presentation should take 3 - 5 minutes.

e) After all presentations, the trainer asks the entire group of participants to reflect on the two approaches to identifying community issues. Contrast the positive and negative features of each of the two approaches. The trainer asks participants to choose the approach ("Problem Solving Process" or "Appreciative Inquiry Process") that the participants would prefer to use in their communities and why?

3. Description of the exercises

I. Problem Solving Process

a) The trainer asks each member of the sub-group to identify 3-5 major natural resources (e.g. forest, water resource, etc.) related problems facing a typical community in their district at present. The trainer asks each of the participants to write the identified problems on a piece of paper but without discussing the list with anyone at that point.

b) The trainer asks each person in the group to share the list of problems on his/her list with the group members. Once everyone has shared their list, the trainer asks each sub-group to briefly discuss and prioritize the various problems identified. This represents the "What Is" state of the needs assessment process.

c) The trainer asks each sub-group to agree on the most pressing problem facing their community from the long list generated.

d) The trainer asks each sub-group to decide on what should the ideal situation with regard to the top priority problem?

e) The trainer asks each sub-group to identify the causes of the problem.

f) The trainer asks each sub-group to discuss possible solutions to the problem, and select 2-3 solutions that the sub-group feels are most viable.

II. Appreciative Inquiry Process

a) **Discovery Phase:** The trainer asks each of the sub-groups in one of the two sets of the sub-groups to identify the peak moments of excellence related to natural resource management and utilization (e.g. forest) in a typical village from their district-times when people experienced the community in its most effective state in managing and utilizing its natural resources (e.g. forest). That is, the trainer asks each of the sub-groups to discuss the "best of what is" in the typical village in their own district, even the small victories that the village might have experienced.

- The trainer asks each of the sub-groups to identify conditions that made the accomplishment "best of what is" possible?

b) **Dream Phase:** The trainer asks each of the sub-groups to envision "what might be" in such a typical village. That is, what are the achievable dreams that they have for the village that can be built on the past or current accomplishments of the community?

c) **Design Phase:** The trainer asks each of the sub-groups to create a strategy to carry out the identified dreams in the previous phase. The trainer asks each of the sub-groups to respond to a question: what can be done to build on the current qualities of the typical village, and what aspects of the typical village need to be strengthened in order to achieve sub-group's vision and hope for the future?

d) **Doing Phase:** The trainer asks each of the sub-groups to identify the specific steps the group would like to take to put dreams into action. That is, the trainer asks each of the sub-groups to respond to the question: what innovations or experimentations will the sub-group undertake to reach the shared vision or dreams?

02

MODULE TWO: FREE PRIOR AND INFORMED CONSENT - FPIC

This module comprises only one session that requires 1.5 hours to be accomplished:

1. The Concept of Free Prior and Informed Consent – FPIC (1.5 hours)

Table 2: Session plan for module number two

Module 2: Free Prior and Informed Consent - FPIC (1.5 hours)	
Session 2.1: The Concept of Free Prior and Informed Consent – FPIC (1.5 hours)	
Objectives	At the end of the session, participants: 1. Gain knowledge on the concepts, principles and application of free, prior and informed consent 2. Able to apply the free, prior and informed consent process with communities whenever facilitating decisions on land uses 3. Motivated to take into consideration free, prior and informed consent process with communities whenever facilitating or dealing with decisions on land and natural resources use at different levels of governance
Materials	• Flip charts • Marker pens • Manila cards • Masking tape • Handout 2.1: Presentation on the concept of free, prior and informed consent • Handout 2.2: Guidelines on the role of facilitators in supporting the FPIC process • Notebooks and pens
Activities	1. The trainer makes a presentation on the concept of free, prior and informed consent (FPIC) [Handout 2.1]: • Basic concepts of free, prior and informed consent • The three main phases the FPIC • Key elements to consider in the FPIC process • Participatory engagement, negotiations and consultations as means and tools through which FPIC is achieved • Actors involved in the FPIC process and their responsibilities 2. Role play on FPIC: • The trainer distributes manila cards and Handout 2.2 to each participant • The trainer asks each participant to read the Handout 2.2 and write down their answers to the question: in practice, how do you make decisions on matters affecting the community natural resource tenure based on your traditional institutions or customary law? • After all have finished, the trainer asks each person to read his/her card loudly and hand it over to three volunteers who cluster common answers on the board silently. 3. The trainer leads a discussion around the following points: • What can be said about the answers on how facilitators handle decisions on matters affecting communities' natural resource tenure? ⇒ What stands out? ⇒ What is missing? • What was the experience like? ⇒ When each participant was sharing his/her answers? ⇒ When the small group of volunteers was reaching silent consensus? • What can we conclude from this activity? • The trainer asks: How do we know we can recreate these processes of inquiry? (Have done it once, can do it again) 4. The trainer gives thanks to all participants, does a wrap-up and closes the session

Handout 2.1: Presentation on the Concept of Free, Prior and Informed Consent

1. What do we mean by free, prior and informed consent?

Free, Prior and Informed Consent (FPIC) can be described as the establishment of conditions under which people exercise their fundamental right to negotiate the terms of externally imposed policies, programs, and activities that directly affect their livelihoods or wellbeing, and to give or withhold their consent to them. It is the collective right of indigenous peoples and local communities to negotiate the terms of externally imposed policies, programs, and projects that directly affect their livelihoods and well-being.

Free Prior and Informed Consent - FPIC

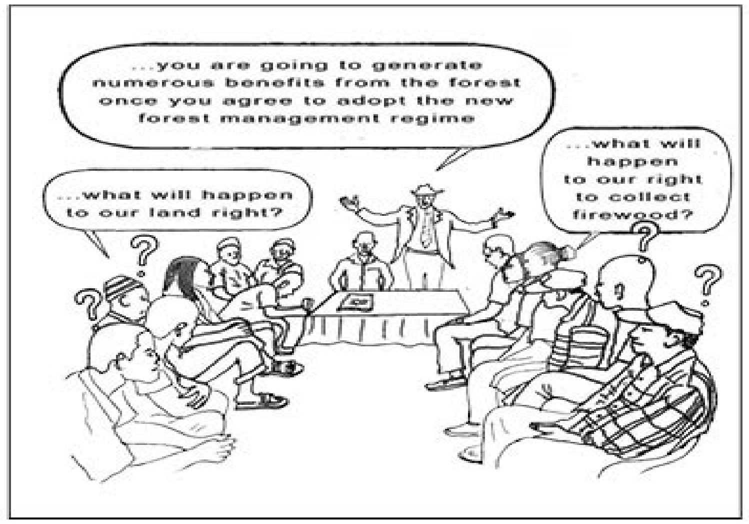

Figure 6: Definition of free, prior and informed consent and how it practically works

Free, prior and informed consent (FPIC) is a mechanism for the collective right of indigenous peoples and local communities to negotiate the terms of externally imposed policies, programs, and projects that directly affect their livelihoods and well-being. FPIC is consent that is given freely, by people fully informed of the consequences, prior to any decision being made to accept or reject externally imposed NRM policy or project, and according to their own decision-making processes. FPIC assures that indigenous communities and other relevant stakeholders are not forced or intimidated, that their consent is sought and freely given prior to the authorization or start of any NRM project, program or activities, that they have full information about the scope and impacts of any proposed developments, and that ultimately their choices to give or withhold consent are respected. Application of FPIC is important for NRM projects because such projects affect not just livelihoods, welfare, and income but also social order, identity, and culture; and because respect for local rights is likely to determine the success of any NRM project.

3. Key elements to consider in the FPIC process

Project proponents and other actors facilitating FPIC processes should observe eight key elements, which assure smooth engagement and negotiation with indigenous or local communities. These elements as briefly described below:

1.Process: the requirement to obtain FPIC is not a one-off event of getting the community to sign an agreement. It involves continuous iterative processes integrated in the project cycle. The key purpose is to provide opportunities and reasonable flexibility for the local communities to freely voice at every stage of the project cycle. The process should ensure that communities are provided with the right to determine type of consultation and decision-making process that suite their local conditions. The process continues even after obtaining the first consent. The project proponents should continue to enhance participation of communities including participatory monitoring and robust verification throughout the project life.

2.Resources: FPIC process requires considerable investment of time, physical and human resources. Capacity building is not for project staff only; capacity of the rights-holders needs to be built to enhance their effective participation in decision-making processes of FPIC. Project proponents need consider all these costs-components as integral components of project development. In some cases, project financiers may decide to channel capacity building funds directly to communities instead of the project proponents; this ensures the integrity of the process and the independence of the community's role.

3.Time: community consultations regarding FPIC process needs ample time. Communities need enough time to gain clear understanding of the project. Ample time is needed to establish good communication relationship and trust with communities at the beginning of a negotiation process. This leads to smooth processes towards reaching agreement with the local communities. A rushed process is likely to lead into misunderstanding, disorder and disputes between and within communities; and with the project proponent, and/or the government. Also, a rushed process may lead to risks of nullifying the agreement once reached. This has negative repercussions with regard to costs; because the entire process has to restart afresh. Besides, it tarnishes the reputation of the project proponents and endangers communities' trust.

4.Wide participation: in nature communities are heterogeneous entities. Project proponents should ensure participation of all social groups, and/or natural resources user groups. Particular focus should be on women, youth, the poor, migrants and the landless. This helps to avoid the danger of being challenged along the line or stirring grievances within the community.

5.Accessibility/information sharing: local communities need to make informed decisions and give informed consent. Access to adequate and relevant information is critical for communities to fulfill the role properly. To achieve this, project proponent should provide local communities with all materials and documentation of activities. The materials should in a form and language that is easily understood by the communities. Also, such materials should be provided earlier enough. This implies the need to set aside adequate budget support communication with communities. Information sharing and awareness creation events need to be planned properly to enhance effective participation of communities. For example, communities should be provided with adequate logistical support (e.g.

costs for transportation and communications); so that they are not prevented from participating due to logistical challenges.

6. Trust: the core factor for success of FPIC process lies in building relationships of mutual trust and understanding with the local communities. It requires transparent, two-way information sharing, proven accountability, wide-ranging discussions, repeated negotiation and effective engagement with the communities. Cultivating trust and acting respectfully are the key factors that cause communities to open-up and willingly enter into negotiations under the FPIC process. Trust paves the way to long-term peaceful interaction and harmonious relationships between the project proponents and local communities. Practical ways to build mutual respect and open-mindedness include flexibility, informality, time and opportunities to get to know each other more personally. This requires that persons that represents the government, project and local communities in various forums have clear authority to speak for, and make binding commitments on behalf of, their institution.

7. Cultural sensitivity: cultural norms and expectations have an influence on participation of local communities in decision-making processes. The project proponents and any intermediary involved to facilitate FPIC should explore and document relevant cultural norms. This information is useful for guiding subsequent FPIC processes such as modes of representation, decision-making mechanisms, time needed, steps and modalities to be involved in the negotiation process. Cultural sensitivity is critical for achieving robust and legitimate outcomes, satisfactory to both parties. Some cultural values may not be supported by the statutory instruments. In such cases, project proponents and facilitators of the FPIC process should to respect customary laws and honour customary systems for making decisions and achieving consent.

However, cultural sensitivity needs to be integrated with information, education and communication to communities about fundamental human rights and the benefits gained from encouraging the full participation of all members of society. This is important to avoid the risks of discriminating women and other marginalized social groups due to inherent cultural norms.

8. Respect for the right to say 'no': project proponents, government and all actors involved in FPIC negotiations should recognize that even after considerable investment in FPIC steps, yet indigenous peoples, and/or local communities have the right to say 'no' to development intervention or project on their customary lands. Similarly, it is important to note that agreement at any one stage of the process does not automatically imply consent at the final outcome.

3. Steps and phases for undertaking the FPIC

3.1 FPIC steps

There are ten steps that should be followed to implement FPIC process. The steps may overlap or go forth and back; local conditions may also affect the sequencing of steps or even omission and merging of some steps. Thus, project proponents and other FPIC facilitators should review the steps and adapt them to local conditions prior actual implementation of the FPIC process.

1. Identifying rights-holders: the first step in implementing FPIC identification of the rights-holders and land users for a given land in area targeted for establishment of NRM project or investment venture. It involves participatory techniques including interviews, consultations and focus group discussions. The process covers the entire targeted project and neighbouring areas. This helps to determine any neighbouring community that may have claims of varying forms to land or resources within the project area (e.g. water); or that may have other forms of tenure relationships with people living inside the targeted project area. Eventually, all groups of people from the different local communities that have right to be consulted are identified and adequately consulted one-by-one to give or withhold consent to the project.

2. Ascertaining the legal status of the land: the second step is FPIC is to clarify the extent of indigenous peoples' or local peoples' rights over the land and other resources; and where possible to secure these rights. In Tanzania, both customary and statutory rights are fully recognized and respected. Even in cases where the legal systems do not formally recognize customary rights, yet local communities' right to give or withhold consent for what happens on their lands is all the more vital for any NRM projects or investments.

The points of inquiries at this stage include:

a) Who has rights over the targeted project land (both statutory and customary)?
b) How the legal status of the land will change if the NRM project or investment is to be established on the land?
c) What will be the effect on rights-holders?
d) To what extent can the proposed project or investment co-exist with the indigenous or local people residing on the land?
e) Are there multiple rights-holders (both formal and informal) with claims to the same land?

The points of inquiry are explored through the following techniques:

a) Reviewing of the legal and institutional set-ups governing tenures for land and natural resources.
b) Review of official maps and surveys, land-use planning and land management maps
c) Revisiting the rights-holders identified in step one, and engaging all identified rights-holders them to ascertain the extent of security of their tenures especially if customary, and agreeing on how they can be secured.

3. Mapping claims to and uses of land: all parts of the targeted project area and bordering zones are mapped. Mapping exercise should be participatory, involving all communities and other relevant parties. Also, neighboring local communities should be consulted to verify the maps in order to avoid fueling or instigating conflicts over land. The maps help to established extent of the lands and resources over which existing inhabitants of the targeted project area have both formal and informal rights and/or use. The maps are not only outputs of the process but also tools for facilitating communication, discussions and information-sharing among interest groups.

This step links to previously identified rights-holders and relevant legal status of the land. Mapping process should be participatory, engaging representatives of different categories of the rights-holders. The community representatives should be selected by communities without interference of the project proponent, and should cover all social groups including women, youth and the poor. The local communities to be involved in the mapping exercise are trained in basic GIS to ensure their effective participation. Thus, the local communities are given the central role in the mapping exercise. They are facilitated to choose what goes into the maps and what does not; and select the map legend according to their own needs and wishes.

4. Identifying decision-making institutions and representatives: the purpose is to ensure that rights-holders are represented through individuals and institutions of their own choice. The local community selects both the decision-making body and representatives; not the project proponent, government, or other actors. This stage must be widely attended and open to all community members. Working with the appropriate and legitimate decision-making body from the start guarantee smooth running of subsequent FPIC stages. This is a critical stage because if not properly done it can create loopholes for elites/government leaders/structures to take an opportunity to dominate the decisions as to mask the real view and interests of the rights-holders. All processes should be done in participatory manner. Proceedings of respective consultation meetings should be documented and shared with all parties.

Information is power; communities need to be provided with information that will empower them to participate effectively in deciding the decision-making institutions and representatives of their choice. Critical information includes:

a) The right of the communities to decide their own representative bodies
b) The obligation of all stakeholders to uphold non-discriminatory practices
c) The right of the communities to seek for independent facilitation assistance as and when required
d) Their right to make decisions in accordance with the principles of FPIC
e) Their right to enforce checks and balances to deal with exclusion in decision-making or abuse of power

In many African contexts, traditional decision-making structures tend to undermine for women's involvement, often resulting in outcomes that turn to be burdens on them. Women are the key stewards of the environment. Thus, effective participation of women in all FPIC steps is central for long-term sustainability of the NRM conservation projects. To handle this issue, project facilitators should discuss the issue with the community; and come up with culturally appropriate solutions that give women a voice while still respecting traditional norms.

5. Iterative consultations and information-sharing: the purpose is to share all relevant information pertaining to the projected development with relevant actors and rights-holders. Access to relevant information helps communities to reasonably decide whether a project should or should not go ahead or suggest necessary modifications prior they can grant their consent. The key consideration is to ensure that the information is presented in an understandable manner. The language should be easily understood by the community and in a culturally appropriate timeframe and manner. This can also help to build capacity within the community and among all relevant stakeholders, including the government. Also, this step is used to collect relevant information from the community including indigenous knowledge that is incorporated in the FPIC process to enhance the relevance.

6. Providing access to independent sources of information and advice: communities should be supported to access information from independent sources (e.g. lawyers, local NGOs, local farmers network, etc.), prior to decision-making and agreement. This provides an opportunity for communities to access make informed decisions based on a comprehensive range of information of their own choice independently of the project proponents' interests. This can be achieved through three key ways:

a) Inform communities of their right to access independent sources of information and advice throughout the process as deemed fit.
b) Linking communities to a wide range of facilitators, and letting them decide decision on whom to consult any point in time.
c) Providing financial and logistical support to communities to enable them to access a wide range of appropriate technical advisors such as lawyer or other allies.

7. Reaching agreement and making it effective: this involves the community reaching consent on whether and how the proposed project or investment should proceed. It is not agreement to the proposed project itself, as it allows for both a way forward with the project and also an agreement that the project will not move forward at all. The key principle is recognition that indigenous the local communities have the right to determine their own development path of their choice. This step may signify an end to the FPIC process in case the community decides not to move forward with any activities. However, it may connote the beginning of the project planning phase if the community chooses to move forward with the project.

8. Establishing a grievance process: this is a mechanism for resolving conflicts and concerns related to violations of a community's right to FPIC. As all other components of the FPIC, grievance process is developed as an integral component of the FPIC agreement through participatory processes. It is important that the grievance mechanism allows for access to a third party mediator when the parties cannot resolve the conflict themselves.

9. Monitoring and verifying agreements: an FPIC agreement includes monitoring and verification procedures as their integral component. Monitoring a FPIC process is important because both projects and FPIC processes are changing with time. This requires regular adjustments as circumstances, opinions or outcomes change over time. Participatory monitoring should be adopted to ensure effective participation of all community members, and other relevant stakeholders.

10. Establishing grievance mechanism: implementation of the agreement/consent may give rise to new issues emerge and circumstances not considered in the original agreement. The grievance mechanism provides an opportunity to identify such issues as they emerge and address them before they become full scale conflicts. The mechanism is developed using participatory approaches with all parties as integral component of the FPIC agreement. Designing of grievance mechanism requires consideration of three key principles:

a) Methods and techniques for handling concerns must be in accordance with culturally appropriate values
b) The mechanism should be described in a language that is clear and understandable and can be accessed by all segments of the community at no cost
c) All parties must be held responsible for implementing the agreement

3.2. The three main phases of the FPIC

1) Phase 1: Undertaking an FPIC Scoping Review

The FPIC scoping review covers the following elements:

- ☑ A description of the proposed policy or activity in a language understood by the indigenous community;
- ☑ A description of the rights-holders, their governance structures and how they wish to be engaged, including the institutions and individuals that are empowered to represent them;
- ☑ A description of the legal status of the land, territory and resources concerned, including a description of the geographical area under formal, informal and/or customary use by the rights-holders (including whether women have access to formal, informal and/or customary use of lands and resources), including maps and methodology used to establish the maps;
- ☑ An assessment of the social, environmental, and cultural impacts of the proposed policy/ activity on the rights-holders, including the specific impacts that have required the partner country to seek FPIC and how these impacts will be mitigated;
- ☑ An assessment of the legally applicable rights of the peoples concerned with respect to a given natural resource that may be affected by the proposed policy/activity/project; and
- ☑ Resources allocated for seeking FPIC.

Respective communities should be capacitated to provide inputs to the scoping review as much as possible, and in their own terms and interests, including traditional uses of their lands and natural resources and customary or community-based property rights. The consultations on the FPIC Scoping Review continue until a mutual agreement is reached between the project proponent and communities.

2) Phase 2: Developing an FPIC Proposal

Development of an FPIC proposal follows once the project proponent and the rights-holders agree on the FPIC Scoping Review. The project proponent develops the FPIC proposal in consultation with the rights-holders. The proposal outlines the proposed process to seek FPIC. Key issues covered in the FPIC proposal include the following:

- ☑ Capacity and information needs of the project proponent and/or rights-holders that need to be addressed before the FPIC process can take place;

- ☑ Information on how the FPIC process will be organized will be facilitated including who will be the facilitator, where and how the consultations will take place;
- ☑ Specification on the appropriate language and media for sharing and distributing information and schedule for the proposed consultation process to seek FPIC;
- ☑ Description of mechanisms for community decision-making processes in accordance with their traditions and customs, and any special measures to be adopted to ensure the participation of women and other vulnerable groups within the community;
- ☑ Geographical scope and communities that the decision will cover;
- ☑ How FPIC will be given, recognized and recorded;
- ☑ Involvement of different stakeholders (government officials, Cos and private sector, etc.) and their respective roles during the process;
- ☑ Monitoring methods and mechanisms for verifying the process including participatory monitoring arrangements, if applicable;
- ☑ Terms and frequency of review of the agreement(s) to ensure that conditions are being upheld; and
- ☑ Process for voicing complaints and seeking recourse on the FPIC process and proposed policy or activity or project.

The proposal should clearly describe the mechanisms that will ensure ongoing dialogue, participation, decision-making and consent throughout the various phases of the activity or project. The purpose is to avoid misunderstandings in the future; the consultations with the rights-holders on the FPIC Proposal should continue until it has been mutually agreed upon. A good practice is to combine the FPIC Scoping Review and FPIC Proposal into one document, which is then signed (or agreed upon in a culturally appropriate manner) by all relevant parties. Once the FPIC Scoping Review and FPIC Proposal document has been signed by all parties, the FPIC process can proceed as outlined in the Proposal.

3) Phase 3: Independent evaluation of the FPIC process

An independent evaluator (qualified individual or firm/institution) mutually agreed by all relevant rights-holders is engaged to authenticate the legitimacy of the FPIC processes employed during consultations of the rights-holders.

4. Participatory engagement, negotiations and consultations as means and tools through which FPIC is achieved

The FPIC is not a 'one-off tick the-box' event; it is an integral component of any NRM project design and implementation. It involves participatory engagement, negotiations and consultations throughout the project management cycle. Participatory engagement, negotiations and consultations begin in the first step of FPIC-identification of rights-holders and land users. These processes never end, they continue for each of the ensuing steps. The processes create an environment for all parties to feel comfortable and confident. The processes are integrated with a nondiscriminatory information-sharing process that uses appropriate and accessible forms and languages. These processes should be well unified all the time, and integrated in each of the FPIC stages; because they are key factors that determine smooth running for each stage of the FPIC.

5. Actors involved in the FPIC process and their responsibilities

1. Indigenous peoples and local communities:

- Understanding their land and natural resource nature rights based on both statutory and customary laws.
- Seek to acquire clear understanding of the nature of the project proposed on their land, its benefits and potential negative impacts on their land and livelihoods.
- Seeking clarification on issues not clearly understood from various parties.
- Providing consent to the project or investment with understanding that they have the right to say "yes" or "no" on their own without being influenced by any external agents.

2. Project proponents (companies and investors):

- Assessment and understanding of people living on the land targeted for the project, their rights and claims to the land, and overall livelihoods.
- Seek to understand the prevailing statutory and customary laws with respect to land and tenure of different natural resources.
- Establishing a communication mechanism and use it to deliver adequate information about the investment or project to indigenous or local communities in a language that is understandable to them.
- Seeking to understand and uphold the requirements for FPIC process.

3. Government officials:

- Seeking to understand indigenous and local people residing in the area targeted for the project; and clarifying their formal and informal statuses and rights under national laws and international law.
- Investigating the genuineness of the company or project proponents and clarifying relevant track records of the company or investor.
- Seeking to understand applicable international FPIC related laws and principles and their relevance to the national legal systems (e.g. whether the government has ratified those international laws)?
- Monitoring the FPIC process and ensuring that the investor or project proponent applies participatory approaches at every stage; ensuring effective participation of the local communities
- Seeking to gain clear understanding of the potential risks and benefits to indigenous and local communities associated with the proposed project.
- Creating an environment that will ensure that the benefits of the project accrue to local communities in an equitable, corruption-free way

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Handout 2.2: Guidelines on the role of facilitators in supporting the FPIC process

Facilitators should be sensitive to the cultural context, with technical knowledge of the issue under consideration. Facilitators are equally accountable to the government and the community; they must be neutral, trustworthy and competent.

Facilitators, in cooperation with the government and stakeholders, are responsible for ensuring, among other things, that the following key arrangements are part of the FPIC process:

- ☑ Full, accurate information is communicated that is easily understandable by everyone, including through innovative and creative forms, in the most appropriate language and medium, to communicate issues, as well as access to other sources of information;
- ☑ Decision-making process is determined by the community without interference;
- ☑ Timeline to undertake the decision-making process is decided by the community;
- ☑ Respect for the customary laws and practices of the community in question;
- ☑ The language in which they wish to be addressed, including the language used for written materials and to convey decisions, is determined by the community;
- ☑ Additional information be sought from community members and they should be encouraged to verify information;
- ☑ Transparent, accurate and complete information is communicated; positive and negative and potential short-term and long-term impacts, risks and benefits are described;
- ☑ Information reaches all community members and is consistent with the community's mechanisms for information sharing; and
- ☑ A secure, culturally appropriate and trusted decision-making environment.

Facilitators should support the rights-holders to determine and document the collective decision-making process (if the rights-holders agree):

- ☑ Use, build on, or improve existing transparent and participatory consultation and consent processes (e.g. raising hands, voting, signing, deferring to leaders, etc.);
- ☑ Document process, discussion, comments, questions asked for decision, the decision, and/or terms of agreement;
- ☑ Maintain a record of the result/decision (disaggregated by gender, income level, if possible), announce the result, and hold a self-evaluation process (e.g. village head signs) - if information is disaggregated, record the relevance of this disaggregation to the decision, and to follow-up activities; and
- ☑ Respect at all times that role as a facilitator, which is not a mediator, or a decision-maker.

Facilitators should support capacity building for the community to effectively review agreement conditions to ensure that they are met, including the delivery and proper distribution of benefits agreed.

Lessons learned from FPIC in Asia:

- ☑ The selection and training of suitable FPIC facilitators is critical to the success of the FPIC process, but it is not always easy to get the right candidates. Consideration should be given to language skills, ethnicity, gender, experience in consultation processes, age profile (some elders prefer to speak to older facilitators), and knowledge of CBNRM
- ☑ Facilitators will often have very low capacity initially. Training facilitators takes time and money, as they are unlikely to be familiar with the issues to start with. Establishing a systematic way to train and maintain a team of experienced FPIC facilitators may help to reduce the cost of doing FPIC over the long term.
- ☑ Training on both the substance of CBNRM issues must take place, as well as training in facilitation and FPIC skills.
- ☑ Communicating complex issues associated with CBNRM is even more difficult when speaking a person's second language.

MODULE THREE:
HOW TO BE A TRAINER OF TRAINERS AND FOLLOW UP ON THE CHAIN OF TRAINING CASCADES

This module comprises of two sessions that require 2 hours to be accomplished:

1. The need for training needs assessment before planning any training (30 minutes)
2. Designing and delivering training and cascading downwards (1.5 hours)

Table 3: Session plan for module number three

Module 3: How to be trainer of trainers and follow up on the chain of training cascades (2 hours)	
	Session 3.1: The need for training needs assessment before planning any training (30 minutes)
Objectives	At the end of the session, participants: 1. Understand the importance of analyzing training needs prior to planning any training 2. Able to integrate training needs assessment in planning any training 3. Motivated to adopt training needs assessment in training design processes, and continuously align all trainings to the actual needs of the target audience
Materials	• Flip charts • Marker pens • Manila cards • Masking tape • Handout 3.1.1: "Unobservant mango tree grower " cartoon • Notebooks and pens
Time	0 hour 30 minutes
Activities	1. The trainer displays the "Unobservant mango tree grower" cartoon (Handout 3.1.1) to participants 2. The trainer asks participants to split in groups (as formulated during session 1.3) and each group comes up with an agreed interpretation of the cartoon. 3. The trainer asks one representative from each group to present their agreed interpretation of the cartoon to the audience. 4. The trainer then asks the plenary to think about the interpretation of the cartoon in the context of planning and delivering trainings on CBNRM and SCTVCD. 5. The trainer asks 4 to 5 volunteers to present their specific cases of past experiences regarding being in a training(s) that did not meet their needs, and why the case happened like that. 6. The trainer then concludes the discussion emphasizing on why it is important to undertake a 'training needs assessment' before planning for any training. 7. The trainer further makes reference to the need to begin any training by soliciting participants' expectations as a quick way to check and adapt the training materials with the needs of trainees. 8. The trainer gives thanks to all participants, does a wrap-up and closes the session

	Session 3.2: Designing and delivering training and cascading downwards (1.5 hours)
Objectives	At the end of the session, participants: 1. Understand the basic steps and considerations for preparing a training 2. Able to prepare and deliver trainings that meet the needs of the target audience 3. Motivated to adopt good practices whenever they prepare any training 4. Able to follow up on training, monitor and support trainers at lower levels
Materials	• Flip charts • Marker pens • Manila cards • Masking tape • Handout 3.2.1: Guide to role play on setting up and delivering a 'bad presentation' in conjunction with Appendix 2. • Handout 3.2.2: Guide on group work on challenges for a good training approach • Handout 3.2.3: Presentation on description and applications of the concept of adult learning • Handout 3.2.4: Presentation on cascade approach to training: practical applications in the context of capacity building to the local governments in Tanzania • Notebooks and pens
Activities	1. The trainer takes the participants through a role play on 'bad presentation' [Handout 3.2.1 & Appendix 1]. 2. The trainer facilitates a group work on challenges for a good training approach [Handout 3.2.2]. 3. The trainer concludes the role play and group work, placing emphasis on the key issues to take into account when designing any training: things participants must, should and could know. 4. The trainer makes a presentation on 'Training design and application of the concept of adult' [Handout 3.2.3]: • Definition and description of the concept • Application of the concept in designing trainings for Village Natural Resources Committees (VNRCs), Village Land Use Management Committees (VLUMCs) and other community groups. • Appropriate training methods for three different possible purpose of trainings: i) Increasing knowledge ii) Increasing skills iii) Creating awareness 5. The trainer makes a presentation on cascade approach to training: practical applications in the context of capacity building to the local governments in Tanzania [Handout 3.2.4]: • Definition and meaning of cascade training approach • Practical applications in the context of local governments in Tanzania • Important considerations when adopting cascade training approach • Relevance to facilitation of community based natural resources management such as community based forest management 6. The trainer gives thanks to all participants, does wrap-up and closes the session.

Handout 3.1.1: "Unobservant mango tree grower" cartoon

The trainer introduces "unobservant mango tree grower" shown in Figure 7 (or another similar cartoon which has the same message) to participants and asks them first, what they see. He/she lets participants talk about different aspects and different ways of interpreting the cartoon. Then he/she specifically asks participants: "what is their interpretation of the cartoon in the context of providing training". Possible topics from such discussion include, inappropriate measures, appropriate measures but applied in an in appropriate way, appropriate activity does not meet the "target group", waste of time, energy and resources.

Based on these observations, the trainer leads discussion towards the trainees' own experiences within appropriate training or teaching measures. He/she lets them describe, what went wrong in those situations and what might have been the causes. He/she invites them to think about what would have been different, if the trainer / teacher had given them a chance to influence the training/learning situation. The trainer summarizes the discussion together with the participants by establishing a list of reasons of why it is important to undertake a 'needs assessment' before planning for a training workshop.

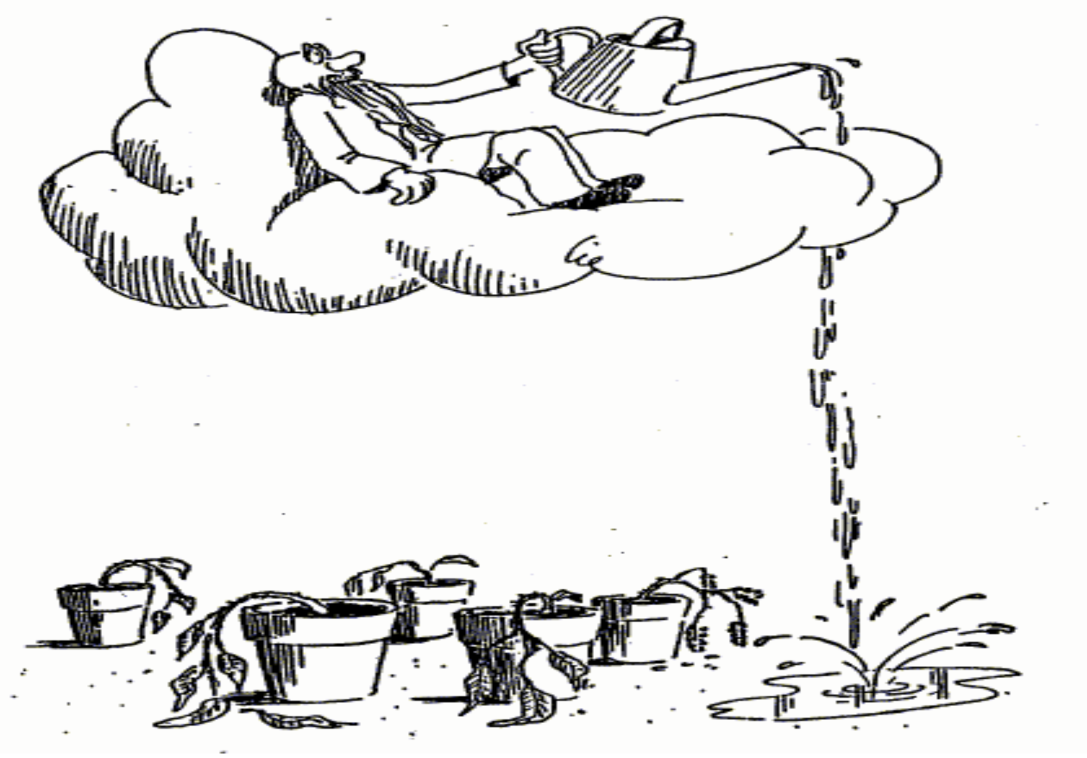

Figure 7: Unobservant tree grower cartoon

Handout 3.2.1: Guide to role play on setting up and delivering a 'bad presentation'

The role play uses a negative example as a learning tool to help participants avoid such situations (Chatty et al., 2003[1]). The exercise involves three steps adapted from Chatty et al. (2003):

Step 1: Presenting a 'bad presentation'

The trainer purposefully sets up a bad presentation as follows:

- ☑ The trainer selects a page of text, which is badly structured and full of detailed information on a technical topic such as Photosynthesis (Appendix 1).
- ☑ The trainer prepares one or two charts related to this information and make them as confusing as possible.
- ☑ Prior to making the presentation, the trainer asks for three volunteers from among the participants; explains to them what he/she intends to do and asks them to listen carefully to participants comments and to observe the reactions of their colleagues.
- ☑ The volunteers return to their seats, and then the trainer starts the 'poor' presentation with the remark that the information in the presentation is not very important, but that it is being provided as an 'extra'.
- ☑ The trainer starts reading out the text at high speed in a low monotonous voice, with no intonation, and no breaks.
- ☑ When the trainer has finished reading the text, he/she asks his/her participants some detailed questions on the content of the text. Most probably, they will have difficulties in answering your questions.

Step 2: Debriefing

- ☑ The trainer asks trainees to imagine that the whole workshop was designed like this poor presentation.
- ☑ The trainer asks them why they had problems in answering the questions and what they felt was difficult about the overall training approach of this session.
    - The trainer should make sure that problems like "lack of motivation", "difficulties to keep listening", "difficulties in remembering", "poor presentation" are mentioned.

Step 3: Comments from the observers

- ☑ The trainer asks the observers to describe the comments and mood of their colleagues during the test.
    - They are likely to come up with inputs like "felt bored", "were confused", "got slightly angry", "did something else".
        - ⇒ In case they don't make these comments, the trainer should ask the participants if any of them felt bored, or was confused.
- ☑ The trainer concludes the debriefing with few remarks about how destructive a bad presentation can be for both training success and for the attitude of the participants.

[1]Chatty, D., Baas, S. and Fleig, A. (2003). Participatory processes towards co-management of natural resources in pastoral areas in the Middle East: A training of trainers source book based on the principles of participatory methods and approaches. Rome, Italy: Food and Agriculture Organization. [http://danadeclaration.org/pdf/ChattyBaasFleig.pdf]. Page visited on 20/07/2017

Handout 3.2.2: Group work on challenges related to 'training approach'

- ☑ The trainer divides participants into small groups and invites them to refer back to the 'poor presentation'.
- ☑ The trainer asks each group to deal with one of the problems in the poor training approach and to think about possible ways to avoid the respective problem in a training situation.
- ☑ The trainer should let them come up with examples of strategies for concrete learning situations.
    - For example, if the group is dealing with the problem of "lack of motivation", they should not just come up with solutions like "motivate for the topic", but with proposals such as: "start with an energizer on the topic" or "invite participants to talk about their own experiences" etc.

- ☑ The trainer gives a very brief introduction to the important characteristics of successfully designed training sessions
    - This should include discussion about how to combine different sorts of inputs and how to pace the contents.
- ☑ The trainer concludes the group work and links it to another presentation on 'Training design and application of the concept of adult learning'" (Handout 3.2.3).

Handout 3.2.3: Training design and application of the concept of adult learning

1. Important considerations when designing a training session

Trainers need to know that, when presenting a new topic, the focus should be on capturing the interest of trainees' and clarify the relevance of the topic for their everyday life. For example, when training VNRCs or VLUMCs it is important to capture their interest by linking the topic to forest management and land management, in that order. In this example, the trainer should also specifically clarify the relevance of the topic to the key roles and responsibilities of VNRCs and VLUMC. In this particular example, relevance should aim to clarify the link of the topic to issues like excluding livestock from the harvested forest blocks that need to be protected to regenerate; and developing sustainable solution to farmer-herder conflicts. Furthermore, it advisable to start each session differently in order to attract the attention of the trainees by instigating their interest as they try wonder and imagine what would happen next.

Sessions need to be designed in such a way that they are as interesting and lively as possible. It does not need to be a full-time entertaining session; rather there should be a good balance between the following interrelated key aspects of training and learning processes:

- concentration and relaxation,
- serious work and some fun,
- passive learning and active participation, and
- theoretical discussions and practical application.

In other words, a good training session design and delivering approach the one that makes the trainees make use of the full range of their sensory organs. That is making trainees see, hear, speak and do. These aspects help the trainees to integrate knowledge and experiences as much as possible.

> ✓ Trainees may forget what they hear
> ✓ Trainees remember what they see
> ✓ Trainees can replicate what the do in exercises

2. Determining contents of training sessions and matching with time

Structure of a training session is one of the critical factors that determine the effectiveness of the session in changing knowledge, attitude and practice of the target trainees. The following three guiding questions are helpful in focusing the content of any training session, and realistically match with available time to deliver the training session:

- ✓ How much do the trainees already know?
- ✓ What do the trainees need to learn?
- ✓ How much time is available to cover the material?

In most cases, trainers have a lot of materials at their disposal. This is much so now given the advancement in access to electronic training and reference materials that can be accessed in a few seconds. It is advisable that in order to focus the materials to necessary ones, trainers should consider three key questions that guide training session design to ensure focused selection of training materials:

- ✓ What trainees must know
- ✓ What trainees should know
- ✓ What trainees could know

The trainers are naturally confronted with the desire to instill too much detail to trainees within a short period of time. However, this does not guarantee that the trainees will learn everything presented by the trainer. The rule of thumb regarding material content of any training session is to have a maximum of five main points in a 30-minute presentation. The rest of the details in the presentation should be devoted to clarify the five key points and keep everyone interested.

It is always a good practice to repeat the main points of the training session. This helps to reinforce memories of the trainees. Furthermore, in order to enhance learning of the trainees, planning of effective presentation or group exercise should follow progression in the following three stages:

a) Stage 1: capturing the interest of the group by clarifying what to intend to present to them; and how the materials are relevant to their everyday life.
b) Stage 2: Delivering the detailed message, clearly dismantling the most important points
c) Stage 3: Summarizing by restating the purpose of the training session and the major learning points

3. Steps for designing a training session

Preparing articulated training sessions is not an easy task. Trainers need to have ample time for preparation of notes and materials. A good training plan integrates anecdotes and jokes as part of the presentation.

- ✓ Most of the jokes and remarks that may appear as unplanned they are likely to have been planned.

For each training session, it is advisable to prepare a planning sheet which clearly lays out what it is you intend to do and achieve. There are five key steps that can help to guide trainers to plan training sessions that are relevant to the needs of trainees
(Table 4):

Table 4: Summary of key steps involved in designing and developing trainings

Process elements	Key activities
1. Analysis	☑ Conducting training needs assessment to provide clear understanding of the gap that exists between the desired outcomes and the existing knowledge and skills of the learners including analysis of relevant contextual issues likely to influence job related performance outcomes.
2. Design	☑ The design phase translates information from the analysis phase into a plan for a training program. This helps to focus all the training session design on critical needs and convey the essential knowledge and skills that trainees require to improve their performance.
3. Develop	☑ Development phase includes preparing trainees' and trainers' materials (both print and non-print) as specified during design ☑ This phase draws upon the information collected in the needs analysis phase and the specifications made in the design phase.
4. Implement	☑ This involves delivering the instruction in the settings for which it was designed
5. Evaluate	☑ Training evaluation is done to measure the effectiveness of the training. Results from the evaluation phase helps to review and adapt the training materials to enhance their relevance

The need to target trainings to the actual needs of the participants

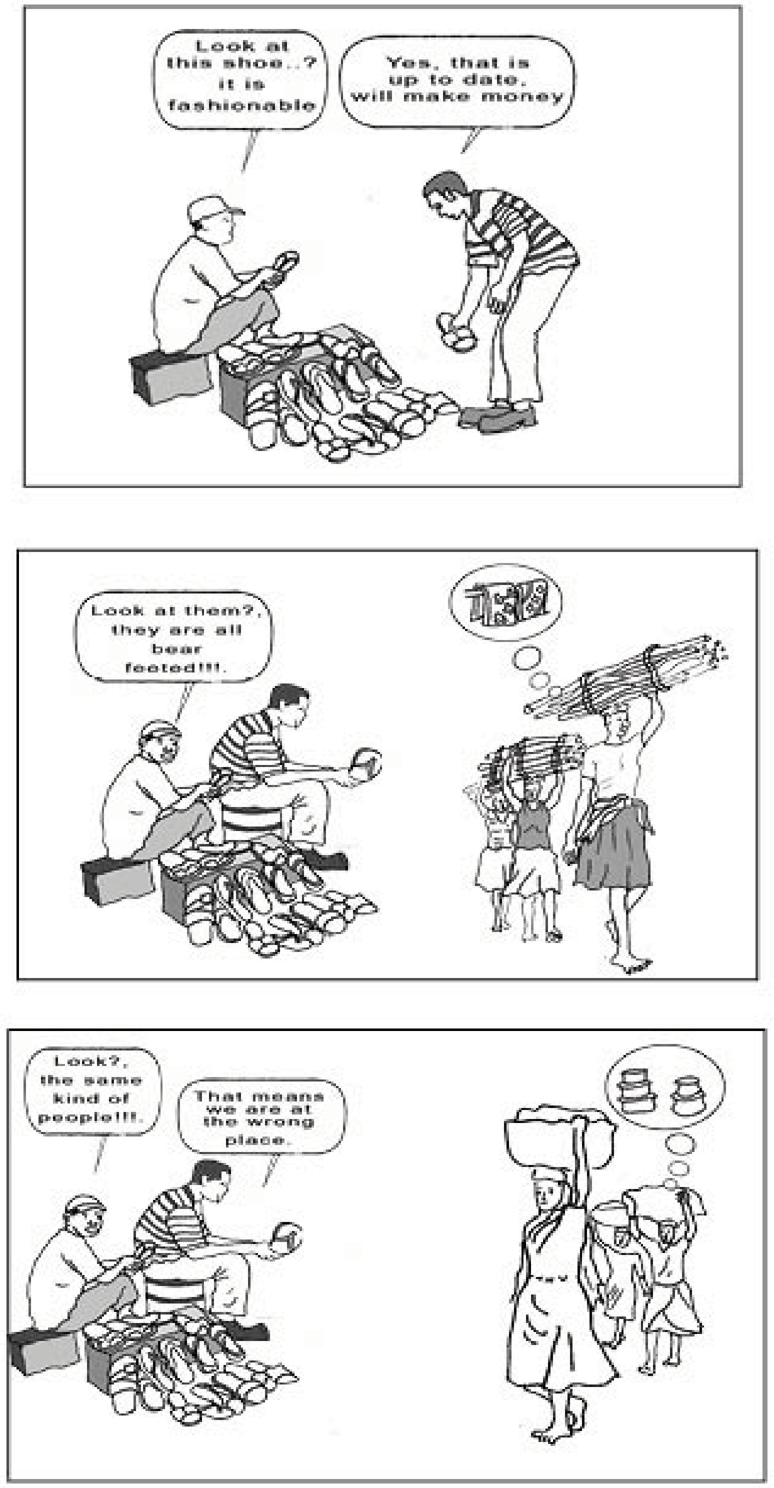

Figure 8: The need to target trainings to actual needs of the participants

4. Application of the concept of adult learning

Besides, the physical aspects of designing training there is a need to consider the fact that most of the trainees are adults. There are special considerations when preparing training for adults.

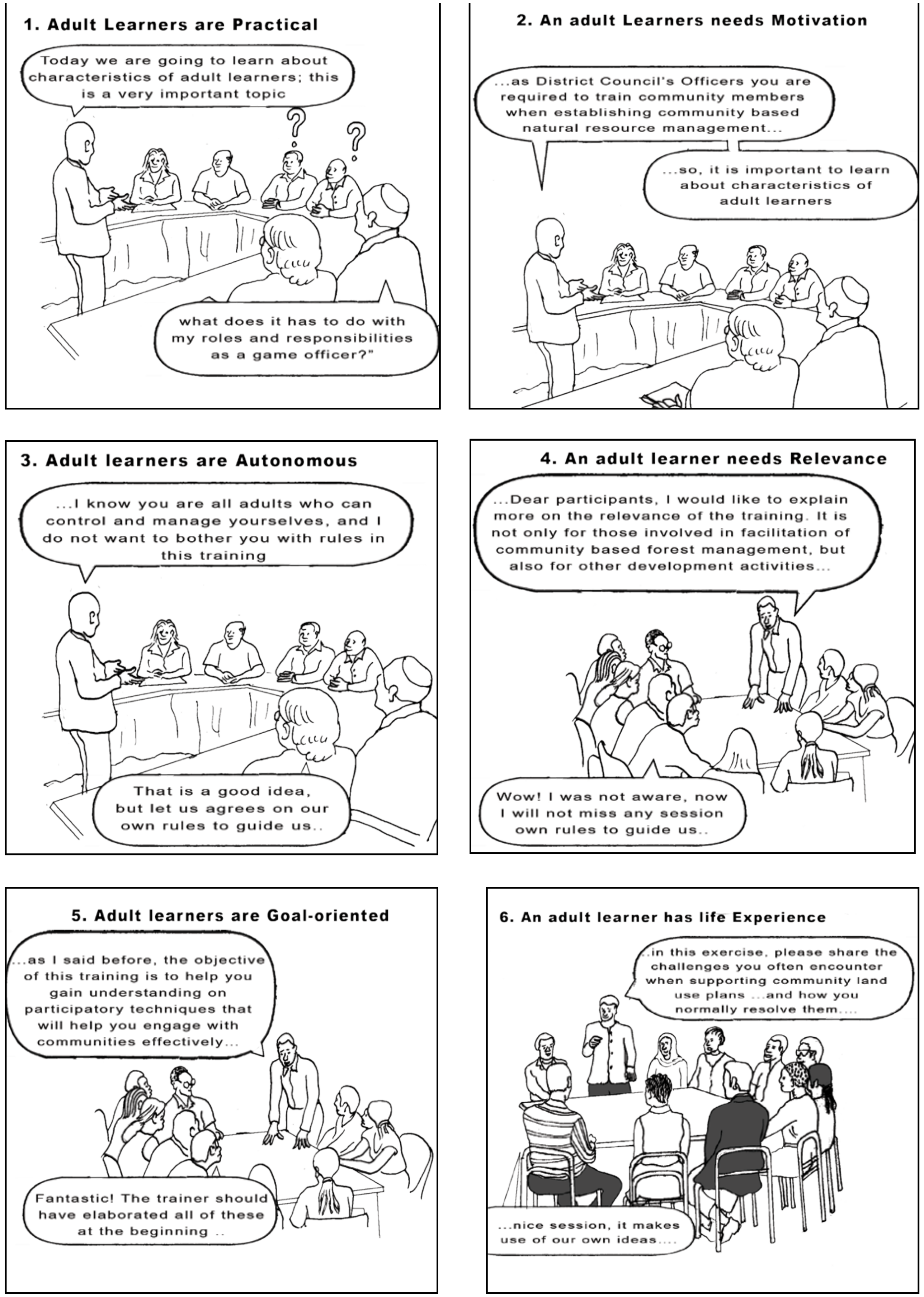

Figure 9: Description of six typical domains of characteristics of adult learners

Preparation of trainings that involves adults should take into account 6 key points:

1. **Adult Learners are Practical:** Adults are business oriented; they are satisfied with learning when assured of immediate practical applicability. Thus, the trainer needs to emphasize how they will be able to practically apply what they will learn in say, harvesting timber trees or engage other community members in decision-making.
2. **Learners need Motivation:** Adults learn best when they are convinced that what they are taught is relevant and useful. Thus, should spend time explaining the usefulness of any training offered to them
3. **Adult learners are Autonomous:** the trainer should know that adult learners need to manage themselves. Thus, it is important to avoid too many rules and norms trying to control them. Once the purpose and usefulness of the training are explained to trainees they are expect to be self-motivated and take control of themselves.
4. **An adult learner needs Relevance:** it is important to talk about the linkage of the training to the roles of trainees so that they can be in position to link trainings they receive with their practical roles
5. **Adult learners are Goal-oriented:** training should always begin with passing through training objectives in order to motivate the trainees them.
6. **An adult learner has life Experience:** training of adults should be linked to their previous experiences on management of forest and other natural resources.

5 Experiential Learning Model

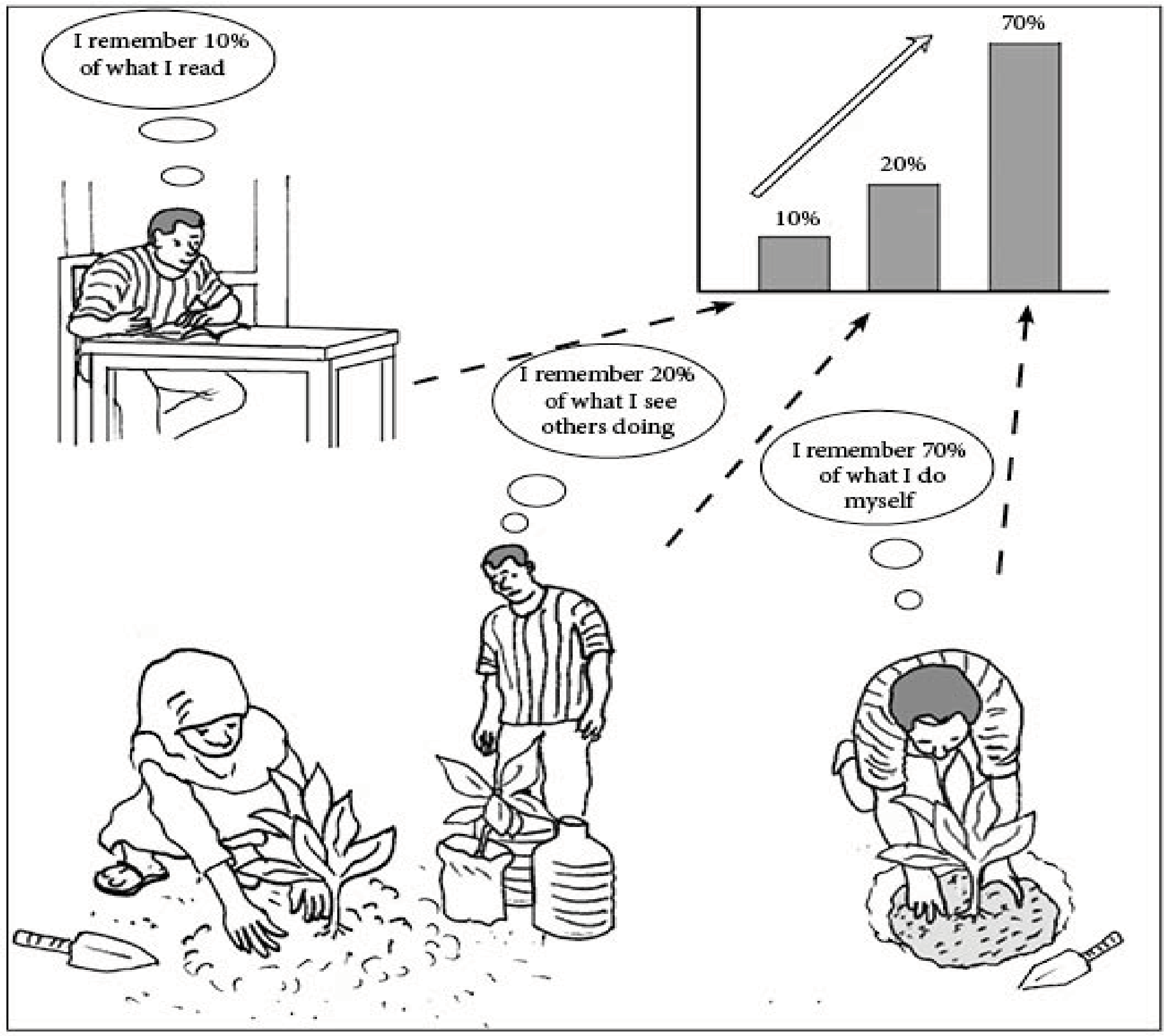

Figure 10: The tree component of the 70/20/10 sub model in experiential learning model

The 70/20/10 model complements the adult learning, based on the three principles:

ii) People remember 70% of things they learned through practical application. Thus, when training trainers should engage them in actual doing of different exercise.
iii) That 20% of techniques and skills learnt comes from observing others doing during the training process. Thus, training needs to involve group works in order to provide an opportunity for some individuals to see what others do.
iv) That people remember 10% of what they read. This implies that use of reading materials in training should be minimized

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Handout 3.2.4: Cascade approach to training: practical applications in the context of capacity building to the local governments in Tanzania

1. Definition and meaning of cascade training approach

Cascade training model is defined as training system in which training is conducted to the experts at the higher tier of the organization structure who subsequently deliver the training messages down through several tiers of personnel until it eventually reaches the final target group. Trainings at different levels are separated and harmonized with differences in knowledge levels and learning capabilities, such that as you reach the grassroots (village/community) level the training content may reduce to basic awareness creation. The basic structure of the model is presented in Figure 3. The advantage of the cascade training model is the fact that it is structured to reach large number of grassroots stakeholders at cost effective ways.

1.2 Key considerations to ensure effectiveness and efficiency of the cascade model

In the context of sustainable harvesting of charcoal and timber in Tanzania, at least seven requirements need to be integrated into the model to enhance its functionality, effectiveness and efficiency:

1) A national team of trainers drawn from key ministries including Ministry of Natural Resources and Tourism, Ministry of Energy and President's Office-Regional Administration and Local Government; and Tanzania Forest Service (TFS) Agency and Forest and Beekeeping Division to ensure that all key aspects of the training content are incorporated
2) Selecting as many trainers as possible from the best people available
3) Ensuring that training material is the best in the context of the current knowledge and technology, with the right language, content and training aids/tools

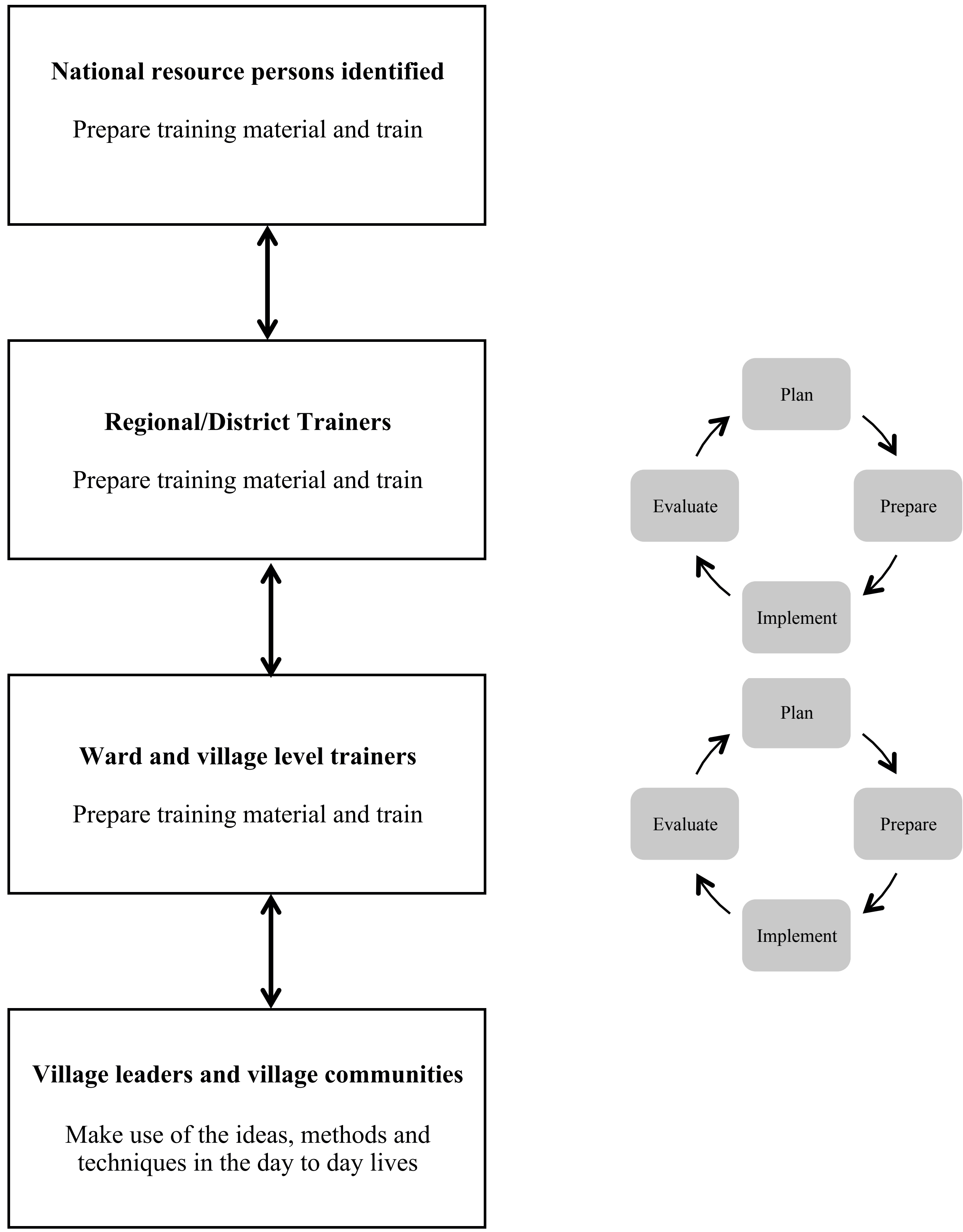

Figure 11: The cascade model of training

4) Ensuring adequate preparation at all levels
5) Focusing on making the training interesting through adoption of participatory training methods and giving adequate time for thorough coverage of the material
6) Establishing a robust planning, monitoring and evaluation mechanism with constant back and forth information flows, which ensures understanding and quality of trainings at all levels of the training structure. At each level of the training, the planning, monitoring and evaluation mechanism entails four key interrelated steps envisaged to ensure quality training delivery (Figure 4).
7) At the district level, District Executive Directors (DED) should be well informed about the training requirements to enhance their supervisory support, whereas specialized employees with relevant expertise take the responsible for the actual training. The DED should always act as overseer of the training processes.

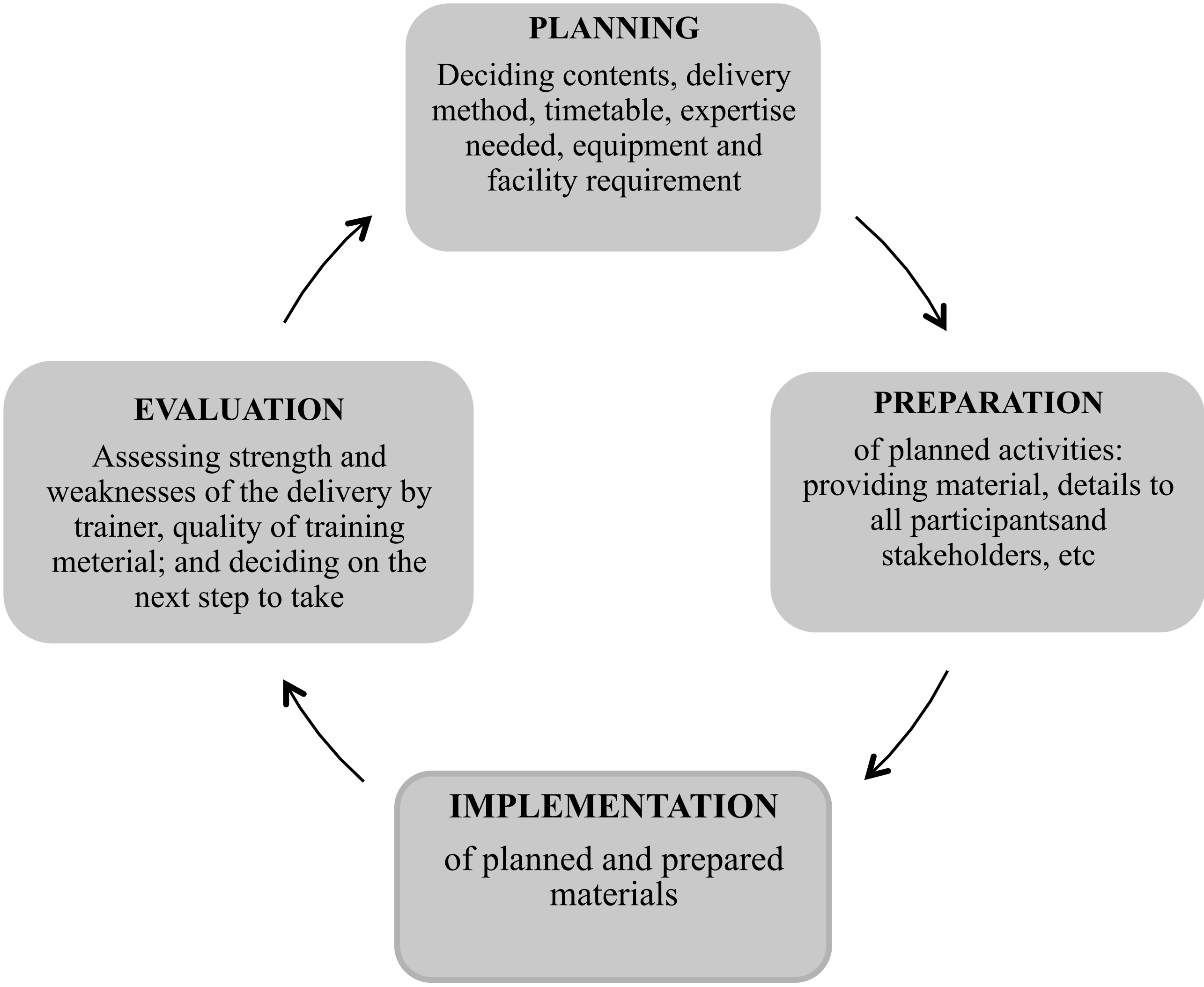

Figure 12: Key steps at each level of the cascade model of training

Typical advantages and disadvantage of the cascade training model are summarized in Table:

Table 5: Typical advantages and disadvantages of the cascade model training

Advantages	Disadvantages
1. It is a cost-effective ways of reaching out to the grassroots 2. It provides opportunities for a large number of stakeholders to become trained and train others 3. It creates a sense of responsibility with respect to capacity building at different levels of central and local governments and encourages the spirit to utilize internal expertise available at each respective level of governance	1. There is risk of dilution of the training where less and less is understood the further one goes down the cascade, which might lead to loss of real value especially at the grassroots level. 2. Proper performance monitoring of the training may be a challenge as a result of inadequate capacities at different levels of the training model structure

It important to note that none of the disadvantages associated with the cascade training model relate to the inherent weakness of the model *per se*, but the manner in which it is often implemented. Thus, the necessary prerequisite for the successful application of the cascade model is the active participation of trainers from the higher levels across all levels of the structure of the model. Thus, there are five key criteria, which when properly integrated in the cascade training model are likely to guarantee successes:

a) Adopting experiential and reflective rather than transmissive method of conducting the training;
b) The training must be open to reinterpretation; avoiding rigid prescribed ways of working as much as possible;
c) Expertise must be diffused through the system as widely as possible, not concentrated at the top;
d) A cross-section of stakeholders must be involved in the preparation of training materials through consultations and review workshops;
e) Responsibilities should be decentralized within the cascade structure as much as possible.

2. Practical applications in the context of local governments in Tanzania

The key advantage of the cascade training approach is that it reaches a great many participants in a short period of time. District councils have limited budgets year after year, yet they are charged with responsibilities to ensure that social services are adequately delivered to local communities within their jurisdiction. Under the local government settings of Tanzania most sectors within a given the district link to local communities through several community level volunteers. Examples of such community volunteers are village health workers, VLUMC and VNRCs. This setting is an opportunity for the local government cascade training approach. For example, little budget can be used to conduct Training of Trainers (TOT) at the district level about best practices of conducting forest patrols. The district level trainers then can identify and train the local volunteers who finally disseminate the knowledge and skills quickly down to sub-village level. This happens within a very short period of time and increases effectiveness of district councils to deliver social services to local communities.

3. Relevance to facilitation of community based natural resources management

District councils are mandated to provide social services to lower levels of governance including delivering appropriate technologies and skills. Natural resources remain a low priority sector within local governments and as a result the capacity and staff required to deliver effective forestry extension and training are severely lacking, constraining the delivery of forestry services. These contrasts with neighbouring countries such as Uganda, where discussions on service provision have advanced significantly in both the agricultural and forestry sectors (Harrison et al., 2004) and a variety of models are being developed to complement weak district capacity.

4. LESSONS FROM PREVIOUS CASCADE TRAINING PROGRAMS

4.1 Application of the cascade training model in different programs

Several seminal publications on the cascade training model focused on its application in overcoming challenges of within the education sector. Since then there has been application of the cascade training model in several other sectors of development as follows:

- ☑ Participatory forest management
- ☑ Disaster management, and/or general social work
- ☑ Integrated water resource management
- ☑ Waste management

4.2 Success factors in application of cascade training models

Several publications and reports have compiled factors that lead to success of different cascade training programs. Seven key success factors are important to ensure success of any cascade training programs:

1) Participatory monitoring and feedback mechanism at all levels, which ensures constant learning and adaptation of the training model to the needs of the trainers and trainees at different levels
2) Ensuring that trainers and trainees are motivated at all times of the training, which is guaranteed through careful training of trainers, and selection of participants and adapting the training content to the needs of the trainees
3) Adopting flexibility modalities that gives high priority to feedback and reflections from the stakeholders and regularly revising the training manuals and materials based on such feedbacks
4) Participatory approaches that bring in a cross-section of stakeholders including local and central government, relevant Civil Society Organizations (CSOs), research and training institutions; at different levels of the cascade training model structure and always giving due weight to views and concerns of different stakeholders
5) Adopting diverse training methods and varying training contents to suit the knowledge levels and learning capabilities of different trainees at different levels of the cascade model structure. This entails use of more advanced version of the training manual to train the national, regional and district level trainers; whereas the district level trainers use a simple version of the manual to relay knowledge and skills to the grassroots stakeholders
6) Ensuring that those selected to participate in the training of trainers sessions, especially at the grassroots, are individuals inherently with good knowledge of the subject matters; and then training them to persuade them of the benefits of the subject matter (e.g. sustainable harvesting of charcoal and timber under community based forest management); and subsequently providing them with tailored support materials; and then allowing them the freedom to cascade to their fellow community members.
7) Regular institutional and technical support to trainers at different levels ensures that any challenges encountered by trainers are addressed in time, leading to effective functioning of the system.

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04

MODULE FOUR: NETWORKING WITH OTHER STAKEHOLDERS- PRIVATE SECTOR

This module comprises two sessions that require 4 hours to be accomplished:

1. The need for public / private partnership for local government service provision of extension services for community based forest management (1.5 hour)
2. Networking with public and private actors (2.5 hours)

Table 6: Session plan for module number four

	Module 4: Networking with other stakeholders (including private sector) (4 hours)
	Session 4.1: The need for public/private partnership for scaling-up of community based natural resource management (1.5 hour)
Objectives	At the end of the session, participants: 1. Understand the potential to engage private service providers in delivering extension services for community based forest management and other natural resources 2. Able to identify appropriate private sector entities to engage with for scaling-up of community based forest management 3. Motivated to plan and implement initiatives to establish public/private partnerships for scaling-up of community based forest management
Materials	• Flip charts • Marker pens • Manila cards • Masking tape • Handout 4.1.1: Presentation on the need for public/private partnership for scaling-up of community based natural resource management • Notebooks and pens
Activities	1. The trainer makes a presentation on the need for public/private partnership for scaling-up of community based natural resource management [Handout 4.1.1]. 2. The trainer invites questions and discussions from participants. 3. The trainer concludes the session connecting to the next session on networking. 4. The trainer gives thanks to all participants, does a wrap-up and closes the session.
	Session 4.2 Processes for networking with public and private actors (2.5 hours)
Objectives	At the end of the session, participants: 1. Understand how to explore, create and maintain networks 2. Understand how to engage in fair partnerships with the private sector 3. Understands differences in the role of government and private sector in SCTVCD 4. Can initiate processes for partnerships, and attract the private sector and other actors for collaboration in scaling-up of participatory forest management
Materials	• Flip charts • Marker pens • Manila cards • Masking tape • Handout 4.2.2: Description of processes and steps for building effective and fair alliances and networking • Handout 4.2.3: Guideline on group exercises on public/private partnership for scaling-up of community based natural resource management • Notebooks and pens
Activities	1. The trainer makes a presentation on processes and steps for building effective and fair alliances and networking [Handout 4.2.2]. 2. The trainer invites questions and discussions 3. The trainer documents proceedings of questions and answers, and discussions highlighting common points, consensus and disparities between groups. 4. The trainer facilitates group exercises on public/private partnership for scaling-up of community based natural resource management (Handout 4.2.3) 5. The trainer appreciates all participants, does a wrap-up and closes the session.

Handout 4.1.1: The need for public/private partnership for scaling-up of community based natural resource management

1. What do we mean public/private partnership?

Public/private partnership (PPP) refers to collaboration between the public and private sector organisations where there is pooling together of resources (financial, human, technical, and information) from public and private sources to achieve a commonly agreed social goal. Private institution means stakeholders who are not part of the government organs. Examples include small-scale enterprises, registered charcoal and timber producers; and NGOs such as TFCG, MJUMITA, Farm Africa, MCDI, CARE International, WWF, etc.

The key purpose of establishing PPPs is to enhance mutual benefits. Typical examples include:

- The government (central or local) gain through enhanced capacity and efficiency to deliver services to citizens;
- NGOs gain through improved capacity to deliver and achieve value for money; and
- The private sector gain through improved capacity to deal with public sector services; profits through processing and marketing of natural products including sustainable charcoal and timber production; and improving efficiency and focus on customer requirements.

In practical terms, PPP in CBNRM can take different forms and lead to a wide range of advantages including:

- ***Organizing joint training:*** joint training means that staff from all parties are pooled and trained together. This can lead to economies of scale, that is, lower cost of training per staff.
- ***Resource sharing***: different parties have varying degree of adequacy and deficit in different resources (human, physical, finance, etc.). Thus, resource sharing enhances complimentary effects between parties thereby masking deficiencies that would manifest if each party would act in isolation.
- **Joint project implementation**: this helps to create arenas that promote resource sharing and expertise compliments.

4. The need for LGAs to build partnerships with the private sector to promote CBNRM

CBNRM has the potential to contribute to LGA revenues, improving sustainability and standard of living of citizens through three different ways:

i) Improving the quality of natural resources through sustainable management practices;
ii) Improved livelihoods through increased revenues and secure supply of subsistence different natural resource-based products; and
iii) Improved natural resource governance at village and district levels through effective and accountable natural resource management institutions

Under the local government reforms (LGRs), LGAs are mandated to oversee establishment of different CBNRM initiatives. However, LGAs have not been effective in fulfilling this role. For example, in 2006 (after almost two decades of PFM promotion), PFM had become operational in approximately 11% of the total forest cover and 18% of all villages on mainland Tanzania. The slow pace of PFM establishment has resulted in continued infective forest management. As a result, the national government loose more than US$ 58 million annually due to the ineffective collection of natural forest product royalties in the districts. This represents an untapped potential for substantial increase in the District Councils' budgets especially for some districts councils with extensive forests on the village lands, such as most districts in Moorogoro regions. Most of the illegal harvesting is happening in unreserved miombo forests on the village lands where LGAs are supposed to be overseeing forest management. These forests are the ones that ecologically qualify for sustainable harvesting of charcoal and timber.

LGRs, encourages LGAs to identify opportunities for out-sourcing of services to competent and locally based service providers in order to enhance its effectiveness. However, this has not been realized especially for the natural resources sector. Both LGAs and the non-state actors can mutually benefit from PPP with respect to CBNRM. CBNRM would improve sustainability of natural resources and livelihoods if the local communities, and increase LGAs revenues. On the other hand, there is high potential for the non-state actors to gain business efficiency through PPP with the LGAs. However, some potential actors from the private sector, especially business oriented actors, are not aware of the business opportunities with regard to PPP in CBRM.

For example, the Forest Policy (1998), Draft Forest Act (2008) and Forest Act (2002) provide an opportunity for private actors to legally own and sustainably manage forests on VLFR under the umbrella CBFM. However, to-date there has been no private companies and individuals that have shown interest or taken this opportunity. NGOs (not for profit) such as TFCG, MJUMITA, Farm Africa, MCDI, CARE International and WWF are actively participating in CBNRM through PPP with both the LGAs and central government. Nevertheless, private companies and individuals have not shown up to engage with the LGAs for CBNRM. They key incentive to bring in the private companies and individuals is assurance of making profits through direct investment in natural products and their processing and marketing. Experience from the on-going TTCS project has shown the potential of sustainable and profitable production of charcoal and timber under CBFM regimes. This experience should be documented and presented in a form that is understandable by the private companies and entrepreneurs including clear expression of costs and benefits involved.

5. What should the LGAs do to enhance PPP for scaling-up of CBNRM?

- Begin to cultivate good relationships with CSOs, private companies and private entrepreneurs to develop understanding and trust;
- Create and popularize transparent mechanism for resource sharing and joint venturing with no-state actors;
- Document and publicize the potentials for community development and profitable ventures through sustainable CBNRM such as sustainable charcoal and timber model. Such a case study can be used to create awareness and incentivize relevant non-state, and the private actors including small-scale enterprises such as registered charcoal and timber producers. This in turn would create the demand for the CSOs and private sector to partner with LGAs to support scaling-up of CBFM-especially with the option for sustainable charcoal and timber harvesting;
- Develop appropriate terms of reference and contractual procedures to guide engagement with specific considerations on relevant incentives to attract both the CSOs, and the private companies and individuals; and
- Establishing and operating joint ventures with relevant CSOs, and private companies and individual entrepreneurs.

6. What are the possible forms of PPP for LGAs to support CBNRM?

Three possible forms are feasible:

1. **Loans and micro-finance**: linking with banks and microfinance institutions to access loans for capital that can be invested in CBNRM initiatives. This falls within the mandates of the LGAs with legal fiscal powers to take loans from financial institutions and development aid, among other things.

2. **Joint ventures:** agreements or partnerships between LGAs and the private companies or entrepreneurs grounded in legally binding agreements that provide all parties with opportunities to generate profits, and recourse to the law in the case of disagreements.
3. **Private Forest Reserves:** encouraging the private companies or entrepreneurs to invest in supporting establishment of CBFM with an opportunity to declare some parts of community forests as "Private Forest Reserves" under the provisions of the Forest Act, Village under the provisions of the Land Act, 1999 or the Village Land Act, 1999. This can incentivize the private companies or individual entrepreneurs given the potential to generate profits through sustainable management of "Private Forest Reserves" in accordance to the Forest Act (2002). Care must be taken to ensure that the process to establish "Private Forest Reserves" goes hand in hand with putting substantial area of the forests on the village land under the management of the general village community. As a rule of thumb, at least 75% of the entire forest on the village land should be dedicated to the management of the general community. This leaves about 25% or less for consideration to be leased to private actors for commercial sustainable management under the PPP regime.

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Handout 4.2.2: Processes and steps for building effective and fair alliances and networking

1. Introduction

- ☑ Building alliance involves identification and bringing together individuals and institutions to work on a common objective. Individuals and institutions to be engaged for building alliances are chosen based on their known strengths and focus.

- ☑ Networking is an act of forging formal or informal relationships with actors/organizations defined by horizontal rather than hierarchical relationships, agreed to assist one another or collaborate, on the basis of a common interest on a specific issue or general shared values.

2. The need for LGAs to build alliances in the context of scaling-up CBNRM

In the context of CBNRM, the LGA needs to build alliance in order to enhance mutual benefiting for both LGAs and relevant allies through complimentary capacities (human, finance and physical resources). The LGAs can benefit in several ways through alliances with both public and private institutions including CSOs. Examples of CSOs with a demonstrated track record in facilitating and supporting CBNRM include TFCG, MJUMITA, Tanzania Natural Resources Forum (TNRF), Farm Africa, MCDI, CARE International, WWF, etc.

Some of the benefits of building alliances in the context of CBNRM and LGAs capacity building include:

i) Sharing ideas and best practices
ii) Enhancing collaborative opportunities
iii) Encouraging personnel exchange for training purposes
iv) Facilitating the sharing of human and technical resources
v) Creating opportunities for cost effective ventures

3. Steps in building alliances and networks

a) Preparing a list of like-minded organizations or those capable of providing the needed support

This can be done through a combination of general experiences, literature review and snowball interviewing. In snowball interview, one known actor is contacted to provide information of other like-minded actors until all the possibilities are exhausted. To minimize costs, on-line interviews through e-mails, phones or skype calls can be organized.

In the context of SCTVCD, LGAs need support on both technical and financial aspects. Possible allies include:

- ☑ CSOs with accumulated technical capacity in promoting sustainable forest management such as TFCG, MJUMITA, Tanzania Natural Resources Forum (TNRF), Farm Africa, Mpingo Conservation & Development Initiative (MCDI), CARE International and WWF
- ☑ Private companies that can provide loans such as microfinance institutions and banks such as National Microfinance Bank, CRDB Banks, National Commercial Bank; and FINCA and Vision Fund Tanzania.

b) Preparing position paper and sharing with the identified allies

- ☑ Prior approaching potential allies, the LGA needs to prepare draft position paper outlining the purpose/objective and what is expected from each or categories of the allies, and/or the terms of collaboration of partnerships[2]. The draft position paper should also specify any support that LGAs need from different categories of identified allies; and what it has to offer to the allies. The paper is then shared with all allies to inform and ask them to provide inputs and comments on the paper. Developing the paper through participatory process helps to create sense of ownership among the allies contacted.
- ☑ Whenever possible, LGAs should look for opportunities to invite the identified allies in meetings or attend their meetings as a way to create closed relationship through sharing and clarifying of relevant information.

c) Reaching mutual agreement of the terms that connect the actors and keep them functioning

For actors to continue networking they have to agree on the terms of cooperation or collaboration. This fosters trust and legitimacy, which is the most important incentive to keep the network members from breaking away from the network. The agreed principles that keep the network members together should at least cover the following issues/aspects:

(i). Criteria for membership-is it voluntary; free or fee-based; open to anyone or by invitation only?
(ii). Relations among members-what are the relations between the members? Are some members powerful than others?
(iii). Procedures for withdrawing from the network
(iv). Dispute resolution
(v). Clarity on intellectual property rights
(vi). Clarity on assets and liabilities
(vii). Decision making power: clarity on who (member organisations or the lead organisation) has power to make decisions related to the network
(viii). Communications- appropriate communication strategies for sharing information among members and outwardly

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[2] Among other things, terms need to clarify the rule of thumb that at least 75% of the entire forest on the village land should be dedicated to the management of the general community i.e. only 25% of the forests on the village land or less can be leased to private actors for commercial sustainable management under the PPP regime.

Handout 4.1.3: Guideline on group exercises on public/private partnership for scaling-up of community based natural resource management

- ☑ The trainer divides the participants into even groups with 5 – 10 participants.
- ☑ The trainer confirms availability of a moderator and a reporter/note taker in each group.
- ☑ The trainer distribute sheets of flip chart papers
- ☑ The trainer asks half of the groups to develop a position paper to attract alliances with CSOs in scaling-up of community based forest management
- ☑ The trainer asks another half of the groups to develop a position paper to attract alliances with the private sector in scaling-up of community based forest management
- ☑ The trainer asks each group to structure their position papers around the following headlines:
  - Purpose/objective and what is expected from each or categories of the allies
  - Terms of the partnerships:
    - ✓ Criteria for membership-is it voluntary; free or fee-based; open to anyone or by invitation only?
    - ✓ Relations among members-what are the relations between the members? Are some members powerful than others?
    - ✓ Procedures for withdrawing from the alliance once joined
    - ✓ Dispute resolution
    - ✓ Clarity on assets and liabilities
    - ✓ Decision making power: clarity on who (member organisations or the lead organisation) has power to make decisions related to the network
    - ✓ Communications- how will information be shared among members and outwardly
  - Support that LGAs need from the allies (motivation to attract the allies)
  - What the LGA has to offer to the allies (incentives that will attract the targeted allies)
- ☑ The trainer asks participants to re-convene and each group shares the results in a plenary.
- ☑ The trainer facilitates questions and answers, and discussions in the plenary highlighting similarities and differences between the position papers targeting CSOs and those targeting the private sector.
- ☑ The trainer documents proceeding of the plenary session, appreciate each participants and conclude the session highlight the key considerations when attracting allies with CSOs or the private sector.

MODULE FIVE: LINKING TO LOWER GOVERNANCE LEVELS WITHOUT BUDGET

This module comprises of only one session that requires 4 hours to be accomplished

1. Linking to lower governance levels without budget (4 hours)

Table 7: Session plan for module number five

	Module 5: Linking to lower governance levels without budget (4 hours)
	Session 5.1 Linking to lower governance levels without budget (4 hours)
Objectives	At the end of the session, participants: 1. Understand the most effective means of communication that can help to link the LGA to ward and village levels without budget in the context of CBNRM 2. Able to transfer and receive communication from the lower governance levels without a budget 3. Explain key tips for effective communication to and from the lower governance levels without budget
Materials	• Flip charts • Marker pens • Masking tape • Handout 5.1: Exercise on linking to lower governance levels without budget • Handout 5.2: Linking to lower governance levels without budget • Notebooks and pens
Activities	1. The trainer introduces the session highlighting objectives and expected outputs 2. The trainer guides participants through a group exercises and plenary sessions as described in Handouts 5.1 3. The trainer summarizes key messages from the group exercises, develop tentative communication channels and mechanisms to link LGAs to lower levels without budget 4. The trainer concludes the plenary session and link to the presentation on "Linking to lower governance levels without budget" (Handout 5.2) 5. The trainer concludes the session by inviting questions and discussion points 6. The trainer gives thanks to all participants, does a wrap-up and closes the session

5.1. Exercise on linking to lower governance levels without budget

1. The exercise

Making reference to the LGA governance structure discuss the following questions in your respective groups:

1. Beginning at District Authorities (Incorporating DED appointed by the Minister of LGA) down to sub-village level identify information that need to flow in and out of each level of the governance in the context of CBNRM, and specifically community based forest management.
2. Identify and discuss the most appropriate ways and technologies that can be used to facilitate information circulation within each level, and in-flow and out-flow at each level of the governance hierarchy in the context of CBNRM with no specific communication budget allocation:
   a) LGAs Headquarters
   b) Citizens at the ward and village levels

Handout 5.2: Linking to lower governance levels without budget

1. What do we mean by communication?
In the context of LGAs and CBNRM, communication refers to a social process that allows a constant exchange of information between the LGAs staff and lower governance levels at ward and village levels.

2. What are the features of effective communication?
Effective communication is one that does not only enhance constant exchange of information between the LGAs and lower governance levels at ward and village levels, but also ensures that the lower levels of governance have trust and confidence with the LGAs.
Effective communication is characterized by the following features:

i) Focuses on what the LGAs need to be famous for with respect to specific categories of stakeholders/audience
ii) It should be focused of the key purpose of LGAs on CBNRM, which is to support CBNRM in local communities through effective lower level natural resource governance
iii) Focuses on one or a few issues of specific importance at a given time
iv) Uses communication channels that are accessible to target audience
v) Works through specific allies within the target audience who can use information received to influence others

2. Communication channels
Communication channel is a transport through which a message travels from a source to a recipient.
Examples of communication channels include:

- Radios
- Televisions
- Print media
- Meetings
- Memos
- Reports
- Social media such as Whatsapp, Twitter and facebook
- Mobile phone text messages and calls

The choice of the communication channel to use must be based on accessibility to the target audiences.

3. How can LGA use effective communication to link with ward and village levels without budget?
Within the context of CBNRM, the focal points of communication at the ward and village levels are ward leaders, and village leaders and village level natural resource management institutions. The village level natural resource management institutions include VNRCs and legally registered.

Most rural areas have access to mobile phone network which support texting technology. Therefore the best way to link with the lower levels without budget should be through mobile phone technology especially text messaging. However, ward level leaders (Councilors and Ward Executive Officer) are likely to have smartphones that can support whatsapp, twitter and facebook. Through these channels it is possible LGAs to send and receive information from the lower governance levels without any need for specific budget allocation.

The following tips are helpful when choosing the most appropriate means of communication without specific budget allocation:

- Identifying and developing relationships (e.g. exchanging mobile phone numbers) with ward leaders, village leaders, and leaders for local level NRM institutions. These become community champions who can deliver and receive message from the community with authenticity and power to the issue or need being addressed.
- Integrate trainings and awareness creation packages to empower ward and village leaders as storytellers and community champions during establishment of CBNRM initiatives such as CBFM.

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06

MODULE SIX: SOCIAL ACCOUNTABILITY AND TRANSPARENCY

This module comprises two sessions that require 2.5 hours to be accomplished

1. The concept of social accountability and its relevance to community based natural resources management (30 minutes)
2. Accountability in the forest sector in Tanzania (2 hours)

Table 8: Session plan for module number six

	Module 6: Social accountability and transparency (2.5 hours)
	Session 6.1: The concept of social accountability and its relevance to community based natural resources management (30 minutes)
Objectives	At the end of the session, participants: 1. Gain knowledge on the concept of social accountability and its relevance to community based natural resources management 2. Understand the role of role of government in accountability 3. Able to identify different dimensions of social accountability at different levels of forest governance (e.g. community, ward and district levels) 4. Motivated to integrate indicators of social accountability in community based planning for management of natural resources
Materials	• Handout 6.1.1: Presentation on **the concept of social accountability and its relevance to community based natural resources management**. • Handout 6.1.2: Presentation on **advantages of having effective social accountability in the context of local government service delivery to communities** • Notebooks and pens
Activities	1. The trainer makes a presentation on the **concept of social accountability and its relevance to community based natural resources management** 2. The trainer engages participants in discussion of advantages of having effective social accountability in the context of local government service delivery to communities [Handout 6.1.2]. 3. The trainer makes reference to the list of advantages of having effective social accountability in the context of local government service delivery in Handout 6.1.2, in case some advantages are not identified by the participants. 4. The trainer concludes the session emphasizing that different actors are involved in social accountability but the active thrust comes from the local communities (rights-holders) demanding the right-bears to fulfill their roles and responsibilities 5. The trainer gives thanks to all participants, does a wrap-up and closes the session.
	Session 6.2: Accountability in the forest sector in Tanzania (2 hours)
Objectives	At the end of the session, participants: 1. Understand the forest governance systems in Tanzania and their challenges in relation to social accountability for community based forest management initiatives 2. Able to identify fragmentation within the forest governance system and its implication for effective participation of communities in forest management 3. Motivated to promote mechanism to enhance effective dialogue and cooperation among different CBNRM stakeholders
Materials	• Handout 6.3.1: Presentation on Presentation on accountability in the forest sector in Tanzania • Handout 6.3.2: Schematic diagram depicting decentralized forest governance in Tanzania • Notebooks and pens
Time	02 hour 00 minutes
Activities	1. Trainer presents a presentation on accountability in the forest sector in Tanzania [Handout 6.2.1]. 2. The trainer invites questions and discussions from participants. 3. The trainer presents the Schematic diagram depicting decentralized forest governance in Tanzania [Handout 6.2.2]. 4. Trainer breaks the plenary into four groups, and gives them the following questions for discussion: • What are the strengths and challenges of the current decentralized forest governance in Tanzania? What can be done to overcome these challenges? • What are possible incentives and disincentives associated with the decentralized governance system with respect to local government effective involvement in facilitation of community based forest management from their own budgets? • What are the strengths and challenges of the decentralized forest governance system with respect to social accountability? • Given the potential for the increased LGA revenue from legal and sustainable harvesting of timber and charcoal, what are the potential mechanisms that the LGAs can use to support expansion of community based forest management in their respective jurisdictions? 5. The trainer guides a plenary report back and discussions. 6. The trainer documents proceedings of the plenary discussions highlighting common points, consensus and disparities between groups. 7. The trainer concludes the plenary discussions connecting to the next module on planning and budgeting for NRM/CBFM services. 8. The trainer gives thanks to all participants, does a wrap-up and closes the session.

Handout 6.1.1: The concept of social accountability and its relevance to community based natural resources management

1. What is accountability?
Accountability refers to obligation of power-holders to account for or take responsibility for their actions. "Power-holders" are those who hold political, financial or other forms of power and include officials in government at LGAs and Village Councils

2. What is social accountability?
Social accountability is an approach towards building accountability in which ordinary citizens and/or civil society organizations participate directly or indirectly in exacting accountability to the duty bearers. In this case, mechanisms of social accountability can be initiated and supported by the state, citizens or both, but very often they are demand-driven and operate from the bottom-up. For example, VNRCs may establish a mechanism that they will be presenting income and expenditure accounts quarterly; but they may not present anything if community members are not demanding such forums.

3. Relevancy of social accountability to CBNRM
Social accountability is relevant to CBNRM in the following ways:

(i). **Potential for natural resources to contribute to sustainable rural development is untapped:** policies and laws recognize the potential of the natural resources (NRs), such as forest and water resources, to contribute to poverty reduction and sustainable rural development. This happens through effective community participation in management. However, NRs are not priority sectors under the current LGA financing mechanisms. As a result there is inadequate or no budget to support establishment of CBNRM. NRs continue to degrade while poverty abounds in the rural communities. Social accountability is helpful in empowering communities to push for changes in the LGAs financing mechanisms in order to prioritize CBNRM in the LGAs development plan and budgets.

(ii). **The need for pressurizing radical changes in LGAs systems to favour NR prioritization:** over decades CSOs have been engaged in top-down approaches for influencing key decision-makers to change policies and programs related to CBNRM. The purpose has been to secure effective management of NRM while enhancing sustainable rural development through sustainable utilization of NRM. This has not brought any meaningful change. For example, until now, only 11% of the total forest cover has been put under participatory management; and only 18% of all villages are involved on mainland Tanzania. Social accountability has the potential to increase the thrust to influence changes in policies and programs. Social accountability ensures bottom-up/grassroots efforts to alter power dynamics between state and CSOs, and between government (local and central government) and communities, in order to bring about changes in government plans and budgets to support CBNRM.

(iii). At the community level VNRCs and village leaders need to be held accountable to ensure that CBRM contribute to sustainable development: communities need to be empowered demand their rights from VNRCs and village leaders to ensure that they are responsive to the needs and priorities of the community (Box 3).

Box 3: Examples of ways to enhance social accountability under CBNRM

i) Awareness of social accountability: community members should be trained on their rights with respect to access to social services from the LGAs and overall CBNRM, and mechanisms to hold duty bearer accountable, on whom to go to for claiming their rights, and understanding the obligation of the supply side and their own responsibilities as citizens. Communities should be trained in order to bring a balanced interaction between the right-bearers and the rights-holders.
ii) Participation in meetings: since most issues are discussed meetings, communities should be trained on the importance to be in meetings where plans are drawn and decisions are made. These meetings include O & OD where communities can take an active role of putting CBFM as a priority in o & OD.
iii) Training local leaders at village and ward level (VEOs, WEOs, councilors) on their roles and responsibilities including organizing and conducting meetings, and overall mechanisms for social accountability.

4. Mechanisms for social accountability
Social accountability is mediated through interactions between three components: information, citizen action and government response.

- ✓ Citizens need the right information to be empowered to engage in actions that trigger an official government response.
- ✓ Social accountability deepens democracy by strengthening the relationship between citizens and the government that serves them.

In the context of CBNRM, the following three mechanisms are applied to foster social accountability:

(i). **Citizen involvement in monitoring LGAs investments in different public services:** social accountability in CBNRM involves the monitoring of LGAs budget allocation to CBNRM initiatives as identified in village level plans.

(ii). **Influencing and monitoring LGAs financing: involves** analysis the LGAs budgets to ascertain whether they match stated policy priorities, impacts on CBNRM and different categories of stakeholders, and discrepancies between funding levels and actual needs.
(iii). **Effective participation in participatory planning:** involves participation of citizens in planning (e.g. O & OD) in order to provide the LGAs with priorities of local communities. The LGAs are expected to respond to the needs of local communities solicited through participatory planning.

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Handout 6.1.2: Presentation on advantages of having effective social accountability in the context of local government service delivery to communities

The advantages of having effective social accountability falls under four key areas:

(i). **The potential to cause improvement in social services delivery through LGAs:** LGAs are mandated to provide quality social services to the citizens, yet almost all services provided by the LGAs are of poor quality. Social accountability has the potential to instigate improvements in services delivered by the LGAs.

(ii). **Social accountability approaches provide additional opportunities to affect change:** advocacy for policy changes including the need to increasing budget allocated for management of forests and other natural resources has been left in the hands of NGOs such as TFCG, MJUMITA, etc.; that operates from above. Social accountability that operates from the grassroots is likely to enhance changes in policy and programs with respect to effective participation of communities in managing natural resources including forests on the village land.

(iii). **Creating good relationships with global development partners:** pro-poor approaches and responding to the needs of the grassroots is one of the top agenda promoted by global development partners. Promoting social accountability empowers the grassroots to engage with the governance systems in order to enhance government response to the local needs. Since the approach conforms to the global development partners, it enhances relationships with them at the national level.

(iv). **Social accountability benefits from CSOs' advocacy experiences:** "social accountability" matches very well with vivid synergies with the advocacy strategies developed by various CSOs. Thus, social accountability builds on existing advocacy strategies without any need to develop new strategies.

Handout 6.2.1: Presentation on accountability in the forest sector in Tanzania

1. Institutional framework for forest management in Tanzania
In Tanzania, forest governance under the central government through Tanzania Forest Service Agency TFS. The central government's forest administration system runs parallel to that of LGAs through the PMO-RALG down to district and village levels (See Figure 5, Handout 6.3.2). The TFS administer all national forest reserves due to their regional, national and global biodiversity or water catchment values. TFS operates through District Forest Managers (DFMs) posted in all district councils. On the other, in administering forest governance, LGAs operate through the District Forest Officers (DFOs) sitting in each District Council. The DFMs are answerable to the TFS i.e. the central government. DFOs are answerable to locally elected councils through the District Executive Directors (DED).

2. Enhancing local co-ordination and harmonization of forest administration at the local level
The two governance systems of the forest resources may be confusing and conflicting if not well coordinated or harmonized at the local level. The scope and level of coordination of forest administration at the local level is determined by the relationship between the DFMs and DFOs. LGAs and TFS should be conversant with these two systems and their policy and legal bases. A key point is are important to avoid confusion and conflicts between the DFMs and DFOs:

In terms of the difference in DFO and DFM responsibilities, it is important to be clear that DFMs are responsible for the management of forests in Central Government Forest Reserves. In rare cases where there are forests on general land i.e. forests on land outside the boundary of any village, the DFMs are also responsible for those forests. However, almost all forests in Tanzania are either on village land or in reserves. In terms of sustainable charcoal production, DFMs' role includes assisting charcoal or timber associations to register with TFS; and in issuing transport permits.

In contrast, DFOs are responsible for supporting communities to manage forests on village land including village land forest reserves, community forest reserves and unreserved village forests. DFOs are also responsible for Local Authority Forest Reserves. In terms of sustainable charcoal production, DFOs are responsible for supporting communities to establish and implement their CBFM plans and by-laws.

Handout 6.2.2: Schematic diagram of the fragmented decentralized forest governance in Tanzania

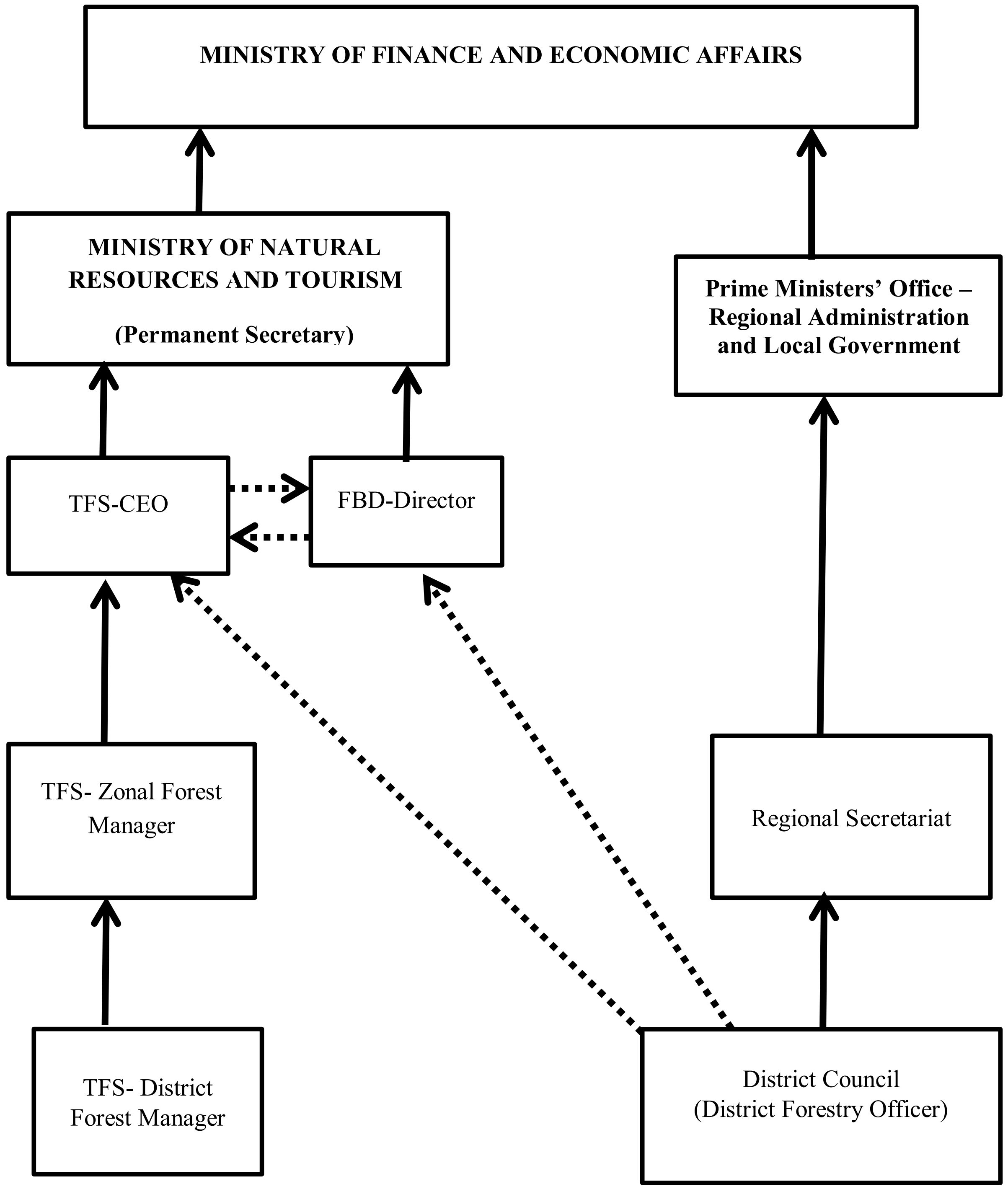

Figure 13: Fragmented forest governance system in Tanzania

Source: Modified from URT (2001) with inputs from http://www.tfs.go.tz/en/about/category/functions-and-mandate & Consultation with the Director for Forestry and Beekeeping Division

It is important to note that presence of the parallel forest governance systems may weaken accountability system if communities are not aware of the rationality of the systems, and how they

work. In order to avoid this confusion DFMs and DFOs should cultivate the culture of working in collaboration. TFCG has accumulated experiences on fostering coordination of forest management at the local level.

TFCG is keen to bring together DFMs and DFOs during planning and implementation of forest management interventions. This happens regardless of whether interventions are on forests managed by the central government or LGAs. The following tips can help DFMs and DFOs avoid confusion among community members regarding forest governance systems:

a) DFOs and DFMs need to be conversant with the existing forest policy and forest act, and respect division of responsibilities among themselves;
b) DFOs and DFMs should work jointly to create awareness among community members on how the two systems function including clarifying the duty bearers for forests under different management status; and
c) DFOs and DFMs should develop and nurture the spirit of collaboration and partnerships to enhance their effectiveness and avoid sending conflict messages to local communities. Key areas of collaboration include:
    - ✓ Planning of forest management activities
    - ✓ Allocation of resources
    - ✓ Compilation of monitoring data and reports

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MODULE SEVEN: PLANNING AND BUDGETING FOR NRM/CBFM SERVICES

This module comprises of only one session that requires 2 hours to be accomplished

1. Budgeting process and local government financing in Tanzania (2 hours)

Table 9: Session plan for module number seven

	Module 7: Planning and budgeting for NRM/CBFM services (2 hours)
	Session 7.1 Budgeting process and local government financing in Tanzania (2 hours)
Objectives	At the end of the session, participants will: 1. Understand budgeting process and local government financing in Tanzania 2. Be able to see the need to include community based forest management as both a priority for funding form LGAs own sources and potential source of revenues for the LGAs 3. Be motivated to influence budgeting and financing systems at the local government in order to enhance scaling-up of the sustainable charcoal and timber model within the context of community based forest management
Materials	• Flip charts • Marker pens • Masking tape • Handout 7.1: Presentation on budgeting process and local government financing in Tanzania • Handout 7.2: Presentation on description of local participatory planning process (O & OD) in Tanzania • Notebooks and pens
Activities	1. The trainer makes presentation on budgeting process and local government financing in Tanzania [Handout 7.1]. 2. The trainer makes presentation on description of O & OD planning process [Handout 7.2] 3. The trainer introduces the revenue generation scenario exercises making reference again to Handout 6.3.1 and Handout 6.3.2. 4. Form small groups to discuss the need to scale-up scaling-up sustainable charcoal and timber model (Each group takes one scenario below): i) All forests on the village lands within the district are put under community based forest management but without any harvesting ii) All forests on the village lands within the district are put under community based forest management but without any harvesting, and managed for sustainable harvesting of charcoal and timber iii) All forests on the village lands are left without any management 5. Questions for small groups to consider: • Explain what would be the mandate of the LGAs and TFS regarding forest based revenue collection under each of the above scenario? • Give an estimate of amount of forest based revenues that would be collected through the DFOs and DCFMs for each of the above scenario. 6. Groups report back and plenary discussion • Question and answer and brief session assessment; referring to original objectives of the exercise 7. The trainer make synthesis, noting lessons learnt and connecting to the next module on how to advocate in CMT and full council as a way to influence increased LGA budgeting to CBNRM. 8. The trainer gives thanks to all participants, do wrap-up and closes the session

Handout 7.1 Budgeting process and local government financing in Tanzania

1. Key concepts

Budget is a plan or contract that specifies the intention of the Government to collect and spend the people's money. It provides details on how money will be collected from the public and allocated to perform various functions at different levels and components of Government based on predetermined priorities.

Revenue refers to the Government's income, which for the case of Tanzania comes from two main sources: 1) domestic revenue raised within the borders of a country mainly from taxes paid by citizens, duties on imports, profits from privatization, and several other fees; 2) foreign aid that include grants and loans obtained from foreign governments, and/or, multilateral institutions such as the World Bank.

Expenditure refers to how the Government spends money, which corresponds to Government's priorities or choices. Regardless of the source, revenues are always limited prioritizing different development needs is inevitable. Thus, budget analysis can shed some light on issues given priority that may provide basis for questioning the validity of the priorities chosen. For instance, one could find out how much does the Government plan to spend on ministers' travels in relation to the amount allocated for agricultural extension services, health and education.

2. Local government planning and budget process

2.1 Linkage between central and local government budgeting processes

Planning at the local governments is done within the context of decentralization, which aims to transfer responsibilities and devolve powers to the local governments in order to enhance their effectiveness and efficiency in identifying local priorities of service delivery in a sustainable manner. Local priorities are identified by means of the participatory planning tool known as "Opportunities and Obstacle to Development (O & OD). A short account of the O & OD methodology and actual experiences is given in

Handout 6.1.5.

The processes and key participants involved in planning and budgeting at the local government are presented in Figure 6.

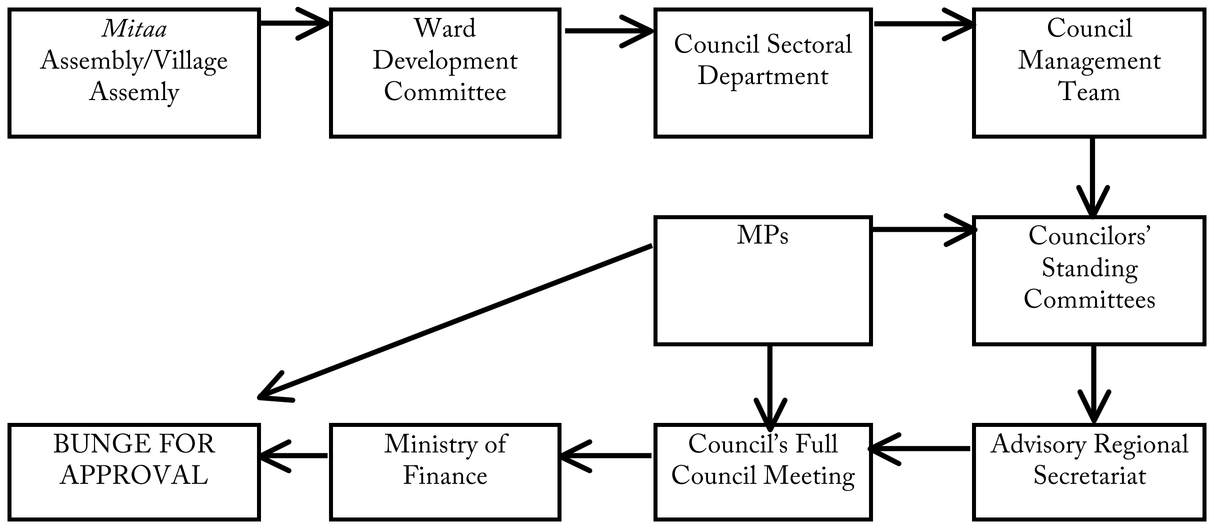

Figure 14: Formal planning and budgetary channel in Tanzania

Source: Parliamentary Centre (2011)

Through the O & OD process, the villages develop their plans through the Village Assemblies, respectively. The plans of villages are consolidated and coordinated by the Ward Development Committee (WDC) comprising of 3 to 5 villages. The WDCs prepare and submit the Ward plans, which indicate the expected sources and levels. At the District, the Heads of departments review and consolidate the plan and budgets received from WDCs into a draft district development plan while ensuring adherence to the district planning policy requirements of sectors and other government directives. The draft district development plan is discussed by the respective sector standing committee of the council. At this stage, stakeholders including community members and the civil society organisations operating in the councils' jurisdiction may participate, prior forwarding the draft plan to the Council Management Team (CMT) for further scrutiny.

From the CMT, the draft district development plan and budget is discussed by Councilors' Standing Committees prior submission to the respective Regional Secretariat; whereby sector representatives scrutinize the draft plan and budget with the aim of establishing that sector policies as contained in the planning and budget guidelines have been adhered to. The Regional Secretariat provides written comments and advice on how the council plan and budget can be improved upon. Finally, the revised district development plan and budget is submitted to the RS where plans budgets from different districts are consolidated into a regional plan and budget before submission to the ministry responsible for local government for further consolidation and later submitted to Ministry of Finance for inclusion in the Government Budget for Parliament approval.

2.2 Local government funding mechanisms

Local governments obtain its funding from three primary sources: transfers and grants from central government, own revenues that are locally sourced and local government borrowing. The transfers and grants from central government is the major revenue source that accounts for at least 90% of operational costs and development investment in LGAs. On the other hand LGAs' own revenue and local borrowing contribute less than 1% to LGAs budget. Different mechanisms for transfers and grants from central government are further described below.

2.1 Mechanisms for transfers and grants from central government

Records show that at least 90% of the LGAs recurrent expenditure is financed through transfers and grants from central government. In Tanzania, there are six key mechanisms through which intergovernmental transfers are implemented, as described below:

i) Local Government Development Grant System (LGCDG)

Unlike other categories of transfers and grants from central government, which are conditional in nature; the LGCDG is flexible mechanism designed to provide LGAs with a significant and predictable amount of funding to address local priorities as identified in the O & OD. The grant is allocated by formula, linked mainly to the size of the local population, but only LGAs with best practices of accountability and transparency; and other capacity related criteria. Examples of sectors that are known to allocate funds through the LGCDG mechanism include primary education, water and agriculture sectors. On average, the LGCDG system provides 17% of each LGA's annual budget. The LGCDG system requires a financial contribution from the benefiting communities. This amount is very little (less or equal to 8% of the total annual budget); as such LGAs fail to implement their development plans generated from O & OD. Therefore, ability of LGAs to finance their development plan depends on their capacity to generate their own revenues. The pilot sustainable charcoal and timber harvesting under community based forest management have demonstrated the potential of LGAs to generate their own revenues through establishment and management of CBFM, which incorporate sustainable harvesting of charcoal and timber (Box 4).

Box 4: Revenues collected by Kilosa and Morogoro District Councils from sustainable harvesting of charcoal

a) LGAs revenues collected by Kilosa district Council during phase one, as of June 2015: TZS 20,498,234 (US$ 12,811.40 @ exchange rate of 1,600)
b) LGAs revenues collected by Kilosa, Morogoro and Mvomero district councils during phase two as of June 2017: TZS 24,932,000 (US$ 11,160.25).

The total revenues earned by the LGAs from sustainable charcoal: TZS 45,430,234 (US$ 23,972).

ii) Recurrent block grants

It covers recurrent costs related to salaries and operating costs for each of the key social sectors (health, education, rural water, agriculture and roads); and general purpose block grant related to general administration costs.

iii) Sector basket funds and subventions

This forms an average of about 8% of a typical LGA annual budget. This grant type represents additional recurrent funding for key sectors received directly from the respective ministries. Typical examples include Agriculture Sector Development Programme (ASDP) and the Health Sector Basket Fund (HSBF); funding from TACAIDS channeled to all councils for HIV/AIDS-related expenditure, and selected councils get additional funds from the Global Fund. Finally, 30% of the road fund is distributed to councils for maintenance of local roads. In total, these basket funds and subventions provide an average of 8% of each LGA"s annual budget.

iv) Tanzania Social Action Fund (TASAF)

a joint Government and World Bank program designed support local infrastructural projects and small temporary employment. In policy documents, TASAF is considered as a means of enhancing local government reforms by giving more money and decision-making power to people at the local level. However, as noted by Mhina (2015) and Ng'eni and Chalam (2016) the conditions attached to TASAF interfere with fiscal autonomy of the local government thereby limiting the possibilities to respond to the real local needs.

v) The Constituency Development Fund (CDF)

The Constituency Development Fund (CDF) is a type of decentralised intergovernmental transfer funding mechanism that designed to deliver goods and services directly to constituents by providing additional funds for local community development, outside line ministries. It has recently received preference in developing country policies as a means to meet the immediate local needs. In Tanzania, CDF is managed at the constituency level by Members of Parliament (MPs). It may supplement or operate in parallel to existing funding mechanisms for local government. In Tanzania, the CDF was introduced in 2008 by President Kikwete. The CDF was formally established in 2009 and allocated to it in the 2010/11 budget. In theory, the CDF is praised for its effectiveness in meeting local priorities and other development and governance challenges that many developing countries face.

vi) Special development grants

These are development grants limited to specific regions or area-based programmes, sectors and purposes. Examples include some transfers such as the Participatory Agriculture Development Empowerment Project (PADEP), District Agriculture Sector Investment Project (DASIP), Urban Development and Environmental Management (UDEM), Participatory Forest Management (PFM) / Sustainable Wetland Management (SWM) Grants, Local government and village transportation grants (LGTP/VTTP), Council Premise Development Grant, and the UNICEF support for Social Planning and Budgeting. In the 2008/09 budget, these sources contributed an average of 5% of each LGA's budget.

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Handout 7.2 Description of local participatory planning process (O & OD) in Tanzania

1. Description of the O & OD methodology

Opportunities and Obstacles to Development (O & OD) planning is an instrument for facilitating 'bottom-up' participatory development. The O & OD approach provides guiding principles for participatory planning and budgeting in LGAs by describing the legal framework, roles and responsibilities of government institutions at different governance levels (including district, ward and village level). The approach is in line with the key macroeconomic policies including the Tanzania Development Vision (TDV) 2025 and the National Strategy for Growth and Reduction of Poverty (MKUKUTA). The approach was introduced in 2002 in several pilot districts, and later scaled-up. Theoretically, O & OD approach come up with community needs for which the ***Local Government Development Grant System (LGCDG)*** is disbursed. The LGCDG is of paramount importance in fostering fiscal autonomy of the LGAs as described in sub-section **3.3.1**.

The O & OD planning process cover a timeframe of twelve days as indicated in Table 1. The approach involves four main steps:

i) Sensitization of councilors and the Council Management Team (CMT);
ii) Capacity building of LGA and ward officers to become council facilitators (CFs) and ward facilitators (WFs);
iii) A community planning process (CPP) facilitated by CFs and WFs; and
iv) Integration of community plans into the LGA plan.

The O & OD approach motivates community ownership of the plans as they are allowed to priorities local development objectives. Also, the approach provides an important framework for 'effective and efficient' allocation of the Local Government Capital Development Grant (LGCDG) to meet local priorities.

2 Challenges of implementing opportunities and obstacles to development

Challenges of with O & OD include have been identified, including the following:

i) Delays in receiving guidelines and budget ceilings: villages and are supposed to be guided by national guidelines and budget ceiling in order to come up with realistic plans. However, in most cases the national guidelines and budget ceilings are released at times when the process is almost coming to an end. As a result, village plans becomes very ambitious and unfeasible compared to available resources. This can lead to plans that are not implemented, which discourages the community
ii) Inadequate participation of the grassroots: in most cases the planning is done with few experts sit down and draft "fake" plans without actually reaching the people
iii) Some social groups are not represented during community meetings.
iv) Village plans produced through O&OD often have only minor influence on final LGA plans, the LGA tend to give priority to priorities of the line ministries and other central actors at the expense of the needs of the local communities.
v) The process is expensive – costing as much as 25% of the available development funding, by one estimate – and there are not always resources available for it.
vi) In most cases O & OD is not done at all; identification and prioritization of development issues and subsequent development of the district plan is done at the district by the different heads of departments. Such plans indicate what the district officers think the grass root communities need with no relevance to the real needs of the local communities.
vii) Within the context of CBNRM, an approach that clusters similar villages (e.g. communities with mountain communities, valley bottom communities, etc.) together and select a sample of large forests (>10 ha), preventative villages could help to come up with less cost but realistic O & OD that represents the needs of the entire population in a given district.

MODULE EIGHT: PLANNING AND BUDGETING FOR NRM/CBFM SERVICES

This module comprises of only one session that requires 2 hours to be accomplished

1. How to advocate in CMT and full council for allocating budget for scaling-up CBFM….. (2 hours)

Table 10: Session plan for module number eight

	Module 8: How to advocate in CMT and full council (2 hours)
	Session 8.1: How to advocate in CMT and full council (2 hours)
Objectives	At the end of the session, participants: Have understood the procedures for CMT budgeting and planning, and be able to identify opportunities for influencing the process 1. Have understood steps to follow when planning an advocacy campaign 2. Are able to prepare short advocacy campaign to influence CMT's allocation of funds for allocating resources for CBNRM 3. Have identified basic information that are needed advocate to CMT for allocating resources for CBNRM
Materials	• Flip charts • Marker pens • Manila cards • Masking tape • Handout 8.1: Short presentation on definition of advocacy and lobbying • Handout 8.2: Presentation on Developing and Delivering Advocacy Messages • Handout 8.3: Guide for group work on developing advocacy messages to advocate to the CMTs to influence allocation of funds for CBNRM • Handout 8.4: A brief overview of the TTCS's model – What is the model and how does it work • Notebooks and pens
Time	01 hour 00 minutes
Activities	1. The trainer guides participants to brainstorm on definitions and scope of advocacy and lobbying 2. The trainer makes presentation on definition and scope of advocacy and lobbying [Handout 8.1] 3. The trainer makes presentation on developing and delivering advocacy messages [Handout 8.2] 4. The trainer takes the participants through the group exercise on developing advocacy messages to advocate to the CMTs to influence allocation of funds for CBNRM [Handout 8.3] making reference to the experiences from TTCS's model as presented in Handout 8.4 5. The trainer gives thanks to all participants, does a wrap-up and closes the session

Handout 8.1: Short presentation on definition of advocacy and lobbying

Advocacy embraces various activities undertaken to gain access to and influence decision-makers on matters of importance to a particular group or to society in general.

Advocacy is a process of raising voices in an effective manner so as to influence others. It involves educating and creating or increasing awareness among the general public, government and policy makers on issues affecting or confronting the community and the need to align policies, laws, programs, projects to address the need.

- ☑ Advocacy a process, a means rather than an end. It is a process to empower the marginalized and powerless to gain a better policy environment and advance their voices to policy and decision makers.
  - ⇒ The end result could be batter laws, policies, programs or projects that reflects the interests of the marginalized people

Lobbying is persuasion of policymakers and decision-makers to support the interests of groups that are doing the lobbying.

- ☑ Lobbying is a key activity undertaken to achieve advocacy.

Handout 8.2: Developing and Delivering Advocacy Messages for the CMTs and Full Councils

1. The membership, procedures and roles and responsibilities of the CMTs
Council Management Teams (CMTs) is a team within the District Council that constitutes the executive management of the councils made up of the District Executive Director and Heads of Departments. CMTs are responsible for priority setting, budgeting, planning and implementation of the district development plan. CMTs set their priorities based on the overall guidance from the central government. As a result, although forestry has the potential to generate revenues for most district councils it is not considered as a priority sector; and no budget is investment in forestry activities such as CBFM.

2. The membership, roles and responsibilities of the full district council
The full district council includes the District Executive Director, Heads of Departments and elected ward councilors. It is chaired by the Council Chairperson elected from among the Ward Councilors. The Full Council Meeting is the final decision making body of the district councils. Key functions of the full council meetings include:

- ✓ guiding the development of local policies and setting priorities
- ✓ review and approval of the development plan
- ✓ review and approval of the district council's council budget
- ✓ representing ratepayers and residents

3. What do we mean by an advocacy message?
An advocacy message is a concise and persuasive proposition that capture nature and type of changes required among the decision-makers on matters of interest, and why and how such changes should happen. The purpose of advocacy message is to create action for the target audience. Therefore, an ideal advocacy message should also include the specific action that it proposes the audience to take.

The Meaning of Advocacy and Elements of Advocacy Message

Figure 15: The meaning of advocacy and five elements of typical advocacy message

4. Elements of a typical advocacy message

An advocacy message has five key elements that when combined together ensures that the message is successfully delivered to the audience on time, to cause an intended changes:

(i). **Content/Ideas:** this describes ideas to be conveyed to the intended audience. It also specifies arguments to be used to persuade the intended audience.

☑ The content of the message should capture four key aspects:

- ✓ What is to be achieved?
- ✓ Why should it be achieved (the positive result of taking action and/or the negative consequence of inaction)?
- ✓ How it should be achieved?
- ✓ What action should the audience take in order to bring about the desired change?

(ii). **Language:** this specifies words and phrases chosen to deliver the message clearly and effectively. The choice of the language depends on the characteristics and attitude of the audience. Need to choose words correctly based on the known characteristics of the audience of group of audiences.

(iii). **Source/Messenger:** this is a specific contact person to whom the audience should respond as they react to the message delivered to them.

(iv). **Format/channel of delivery:** this specifies communication channels to be used deliver the message to ensure maximum impact. Examples include:

- ✓ Meeting
- ✓ Letter
- ✓ Brochure
- ✓ Poster
- ✓ Radio
- ✓ TV, etc.
- ✓ Project site visit
- ✓ Short video presentations

(v). **Time and Place:** this specifies the best time and place to deliver the message to ensure effective results. Need to find out whether there is any specific place where the deliver message should be delivered to enhance its credibility or more political impact.

Handout 8.3: Guide for group work on developing advocacy campaign to advocate to the CMTs and the Full Council to influence allocation of funds for CBNRM

1. Problem analysis, identifying of policy issues and formulating policy solution (time = 1 hour)

- ☑ The trainer divides the participants into groups of 5 – 10 participants.
- ☑ The trainer confirms availability of a moderator and a reporter/note taker in each group.
- ☑ The trainer distribute sheets of flip chart papers
- ☑ The trainer asks the participants to use the sustainable charcoal experience (Handout 8.4) and their own experiences to develop an advocacy message to be conveyed to the CMTs and the Full Council in order to advocate for budget allocation for scaling-up of the community based forest management.
- ☑ The trainer asks the participants to structure their messages based on the key elements of the advocacy messages described in Handout 8.2.
- ☑ The trainer then asks participants to re-convene and each group shares the results in a plenary.
- ☑ The trainer documents proceedings of the plenary session, gives thanks to all participants and conclude the session.

Handout 8.4: A brief overview of the TTCS's model – What is the model and how does it work

1. Introduction

Uncontrolled charcoal production is a major driver of deforestation and forest degradation particularly in weak managed government forest reserves and unmanaged forests on the village land. Agriculture is the main deforestation driver on village land which comprises 70 % of land in Tanzania. If forests are going to compete with agriculture as a land use, they need to bring more tangible benefits to communities. Charcoal production is both a risk to forests; and provides an opportunity to incentivise sustainable forest management.

Demand for charcoal in Tanzania is projected to increase over the next 20 years due to rapid urbanisation and population growth.

Projected demand for charcoal in Tanzania

The risk that charcoal poses to forests is likely to increase as demand increases. A business as usual scenario suggests that demand will double by 2030 relative to 2012 levels.

The charcoal value chain can be transferred to:

- **Incentivise** sustainable forest management;
- **Reduce** deforestation;
- **Improve** rural livelihoods;
- **Increase** resilience to climate change.

2. The sustainable charcoal model

The model involves three steps as follows:

Step 1 involves conducting village land use planning and establishing village land forest reserves

Step 2 involves integrating charcoal forest management units in the Village Forest Reserves i.e. areas designated for sustainable charcoal production, which cover 10 to 20% of the total village land forest reserve (VLFR).A harvesting cycle of 24 years is adopted. This is based on long-term ecological research on miombo woodlands and aims to harvest at the point that the annual increment in biomass is at its highest. Each FMU is divided into 24 coupes; one coupe is harvested each year. Harvesting is done in alternate coupes such that harvested and non-harvested appear in mosaic.

Step 3 involves mapping of the coupes within each FMU and assessing the stock. The village natural resource committees are trained to assess the available biomass within each coupe. With this information, the annual charcoal quota is calculated; and this then provides the ceiling for harvesting permits. Care is taken not to harvest valuable timber trees; or trees on steep slopes. The project is experimenting with different ways of balancing rapid regeneration with minimising risks to the environment. Besides, a requirement for producing charcoal in the coupes is that the producers use improved basic earth kilns. The kilns can improve efficiency by up to 42 %. The project has trained over 500 producers to use the improved kilns and over 400 have joined the producer groups authorised to operate within the reserves.

Harvested areas regenerate from coppicing with 70 to 100 % of harvested stumps in wet miombo woodland producing coppices. Coppices grow faster than growing from seed as root stock is already well-developed. It is important to emphasise that this model is intended for woodlands and not for ecologically sensitive forests such as Coastal Forests and Eastern Arc Mountain forests. These forests with their globally unique biodiversity values should not be turned into charcoal

Step 4 involves establishing good governance for the village land forest reserves. This ensures that:

i) Permits issued based on annual harvesting quota for that year's coupe
ii) Transparent procedures for issuing permits and record-keeping
iii) Fees retained by the villages
iv) By-laws enforced rigorously

Step 5, producers produce and sell their charcoal to transporters.
Step 6, transporters demonstrate that the charcoal has been sourced legally from a sustainably managed VLFR for exemption from TFS royalties at natural resources check-points along the highway by showing:

- Transport permit
- Production license

APPENDICES

Appendix 1: A typical example of a 'bad presentation'

PHOTOSYNTHESIS

1. INTRODUCTION
Photosynthesis is a process used by plants and other organisms to convert light energy into chemical energy that can later be released to fuel the organisms' activities (energy transformation). This chemical energy is stored in carbohydrate molecules, such as sugars, which are synthesized from carbon dioxide and water – hence the name photosynthesis, from the Greek φῶς, phōs, "light", and σύνθεσις, synthesis, "putting together". In most cases, oxygen is also released as a waste product. Most plants, most algae, and cyanobacteria perform photosynthesis; such organisms are called photoautotrophs. Photosynthesis is largely responsible for producing and maintaining the oxygen content of the Earth's atmosphere, and supplies all of the organic compounds and most of the energy necessary for life on Earth.

Although photosynthesis is performed differently by different species, the process always begins when energy from light is absorbed by proteins called reaction centres that contain green chlorophyll pigments. In plants, these proteins are held inside organelles called chloroplasts, which are most abundant in leaf cells, while in bacteria they are embedded in the plasma membrane. In these light-dependent reactions, some energy is used to strip electrons from suitable substances, such as water, producing oxygen gas. The hydrogen freed by the splitting of water is used in the creation of two further compounds that act as an immediate energy storage means: reduced nicotinamide adenine dinucleotide phosphate (NADPH) and adenosine triphosphate (ATP), the "energy currency" of cells.

In plants, algae and cyanobacteria, long-term energy storage in the form of sugars is produced by a subsequent sequence of light-independent reactions called the Calvin cycle; some bacteria use different mechanisms, such as the reverse Krebs cycle, to achieve the same end. In the Calvin cycle, atmospheric carbon dioxide is incorporated into already existing organic carbon compounds, such as ribulose bisphosphate (RuBP). Using the ATP and NADPH produced by the light-dependent reactions, the resulting compounds are then reduced and removed to form further carbohydrates, such as glucose.

The first photosynthetic organisms probably evolved early in the evolutionary history of life and most likely used reducing agents such as hydrogen or hydrogen sulfide, rather than water, as sources of electrons. Cyanobacteria appeared later; the excess oxygen they produced contributed directly to the oxygenation of the Earth, which rendered the evolution of complex life possible. Today, the average rate of energy capture by photosynthesis globally is approximately 130 terawatts, which is about three times the current power consumption of human civilization. Photosynthetic organisms also convert around 100–115 thousand million metric tonnes of carbon into biomass per year.

The trainer pauses and makes remarks saying:
"I have just presented an introduction to one of the important but extensive topics in plant physiology. I know you may not have direct application to your work but I think it important to understand some of these difficult topics. After this introduction, I will spend the rest of the day to cover the following remain sub-topics:

Overview of biochemistry of photosynthesis

Photosynthetic membranes and organelles

☑ **Light**-dependent reactions
- Z scheme
- Water photolysis

☑ **Light**-independent **reactions**
- Calvin cycle

☑ Carbon concentrating mechanisms
- On land
- In water

Having said this, I would like to know whether there is any one with a question or suggestion