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# ACKNOWLEDGEMENT

# List of Abbreviations

CBFM: Community Based Forest Management

CDM: Clean Development Mechanism

CoP: Conference of Parties

DED: District Executive Director

FCPF: Forest Carbon Partnership Facility

FGD: Focus Group Discussion

FPIC: Free Prior and Informed Consent

GHG: Green House Gases

IMF: International Monetary Fund

IPCC: Intergovernmental Panel on Climate Change

JFM:  Joint Forest Management

KM: Kilometer

LGAs: Local Government Authorities

MJUMITA: Tanzania Community Forest Conservation Network

MNRT: Ministry of Natural Resource and Tourism

MNRT-FBD: Ministry of Natural Resource and Tourism, Forest and Beekeeping Division

MRV: Monitoring, Reporting and Valuation

NCCSC: National Climate Change Steering Committee

NCCTC: National Climate Change Technical Committee

NCMC: National Carbon Monitoring Center

NGO: Non-government Organization

NOK: Norwegian Kroner

PFM: Participatory Forest Management

PFRA: Participatory Forest Resource Assessment

PMO-RALG: Prime Minister Office – Regional Administration and Local Government

POVSUS-REDD: Impacts on poverty and sustainable development of the REDD+ architecture:
for equity options, growth and for the environment

PRA: Participatory Rural Appraisal

REDD or REDD+: Reducing Emissions from Deforestation and forest Degradation

SPSS: Statistical Package for Social Sciences

SUA: Sokoine University of Agriculture

TFCG: Tanzania Forest Conservation Group

TSH: Tanzania Shillings

UNFCCC: United Nations Framework Convention on Climate Change

VEO: Village Executive Officer

VLFRs: Village Land Forest Reserves

VNRCs: Village Natural Resource Committees

WB: World Bank

WEO: Ward Executive Officer

# ABSTRACT

This study is part of the project "Impacts on poverty and sustainable development of the REDD+ architecture: for equity options, growth and for the environment" (POVSUS-REDD). The POVSUS-REDD is aimed at increasing the understanding of how different options for REDD will affect the achievement of reducing greenhouse gas emissions, while benefiting sustainable development and poverty reduction. This thesis is assessing the processes of introducing REDD+ in a pilot in Kilosa district, Tanzania.

In Tanzania the POVSUS-REDD project is hosted at Sokoine University of Agriculture through its Faculty of Forestry and Nature Conservation. To study various options for REDD+ in Tanzania, SUA have been cooperated with many actors who implement REDD+ on the ground level, including TFCG/MJUMITA. This thesis studied a project titled "*Making REDD work for people and forests in Tanzania*" implemented by TFCG/MJUMITA in the Kilosa district of Morogoro region, Tanzania.

The objectives of the thesis were; to identify processes that have been initiated in creating new institutions and organizations in the process of introducing and implementing REDD+ in Kilosa. To analyze how local communities evaluate the process involved in the introduction and implementation of REDD+ in Kilosa, including an evaluation of whether it was based on free, prior and informed consent. And to analyze how the implementing organizations - NGOs, public authorities, community organizations - evaluate the changes undertaken and the process involved during introduction of REDD+.

The thesis employs two theoretical approaches; the theory of institutions and institutional change and theories about participation. The concept of legitimacy was used as well. Both quantitative and qualitative research methods were used during the data collection. The quantitative data was collected using surveyed questionnaire from the local people of the studied villages. The qualitative data was collected by using interviews with resources persons from; TFCG/MJUMITA, the villages' chairpersons, the heads of the VNRCs and the local people. And focus group discussions were used with the local people and the members of the VNRCs.

Findings from this study showed two main processes initiated by TFCG/MJUMITA when introducing and implementing the REDD+ pilot project, namely meetings and consultations. These meetings and consultations were held at four different levels; the district level, villages councils levels, sub- village levels and villages general assemblies levels. It was also noted that, there are still some workshops conducted by TFCG/MJUMITA to villagers in general and members of newly formed organizations responsible in executing REDD+.

Again findings from this thesis showed that the introduction of the REDD+ pilot project in the Kilosa district, has resulted in both institutional and organizational changes. The institutional changes can be categorized as designed and took the form of new legal rules; these rules are the one now used for access to the forest. Regarding the formation of new organizations responsible for executing REDD+ there were several developments; i.e., the establishment of *the REDD+ facilitation team, the* Village Natural Resource Committees *(VNRCs), Income Generating Activities groups (IGA-groups) and the REDD+ revenue sharing committee.* The REDD+ facilitation team was the one responsible in visiting all villages selected by TFCG/MJUMITA to implement REDD+, the VNRCs is the responsible executing organizations at the villages level. The IGA-groups are the ones offering alternative livelihood strategies including chicken rearing, beekeeping, loans and savings, improved cooking stoves etc. and the REDD+ revenue sharing committee was the one responsible for dividing individual dividends. Again changes in organizations were categorized as designed change.

Findings did also show that the local people, who are the key actors, were involved at a later stage of the REDD+ project, meaning that not during the proposal writing rather during the implementation phase. And the participation of the local people had many elements of a top-down approach. Again findings showed that the participation of the local people had many elements of functional participation and interactive participation types from Pretty (1995). So this thesis has categorized the participation of the local people during introducing the REDD+ in the Kilosa district as professional guided participation.

Also findings showed that in the early stage of introduction of REDD+, there were some disagreements/conflicts between mountain villagers and low land villagers, TFCG/MJUMITA and villagers. The main reasons for those disagreements/conflicts were; reallocations of mountainous villagers to pave a way for establishment of REDD+ forests, the size of land to be saved as

reserved and the wrong assumption that TFCG/MJUMITA were there to take villages' land. It was reported to us that all of the disagreements/conflicts were resolved, after TFCG/MJUMITA offered more information to villagers on the importance of forest conservation and the potential benefits they could get by accepting REDD+.

Concerning the evaluation of the processes involved during introducing REDD+ by the local people. I found that the local people are quite happy with how the REDD+ was introduced by TFCG/MJUMITA, especially that FFCG/MJUMITA started introducing the REDD+ project at the sub-village level. But they are still complaining that the payment they received is small and they are not sure when they will receive another amount.

Again findings showed that the executing organizations; TFCG/MJUMITA, villages councils and Village natural resource communities of all studied are satisfied with the processes involved and the development so far of the REDD+. But they are all worried if the goals set to be achieved will be reached, due to existence of illegal activities, especially illegal charcoaling and illegal timbering.

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## 1. Introduction

Current world policies and decision-makers are paying great attention on tropical forests deforestations than never before. Deforestation worldwide accounts approximately about 17% of the global green house gas emissions (IPCC 2007). International policy and decision-makers are mostly looking on ways to prevent/stop anthropogenic factors/causes which results into climate change. In responding to climate changes globally there have been several international, regional environmental agreements and protocols. One of those environmental agreements is the United Nations Framework Convention on Climate Change (UNFCCC) and its Kyoto Protocol (UNFCCC 1992). In Kyoto Protocol developed countries were allowed to offset their emissions through mechanism like Clean Development Mechanism (CDM) and joint forest management (JFM) in which developing countries could implement energy or forest projects which mitigate carbon dioxide $CO_2$ in returns of monetary payments from developed countries.

In CDM mechanism, project in forest only afforestation and reforestation were allowed while avoided deforestation was excluded to be implemented as mitigation strategy to reduce green house gases (GHG) including carbon dioxide emissions. Exclusion of avoided deforestation in Kyoto protocol as strategy to mitigate climate change result in birth of Reducing Emission from Deforestation and Forest Degradation (REDD) in Bali 2008 as another international strategy to mitigate climate change. REDD policy has to be implemented in developing countries where it is cheap, and developed countries will in-returns pay money to those countries conserving forests for carbon sequestration as one of climate change mitigation strategies (Angelsen 2012).

As new policy is introduced internationally, regionally and nationally there are always institutions and organizations changes taking place to accommodate that new policy changes. Introduction of REDD policy as a new mitigating strategy for climate change, there has been changes in institutions and organizations which are responsible in forest conservation globally, regionally as well as nationally (Burgess, Bahane et al. 2010). Globally we can see the changes in international monetary institutions like World Bank (WB), International Monetary Fund (IMF) and United Nations through UN-REDD had changes how it works and conditions so that they can accommodate REDD policy (Corbera and Schroeder 2011). These changes can also be seen in

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regional institutions and organization as well as individual countries implementing REDD policy as their mitigation strategy to climate change.

Tanzania is one of those countries currently implementing REDD policy as mitigation strategy to climate change. Although Tanzania had institutions and organization for conserving and protecting forest it had to change so that REDD policy can be operational with existing institutions and organizations. In 2008 Tanzania started developing National Strategy and Action Plan for REDD which is prerequisite to IMF and WB for any country to be eligible for international REDD+ money. This resulted in formation of Tanzania National REDD Task Force located in the Ministry of Natural Resource and Tourism (MNRT) which supervise all REDD activities in the country. This is one of institutional and organization change happened in Tanzania in accommodating REDD policy as mitigating strategy to climate change.

After Tanzania established a REDD+ Task Force which did initiate various REDD readiness initiatives, including signing of bilateral agreement between Tanzania and Norway governments of NOK 500million supporting research, education and development of pilot REDD+ projects. Various NGOs applied to implement REDD+ pilot projects. Among them were Tanzania Forest Conservation Group (TFCG), and Tanzania Community Forest Conservation Network (MJUMITA) did win a project titled "Making REDD+ work for local communities in Tanzania" and later in September 2009 they signed a contract with the Royal Norwegian embassy in Dar-es-Salaam to implement REDD+ pilot project in Lindi and Kilosa district in Tanzania.

In this research which is part of POVSUS – REDD, a project which includes research on REDD in five selected countries implementing REDD+ pilot projects, I have looked on institutional and organizational changes that has happen during process of introducing and implementing REDD+ pilot projects led by TFCG and MJUMITA in Kilosa District of Morogoro region of Tanzania. Objectives of this study were to analyze institutional and organizational changes that have been undertaken in the process and implementation of REDD+ initiative, to identify processes that has been initiated in creating new institutions and organization, to analyze how people living within the pilot area evaluate change undertaken and the processes involved in introducing REDD+, and finally to analyze how responsible implementing organizations- NGOs, public authorities, community organization- evaluate the changes undertaken and process involved during introduction of REDD+.

## 1.1. Problem Statement and Justification

Adoption of new initiative do require some new set-up of various institutions, be it a development project, advancement in technology and many other initiatives/policy. Tanzania has adopted the REDD+ initiative of trying to mitigate climate change in the world. Despite Tanzania being able to start implementation of this initiative as piloting project, little is known on how the process of implementation of various pilot project has been possible with existing institutions and what institutions changes has happen in piloting area where REDD+ have been introduced.

In this thesis I analyze changes in existing institutional and organizational structures which made it possible to implement REDD+ as a new policy in Tanzania. The assumption is that, finding from this case study can be used by Tanzania as country and international communities as learning platform necessary for institutions and organization changes before implementing larger REDD+ projects in the future.

## 1.2. Objectives and Research Questions

The main objective of this case study is to document and evaluate institutional and organizational changes which were undertaken when implementing the REDD+ pilot project in the Kilosa district. Three different specific objectives were posed in this study each with its research question as illustrated below.

*Specific objective 1-To identify processes that have been initiated to create new institutions and organizations in the process of introducing and implementing REDD+ in Kilosa.*

To respond to this objective the following questions were asked:

a) Which actors were involved in the process and what roles did they play?
b) Have any new organizations/administrative bodies been established at communities level related to land use planning, payment and/or MRV?
c) What institutional changes have been undertaken in the Kilosa district as part of establishing REDD+?

d) What issues were raised during the process of introducing REDD+? Were there any conflict resulted on the issues raised? Are there any unresolved conflicts?

e) How was the decision to implement the REDD+ pilot project in the villages reached?

*Specific object 2-- To analyze how local communities evaluate the process involved in the introduction and implementation of REDD+ in Kilosa, including an evaluation of whether it was based on free, prior and informed consent.*

To respond to this objective the following questions were asked:

a) What are local peoples overall impressions on the process involved? Are they satisfied with the processes and outcomes?

b) Did local people have clear and enough information regarding the implementation of REDD+?

c) How were the local people involved in different processes? How do they evaluate it?

d) What are local people's perceptions on established REDD+ rules? Do they know the rules well and do they follow them?

e) How do local communities evaluate the way TFCG/MJUMITA has implemented the REDD+ project?

*Specific objective 3-To analyze how the implementing organizations - NGOs, public authorities, community organizations - evaluate the changes undertaken and the process involved during introduction of REDD+*

To respond to this objective the following questions were asked:

a) Is the organization/actor satisfied with processes and outcomes of introducing REDD+?

b) How do responsible organizations explain the conflicts occurred during the processes involved in introducing REDD+ in Kilosa district?

### 1.3. Structure of Thesis

In chapter two a background of REDD+ will be presented from the international level down to the national level. The theory I will use is presented in chapter three with main focus at institutional change and participation of local community in forest management. In chapter four the methods used in collection and analysis of data will be presented followed by an introduction about the study area. In chapter five I will present processes initiated by TFCG/MJUMITA when introducing and implementing the REDD+ project in Kilosa. In chapter six the evaluation of the processes involved by the local people and executing organizations will be presented. Chapter seven includes a discussion of results against the theories presented in chapter three and finally in chapter eight conclusions will be drawn.

## 2. Background

### 2.1. Evolution of REDD+

After adoption of the Kyoto Protocol by international communities in 1997 at Kyoto Japan, in which developed countries could cut or reduce their emissions by investing in developing countries through Clean Development Mechanism (CDM) as a way of mitigating climate change through afforestation and reforestations projects only, avoided deforestation was excluded as an option to mitigate climate change (UNFCCC 1992). As a result in 2005, in Montreal Canada during 11th CoP of UNFCCC, a coalition of rainforest nations wanted avoided deforestation to be included as one of mitigating strategies to climate change in post 2012 regime. At beginning it was focused on reducing rate of forest loss, and it was known as Reduced Emissions from Deforestation (RED) later on degradation was included and another D was added to be Reduced Emission from Forest Deforestation and Degradation (REDD)

In 2008 during the 13th CoP in Bali REDD policy was officially agenda in UNFCCC negations as one of strategy of reducing GHG emission and it was negotiated under the Bali road map (UNFCCC 2008). As result of this Bali road negations developed countries did agree to help developing countries in various aspects including technological transfers, capital building and financing also the measure used should be measurable, reportable as well as verifiable. Another + was added late in 2008 during 14th CoP in Poznan as it was seen in longer ran REDD will be rewarding "*sinners*" rather than rewarding "*angels*". The added + was including sustainable management of forest and this was seen as win-win-win situation, as now one policy will help in tree things bothering world namely, reduce carbon emissions, poverty reduction and also biodiversity conservation (UNFCCC 2008).

In 2009 in Copenhagen during 15th CoP REDD+ was officially adopted and included in post 2012 environmental negations as a way forward in mitigating climate change by reducing GHG emissions. Copenhagen accord had strong words with less agreement on financial mechanism: *"We recognize the crucial role of reducing emission from deforestation and forest degradation and the need to enhance removals of greenhouse gas emission by forests and agree on the need to provide positive incentives to such actions through the immediate establishment of mechanism including REDD-plus to enable the mobilization of financial resources from developed countries"*

(UNFCCC 2010). Despite this recognition of REDD as one of way for climate mitigation, we still see that, up to date there is no clear conclusive agreement on the financial mechanism by global community. Again during its 16[tt] CoP in Cancun UNFCCC did come up with suggestions like reversing forest loss and all participating developing countries to reduce pressure on forest, and it remains one of important guidance to all actors implementing REDD as a strategy for climate change with a pledged of almost $4 billion of new money by a coalition of developed nations after their meetings in Paris and Oslo.

Copenhagen accord and Cancun agreement are the ones which did give a way forward in starting helping developing countries to prepare for REDD+ policy. Now REDD+ could be implemented as pilot projects through programmes like UN-REDD programme, Forest Investment Program (FIP), the World Banks Forest Carbon Partnership Facility (FCPF) and individual bilateral agreement. In Tanzania we have seen much of these programmes in place, and the most important one is the bilateral agreement with the Norwegian government in which REDD+ is implemented as pilot projects by nine different NGOs across the country.

## 2.2. REDD+ in Tanzania

In 2008 after the Tanzania government signed a bilateral agreement with the Norwegian government, Tanzania government start creating institutions and organizations change to accommodate REDD as a new policy. One of the institution was the formation of a national REDD+ task force in the MNRT dealing with all matter concern REDD in the country. This bilateral agreement of NOK 500 million for a period of five years made possible for Tanzania to start "getting ready" for REDD activities, in which nine NGOs working hand in hand with, academic institutions, central and local government as well as private sector has started implementing REDD+ activities as pilot projects. Main aims or goals of these pilot projects were to test various REDD mechanism and how they can be implemented later, these includes carbon accounting, capacity building to local community on understanding climate changes as well as generation of knowledge and experience on deforestation. Other actors also has given fund to Tanzania to work on the REDD+ readiness activities, these includes the UN-REDD, Clinton foundation etc.

In February 2013 the final REDD strategy and Action Plan came out which shows all the guidelines for implementing REDD+ and how the country will benefit in future international funds

for forest conservation. Also it shows how it has made institutional and organization rearrangement to accommodate REDD, for example the Government through the Division of Environment in the Vice President Office has established a National Climate Change Steering Committee (NCCSC) and National Climate Change Technical Committee (NCCTC) as bodied to supervise and guiding various actors in implementation strategies to reduce climate change causes in the country (URT 2013). Also Tanzania government is in the process of establishing a national REDD+ Fund where all fund will be channeled into it, and formation of National Carbon Monitoring Center (NCMC) which will be exclusively dealing with Monitoring, Reporting and Valuation (MRV) activities in the country. In local level starting at regional and district level REDD activities coordination will be through existing government institutional structure, whereby Regional Administrative Secretariat will serve as a link to ministries and District council and in district municipal levels as established by the Environmental Management Act of, 2004, Environmental Management Committee will be coordinating all REDD+ activities in respective judiciary areas.

### 2.3. REDD+ and TFCG/MJUMITA

In 2009 The Royal Norwegian Embassy did enter into contract with nine different Non-government Organization (NGOs) to implement REDD in Tanzania as pilot project. One of those NGOs was Tanzania Forest Conservation Group (TFCG) which is dedicated NGO dealing with forest conservation in Tanzania. Since its establishment in 1982 TFCG has been working in conserve various forests with help of local community as well as giving expect advice, advocacy, and research mainly in issues related to forests. Since 2000 TFCG has been working hand in hand with MJUMITA which is an independent NGO of more than 150 networks of communities dealing with forest conservation mainly on PFM mechanism through CBFM. TFCG and MJUMITA in 2009 they jointly presented a project proposal called "*Making REDD work for people and forests in Tanzania*" to Norwegian Embassy. This project had main goals of conserving forest and improved local community livelihood by offering alternative means of livelihood strategies like establishment of various income activities namely, beekeeping, demonstrations farms, loans and savings, improved cooking stoves (MJUMITA 2009).

After the project approval late in September 2009 a contract was signed with the Royal Norwegian Embassy and a five year project was launched in Kilosa and Lindi District by TFCG/MJUMITA.

In this study I did choose Kilosa District in Morogoro Region as my case study site due to its proximity to partner institution, namely Sokoine University of Agriculture (SUA), also time was another limiting factor. Five villages within the TFCG/MJUMITA REDD+ pilot project were selected to be studied for this research, Ilonga village one out of the five selected villages, was not yet received trial payment. The rest which did receive trial payment from TFCG/MJUMITA respectively are Dodoma Isanga, Chabima, Ibingu and Kisongwe.

### 2.4.    Tanzania and its Potential for Implementing REDD+

Tanzania which is having more than 38% of its land as conserved forests and protected area it necessitated it to have specific institutions and organization structure to manage and supervise this massive area which is under open access property regime (Iddi 1998). Various laws and act in Tanzania have been put forward in the past 20 years to help in conserving forest as well as decentralizing authority to lower level of management like the village council after central government failure to manage these huge forest areas. The Local Government Act of 1982 recognized village council as one of authority in government structure and give power to village government to make by-laws which can be used in the village to run day to day activity of village including forest conservation. The Village Land Act of 1999 did also give power to village government to exercise decision relating to village land including all the forest within the village land are now under the jurisdiction of village government.

Forest Act of 2002 which is the basis for community forest management did give chance local community to own, manage or co-manage forest available in their area in wide range. This means that community themselves can decide on to use forest and with whom they want to manage forest. This is the basis for Participatory Forest Management (PFM) which in Tanzania it's of two types.

Community Based Forest Management (CBFM) in this type of ownership local communities are the owner and manager of forest available in their village land. This means community can declare and gazette part of its land to be a forest reserve and then make by-laws to help in protecting or conserving that particular forest. Also the local community can declare part of its land as private forest reserve if an individual or a group of villager applies to the village council and get a legal permit. This also implies to all products and revenues from that particular forest belongs to the village, including fines collected, sales of timber and others. This type of PFM practiced in village land or private land and all the cost and benefit of conserving that particular forest is carried out by

the owner, the role of central and district government is just to monitor how management plan specified in management plan during application (MNRT-FBD 2007).

The other type of PFM is Joint Forest Management (JFM) and this is when local community enters into agreement with either central or district government to manage forest reserve near that particular village. This means there is sharing of right and responsibility among the two parties concern the protection of forest, this is both for cost and benefit sharing. This type is done in reserved land which is owned and managed either locally or central by government (MNRT-FBD 2007).

PFM, which has be practiced in Tanzania for many years, has been seen in some areas to help in protecting forest mainly increasing forest basal mass and increase in income to local community involved with it (Kajembe 2002). Institutions and organizational change which allowed PFM to be accommodated in Tanzania is what made Tanzania confident that it will be able to implement REDD as a new strategy to mitigate climate change. In MNRT where Beekeeping and Forest Division is sitting agency responsible for forest protection and utilization had to allow all possible changes, so that local community can be one of forests owners(Iddi 1998). This recognition of local community by those new Acts and Policy can be seen as automatically, but in reality it was a pre-requisite from international institutions/organizations for Tanzania government to continue getting aid/loans for its other daily activities including forest management.

Although PFM in many ways is not REDD as they have different goal, as PFM goal is protection of forest by local communities with its benefit, and REDD goal is to reduce deforestation and degradation of forest, with an assumption that the degradation is mostly caused by local communities daily livelihood strategies, by giving alternative livelihood strategies, like establishing various income generating activities namely beekeeping, improved cooking stove, demonstrations farms etc. Despite this genuine different between of the two strategies, REDD use platform laid by PFM as its key entry point into operation in Tanzania.

### 2.5.    Legal Recognition of Local Government Authorities in Tanzania
Natural resource management including Forest management in Tanzania before early 1970s it was characterized by state control and with the main goal of protecting and less on sustainable use with local communities. And in late 1970 and early 1980 there was a move to power devolution into

Local Government Authorities (LGAs) like the district and village councils. The first popular move was the "villagilazation". This was creations of villages by purposely reallocating millions of people into various areas with the main goal of establish new village. The established villages with their village council were established by the 1975 Village Act. Another act concerning the decentralization of central government was the Local Government Act, No 8 of 1984, which spell out that local government authorities will be responsible for "planning, financing and implementing development programmes within their area of jurisdiction….protect and properly utilize the environment for sustainable development…and make the necessary by-laws applicable in their area of jurisdiction.

The more recent Act giving power to LGAs is the Local Government Act of 1999 which resulted in formation of various LGAs committees such as Economic Affairs, Works and Environment under district authorities. This Act also stated that "it should be the objective of the local authorities in performing their functions to provide for the protection and proper utilization of the environment for sustainable development". These series of policies shows Tanzania's strong commitments toward using its natural resource including forests sustainably with its people; also people themselves are now responsible in managing natural resource for their sustainable development. So when after all these policies we now have what is here referred as LGAs consisting of Village's councils, Wards councils and District council working together with civil servant such as; a District Executive Director (DED), a Ward Executive Officer (WEO) and Village Executive Officer (VEO) appointed by Prime Minister Office – Regional Administration and Local Government (PMO-RALG).

### 2.6. Institutions and Organizations Responsible for Forest Management in LGAs

In the structure of LGAs which as mentioned early combine the district councils and village councils. District council is divided in number of departments and divisions in working with day to day functions of district including the forest department which is responsible in supervising all the forest under district jurisdiction as prescribed by the forest Act and forest Policy of 2002 and Land Policy of 1999. Also village councils which is another institution dealing with forest management as a structure for day to day function of the village as prescribed by the Local Government Act No.7 of 1982 by having village assembly as the approval organ in all matters of villages and sub-village leaders as member of village council

It is important now to mentions some of the works/functions which each organ of local government authority has as prescribed by the Local Government Act No 7 of 1982 as it will establish a logic on seeing how things are done in various level and make it possible to understand the power dynamics in the process of  decision making.

### 2.6.1. Functions of the District Council

The district council which is headed by the DED an appointee of Prime Minister do comprise various member including the following: a Member of Parliament found in the jurisdiction area of district, members elected one from each ward in the area of district council, three members appointed by minister responsible for local government etc. Among others functions of the district council the following are important to mention as follows,

- Formulating, coordinating and supervising the implementation of economic, commercial industrial and social development plans
- To ensure collection and proper utilization of revenue of the council
- To make by-laws applicable throughout the jurisdiction of district council
- To consider and approve by-laws made by villages councils within its area of jurisdictions and
- To regulate and coordinate the development plans, project and programmes of village and township authorities.

### 2.6.2. Functions of the Village Council

This organ of LGAs has also been given functions as prescribed by the Act of 1982 and it's formed by election through a Village assembly. The village assembly elects the village council which becomes the executive organ in respect of all affairs in village. Also it is worth in here to mention that the Village assembly oversees the work of the village council, and also deliberates proposal offered by the village council, for example by-laws made by the village council. Among other the following functions the village council are worth to be mentioned, as follows:

- Initiate and undertake any task, venture or enterprise designed to ensure the welfare and well being of the residents of the village

- Plan and coordinate the activities of and render assistance and advice to the residents of the village engaged in agricultural, horticultural, forestry or other activities or industry of any kind
- To participate, by way of partnership or any other way, in economic enterprises with other village councils
- The village council has the power to make by-laws and send for the approval by the district council.

The forest Act of 2002, provide the legal introduction and support for PFM initiative which can be implemented by the LGAs. The Act support PFM in two ways; first its enable the local communities to declare and gazette forest reserve and make by-laws through the villages councils, and secondly it allows for the local communities to enter into agreements with the central or local government in the management of state forest through joint forest management agreements. This is important as in a way it did go parallel with other Acts mentioned early recognizing the role of LGAs as the key players in managing natural resource in grass root level (Kajembe 2002), and also as it has earlier already mentioned that PFM is the key entry point for REDD+ in Tanzania with the emphasis of giving incentives to local communities. It's also important to mention PMF guidelines now, as all the LGAs are supposed to follow these guidelines during the process of introducing and implementing all new PFM activities in their area of jurisdiction. Also it is important to mention the PFM guidelines as the introduction of the REDD+ pilot project in Kilosa did use the PFM platform as they entry point to local communities.

**Table 1: PFM (CBFM and JFM) Guidelines**

| |
|---|
| **Stage One: Getting started** |
| • District level: select the villages for PFM, brief district staff, create a District PFM Facilitation team |
| • Village level: District PFM team meet with Village Council and Village Assembly and establish a Village Natural Resource Committee (VNRC) |
| **Stage Two: Assessment and Management Planning** |
| • Identify and agree on the boundaries of the village and village forest reserve |
| • Carry out a Participatory Forest Resource Assessment (PFRA) with the VNRC and measure and assess the forest and consult stakeholders and natural resource users |
| • Develop a village management plan and village by-laws draft |
| **Stage Three: Formalizing and legalizing** |
| • VNRC presents the draft to the Village Council and Assembly for approval |
| • Village chairman takes the draft to the Ward development committee |
| • The Ward development committee inform the neighboring villages in ward about the location and rules of the new village forest reserve |
| • Together with the district PFM team the VNRC takes the draft to the District Council for final approval |
| **Stage Four: Implementing** |
| • Awareness rising among village members concerning the management plan and by-laws |
| • Strengthen the VNRC and its ability to hold meetings undertake patrols, perform record-keeping and monitoring of the forest, and methods to deal with |
| • Starting afforestation activities if there are any forest encroachment |
| • District monitoring and supervising and acting as conflict resolution if necessary |
| **Stage Five: Revising and gazetting** |
| • Three years after implementation the forest management plan is reviewed and revised if necessary |
| • If want to they can request the FBD to officially gazette their VLFR |
| **Stage Six: Expanding to new areas** |
| • CBFM villagers can expand their VFR if they want |
| • Neighbouring villages or others in the district can request CBFM |
| • If so priorities needs to be balanced, action plan created, an administrative framework and support system set up and a budget set |

Source (MNRT-FBD 2007)

## 3. Theoretical Approaches

*In this chapter theoretical approaches are presented, first I will present the environmental governance systems framework (Vatn 2005) which is used for institutions analysis. I will present the framework by first defining relevant concepts and then back it up with some relevant literature. Next the structural process framework will be presented. I will round up the chapter by presenting local participation and legitimacy concepts relevant to REDD+.*

In this study of institutional and organizational change for REDD+ in the Kilosa district, two theoretical approaches will be employed to analyze change in the government structure, the local people participation and legitimacy of the process involved. In analyzing the change in governance structure, the environmental governance system framework developed by Vatn (2011) will be used. The other aspect that is the local people participation and legitimacy of the process involved, the structure process model from Vedeld (2002) will be used. In this thesis these two frameworks are combined together to see changes over time in both institutional and organizational, how the local communities were involved in various processes involved in introducing the REDD+ project in the Kilosa district, and finally how legitimate are the formed institutions and organizations responsible for REDD+ in the Kilosa district. To make use of both frameworks, I will now describe all relevant variables in the frameworks and how they are linked to this study.

### 3.1. Environmental Governance Systems Framework

The environmental governance systems framework of analysis developed by Vatn (2005; 2011), has its basis in political economy with emphasis on institutional dimensions with relation to studies in environmental resources - see Figure 1-. This framework is inspired by the work of Ostrom (1990) and her institutional analysis and development (IAD) framework.

Also Young's (2008) on his work of The Institutional Dimension of Environmental Change, Fit, Interplay and scale especial with the concept of "fit" is one to consider when using the environmental governance systems framework mainly on the resource attributes aspect; whereby if the resource regime doesn't fit the characteristics of the resource in hand then a problem may appear. For this matter it's obvious that previous resource regime like PFM did fit with the resource at hand in storing carbon in the forest hence REDD+ as a new regime is introduced assumed it will fit with the characteristics of a resource forest in storing carbon. I will use this framework to analyze institutional and organizational changes that has happened for REDD+ to be

implemented as a new mitigation strategy in reducing emissions from forest deforestation and degradation

To make use of this framework I will first explain the six main concepts it includes: (1) Attributes of the resource, infrastructure and technology for resource use; (2) institutions governing the policy process including constitutional and collective choice rules, form and informal rules for resource regime; (3) resource regime that gives access to resource and govern/facilitate interaction between actors; (4) economic and political actors and their preferences; (5) patterns of interaction between actors on choice of regime; (6) outcome of interaction between actors governing the resource regime. The main relations between the six variables are illustrated by the environmental governance system framework as a chart - see Figure 1-.
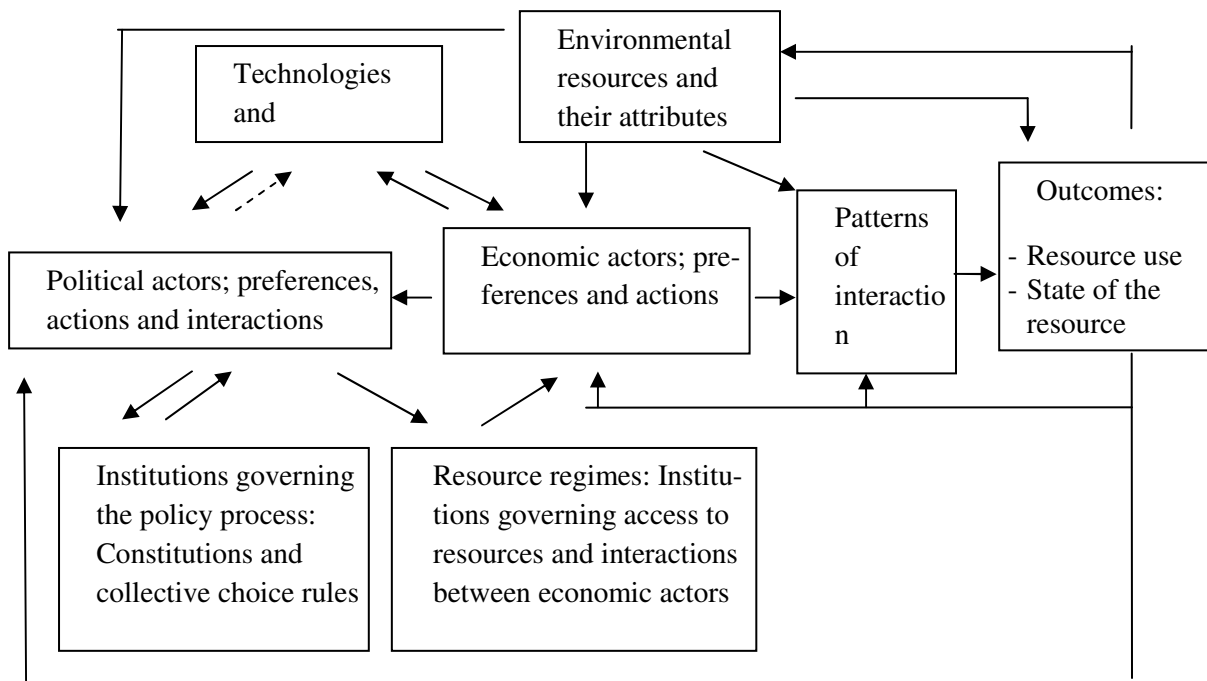


Figure1. A Framework for studying environmental governance systems; Source Vatn (2011)

### 3.1.1. Attributes of Environmental Resources, Available Technology and Infrastructure

The two aspects of the framework consist of the physical attributes of the environmental resource and the technology, and the technology and the infrastructure are the most important variables

influencing the use of the resource. As the use of a specific resource really depends much on how some one knows its characteristics and what type of technology is available to make possible the uses. In my case the goal is to avoid forests deforestation and degradation, so the resource here is forests in Tanzania specifically in Kilosa district.

When it comes to the technology and infrastructure part, the available technology and infrastructure at present will influence actors on the choice of regime to be implemented. For example previous a forest resource was heavily in pressure of use as energy source in form of fuel wood and charcoal, this was due to lacking an efficiently energy source for daily life by the local communities. But now if technology has been improved and it's possible to use cooking gas, improved cooking stove and electricity; hence pressure on the forests may be reduce and results in a new perception of the resource and actor can now choice a different regime for the resource. And with REDD+ it's important the forest to be regenerated so that it returns its functions as carbon sinks and other environmental services it's offers. So was it important for actor to introduce this new regime REDD+ to reduce pressure on use by offering alternative technology and infrastructure as this may change the perceptions of the local community? That's why the forests are not just there for fuel wood rather for other important functions for their survival.

### 3.1.2. Institutions in General

It's sometimes hard to say what exactly are institutions; is the family an institution, a firm, an NGO, government etc. the answer to that also can also vary in the sense that who is given that answer an economist, anthropologist, philosopher etc; as everyone in their field use this word differently for example "while sociologist and anthropologist tend to focus mainly in informal institutions and institutions as giving *meaning* to life, economist, when focusing in institutions, tend to look at these more as *formalized rules*, that is, *property rights*" (Vatn 2005. p,8). So this misunderstanding of concept is with its definition itself as other define institutions as organizations, other see it as rules (Vatn, 2011). It is worth to mention now that in my discussion I will follow North's perceptive of institutions and organizations to avoid dispute of meaning between the two. As said by North (1994) that "*Organizations are made up of groups of individuals bound together by some common purpose to archive certain objectives*" (North 1994, p.361). Here organizations are seen as actors rather than institutions, regulated by the rules-institutions. In here I will use some of definitions found in Vatn's work (2005) "*in institutions and*

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*the environment"* to be able to show my bases for using institutions framework as tool in studying institutional and organizational change for REDD+.

North (1990, p. 3): defined institutions as *"The rules of game in a society or, formally, are the humanly devised constraints that shape human interaction"* (Vatn, 2005). This is an individualistic perspective as institutions are seen as constraints and do not influence the characteristics of individuals, and sees that institutions have no roles in forming individuals as well as preference are stable and individuals goal is: *to maximize they individual utility* (Vatn, 2005). The other perspective is the constructivist perspectives, sees that institutions can influence perceptions, values, preferences and capability.

Berger and Luckmann (1967, p72): defined institutions as *"Institutionalization occurs whenever there is reciprocal typification of habitualized action by type of actors. Put differently, any such typification is an institution"*. According to this definition people are products of the social condition under which they grow up and live and also the *social capability* of individuals and the way they *see* the world are social constructed by learning the typification of the material world and social relation as established by society (Vatn, 2005 p. 11). So with this understanding of institutions, I combine the two definitions, in here institutions are seen as rules that make up a community and defined by hatitualized actions of individuals where there is a reciprocal typification on how individuals influence institutions as well as institutions influence individuals.

Another scholar Scott (1995) did offer, what I consider a more clear definition of institutions in which he introduces three key concepts of *cognitive*, *normative* and *regulative*, whereby the cognitive part concerns on the mental structure, on how we classify objects, giving them meaning and act on the defined domains, the normative part focus on the implicit or value involved and then regulative is when we introduce reward or punishment to obtain a desired outcome. And this is how institution was defined by him: *"Institutions consist of cognitive, normative and regulative structures and activities that provide stability and meaning to social behavior. Institutions are transported by various carriers- culture, structures and routines – and they operate at multiple levels of jurisdictions."* (Scott, 1995, p.33). According to Vatn  this definition of institution can been categorized  into three groups namely; conventions, norms and legal rules and this is very important in the context of REDD+ policy on the choice of convections, norms and legal rules as they have implication on the implementation process as we will see in my case study later. Simply

conventions they simplify by *combining certain situation with a certain act or solution* (Vatn 2005), so their main task is to make coordination in a complex world possible. Then norms tell us how we do those things, they combine certain situation with a required act or solution which support an underlying value. Finally we have legal rule which differs with norm and convections as they combine a certain situation with an act which is forbidden or required and is usually supervised or imposed by a third part normally prescribed by laws (Vatn 2005). For example it's maybe a convection to conserve forests in a village, but how they do become norm and they may introduce rules saying if someone will be found cutting trees near water source s/he will be fined, then this becomes a formalized rule in the village; if someone will go against it, s/he will be punished as prescribed by the formalized rule agreed in the village.

### 3.1.2.1.    Institutions as Governing the Policy Process

Institutions as governing the policy process is associated the concepts of governance. Governance is more than government in the sense that it allows for collectives decisions from different stakeholders in make a policy not just a single unit. Governance has been defined as "combining different principles for collectives decision – making; ballot box, willingness/ability to pay, resource control and interest; which again has implication for efficiency, effectiveness and legitimacy of governance (rights, involvement) also governance reflect power relations in the society" (Vedeld 2010). Also according to Vatn governance is concerned with issues from local to global level; hence it involves formulation of international treaties and national policies defining conditions for the activities of firms, households and individuals. Also it concerns actions 'on the ground' where humans use environmental resources and themselves define local institutions regulating access and use.

And from the framework institutions for policy formulations is more done by political actors. Political actors define the rules concerning access to resource and economical actor's holds access rights to resource. In the local level like the village council, informal institutions governing the political process where rules are formed, concern how new resource regimes to be implemented are important. In this study of REDD+ the focus will be to analyze how various local institutions were involved in the formulations of rules concerns access to resource.

### 3.1.2.2. Institutions and Institutional changes

According to Vatn (2011) institutions are seen as rules that make up a community and defined by hatitualized actions of individuals where there is a reciprocal typification on how individuals influence institutions as well as institutions influences individuals. And we saw earlier that institutions can be categorized into three types, namely institutions as norms, institutions as convections and institutions as legal rules. These three categorizes of institutions and the ability of institutions to influence individuals choices are what is termed as institutional changes.

According to Vatn (2011) institutions are social constructions meaning that (created by humans) and also institutions are forming people, so institutions shape people and their daily action. Also according to Vatn institutional changes do cover both the process of changing in existing institution and also the establishment of new institutions where there was no any institution before.

Vatn (2011) has grouped institutional changes into four groups namely; spontaneous institutional change this is non-intentional changes, the second type is what he referred as designed institutional changes, a change here is intentional change aiming to increase efficiency at minimal transaction cost. The third type is institutional change in responds to interests, values, and/or power, this type of institutional changes has its origin from the concept of property right, and the last type of institutional change, is institutional change as a reaction to crises.

It is important to mention that institutional change is the center theme of this thesis, as the categories of institutional changes from Vatn (2011) will be used in describing type of institutional and organizational changes that has happen in the Kilosa district, during the processes of introducing the REDD+ pilot project.

### 3.1.3. Resource Regime, Property Rights and Compensation/Incentive to Local Communities

### 3.1.3.1. Resource Regime

Regime as concept has been used in many disciplines such as economy, social science, religion, natural sciences etc, with each disciplines having again different definition on the concept. A regime can be excised at local, national, regional and international level, but regardless of that;

typically a regime compromise of actors, institutions, resource and technology (Chasek, Downie et al. 2010).

Regime has been defined as; *set of norms, rules, or decision – making procedures, whether implicit or explicit, that produce some convergence in the actor's expectations in particular issue area*. Another definition that I found proper to use in this study that defines Regime as*; "a system of principles, norms, rules, operating procedures, and institutions that actors create or accept to regulate and coordinate action in a particular issue are, the principles here are the beliefs of fact, causation, and rectitude"* (Chasek, Downie et al. 2010). Norms, rules and institutions are defined as previous.

From the two definition of the regime, regime is the institutional structures which are important in implementing environmental resource regimes as they define who have access to the resource and right as well as responsibility of each actor who will be part of the management or simply implementers.

This is true as according to (Vatn, 2005, p.253) he defines a resource regime as*;"The institutional structures established to regulate resource use"* and this regime can take various forms, including a property right structure like *private property*, *common property*, *state property* and *open access property* these do govern the access right to the resource, and then we have *rules* concerning transaction over the results from the use of the resource (Vatn 2005). From this definition it's clear that to say just rules and norms are not enough, but we need to know who has which right and responsibility as this will finally establish a benefit stream for each actor implementing any resource regime. So it's very important for REDD+ as a new resource regime in Kilosa district to clearly define rights, duties and responsibility of each actor, so that all implementing actors follows the institutional structure and benefit by implementing a resource regime.

### 3.1.3.2. Property Rights and Compensation/Incentive to Local Communities

Property rights define who has access to which resource or benefit streams and under what conditions that right became a right. According to Vatn (2005) a property right; is a specific type of right for resource allocation issues, although right is socially defined, but it *"offers individual or collectives an assurance that other people will behave in a specific way toward them" (Vatn 2005)*. From this view point property rights distribute access to resource between members of

community and regulate conflicting uses. The structures of property rights and duties characterizing the relationships between individuals have been referred to *property regime.*

As suggested by Bromley (1991) property rights can be divided into four different property regimes, characterizing different structures of rights and duties.

1. *State property* - this type of property regime is where the ownership is in the hands of the state and state agencies have the right to determine the use and access of the resource with individual duties to observe
2. *Private property* – in this type of property regime, is where individuals own the land and have the rights to undertake socially acceptable uses and refrain from socially unacceptable uses.
3. *Common property* – this type of property regime is similar to private regime, but the owners are a management group of individuals that has the rights to exclude non-member in the use of a resource.
4. *Non – property/open access* – in this type of property regime there is no defined group of resource users or benefit stream is available to anyone.

From above mentioned property regime, each type has quite different characteristics and rights, so to implement resource regime in each of category it will require different strategies on cost, legitimacy and motivation. According to Vatn (2005) initial distribution of access to resource influence the possibility for various individuals to sustain their life, also as I mentioned earlier that to have a property right is to have a claim to benefit stream. Implementing a resource regime requires a clear define property rights as rules may chance with new resource regime implementation, making it hard for an individual to sustain its life's as it was previously, hence a need of introducing a compensation/incentives mechanism. Compensation/incentives have been seen as a way to make local community to compensating for their forgo access to local resource typically forests, so is to say to cover the opportunity cost local communities forgo to conserve a particular resource. In this study I will look at what kinds of property rights there are, payment mechanisms and how compensation is done between villages implementing REDD+ pilot project in Kilosa by TFCG/MJUMITA.

Property right is so important for REDD+ as it may lead to land scarcity by conserving it while it was previous open to everybody, especially as we know most of Tanzanian land is under open access type and there is no clear defined user group hence no clear benefit streams (Iddi 1998). For REDD+ in Tanzania and Kilosa it's very important that property rights are clearly defined to establish user groups so that they will have a claim for benefit by implementing REDD+.

### 3.1.4. Actors

According to the Vatn (2011) on institution analysis there are two types of actors involved: the political and the economical actors. Political actors are those who define the rules concerning access to resource and benefit streams and economical actors are those holding access rights to the resource. In this study political actors defining rules for access to forest are TFCG and MJUMITA, Kilosa district council, all the villages' council. Economical actors can also be individual households, farmers, timber traders, charcoal makers etc. All these are key political and economical actors in the implementation of REDD+ in Kilosa, and they all play counter roles as both political and economical actors. As well they all have political and economical interest to the resource forest for their livelihood strategies. Rules formed for implementing REDD+ will much depend on power dynamics within these actors.

### 3.1.5. Pattern of Interaction between Actors

According to Vatn (2011), there are four categories of interaction between actors including: the *exchange* between the parties involved, this is seen more in the market setting where goods and services are traded between seller and buyer. *Command* is the second type of interaction between actors, and in this type of interaction there is hierarchical power relation and is normally excised by state which guarantees legally defined property rights, but sometimes firms also do use type of interaction. *Community based interaction rules* is another type of interaction which is associated by norms of communities and on how we are allowed to lives with each other, and finally we have *no rules* in which there is no rules and everyone is free to use a resource without considering what will be the impacts from the use of the resource to others and this is often seen in open access resource and *indivisibility* resource which the physical characteristics limit coordination between users like fish stocks in high seas (Vatn 2010). But in real settings the combination of the four types of interactions with combination of different property right under supervision of third authority is common practiced. And for REDD+ in Tanzania especially Kilosa the pattern of

interaction between actors is important as this is what will ensure that they will get the desired set of goal or outcome of reducing deforestation rate and degradation.

### 3.1.6. Outcome

The outcome of regime depends much on the choices actors decide to take and their interaction will help in achieving it. In respect to REDD+ the outcome is reduced deforestation rate as well as improving local people livelihood and finally having sustainable forests management. This study will not look on this now rather the focus will be to evaluate what has happen for REDD+ during its implementation process. Is there any change in institutions and organizations in nationally and locally, despite the fact that Tanzania has been experiencing policies and institutional structure change in its natural resource sector for new interventions such as PFM.

### 3.2. Description of the Structure–Process Framework for Analyzing Institutional and Organizational change.

This model developed by Vedeld (2002) has some ideas from Ostrom's design of principle for long enduring common pool resource and structure life mode approach for local institutions to work well over time in management of natural resources (Vedeld 2002). In many ways this model for institutions analysis and local participation, has some similarities with our previous framework of analysis adopted from Vatn; some of the similarities are physical characteristics of a resource in hand and all have almost showed that, the physical attributes/structure can offer opportunity and limitation for the resource to be utilized, also available technology can have a great impact on the resource use. Another similarity of the two frameworks is actors, in both of them actor are the ones which can make choice on various regimes to be implemented toward the resource in hand. Those similarities are important to mention as the aim is to modify the environmental governance system framework to fit the structural process framework, so it will be easier to see the change happen when introducing the REDD+ pilot project as a new regime in the Kilosa district of Morogoro region in Tanzania, and how local communities did participate in various processes, as the structure framework to explicit emphasis changes from structure A to structure B after certain time period, due to various processes taken to execute new regime in a area, how local communities are involved in various process as well as influence from external influence. And in this study there are some changes happened in existing institutions and organizations due to presence of various processes in the Kilosa district before the introduction and implementation of REDD+ pilot project.

| **Governance structure-A** | | **Governance structure- B** |
|---|---|---|
| • **Political actors $(t_1)^1$** | | • **Political actors $(t_2)^2$** |
| • **Economical actors $(t_1)$** | | • **Economical actors $(t_2)$** |
| • **Institutions governing the policy process: constitutions and collectives choices rules $(t_1)$** | | • **Institutions governing the policy process: constitutions and collectives choices rules $(t_2)$** |
| • **Resource regimes: institutions governing access to resource and interaction between economic actors $(t_1)$** | | • **Resource regimes: institutions governing access to resource and interaction between economic actors $(t_2)$** |

**EXTERNAL INFLUENCE**

**REDD+**

**Input situation**                                                                                              **Output**

CASE                          *Process*                          OUTCOME

Figure 2.Modified framework for studying environmental governance systems. Source: Based on Vedeld (2002)

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[1] $t_1$ is situation before REDD+ has come to Kilosa district

[2] $t_2$ is situation after the introduction of REDD+ in Kilosa district

### 3.3 Local Participation and Legitimacy

Local participation has been defined as devolution of authority and power, resource, distribution of right and duties from state to local level of governance and from public to civil society (Vedeld 2010), and that devolution involves transferring policy formulation and policy implementation, power from central to local levels. And local participation in here has been put in two perspectives one of it is seen local participation as *means* to increase efficiency; in this perspective it's claimed that if local people are involved in projects they are more likely to agree and support the project at hands than if they will not be involved, and according to Vedeld (2002) in this case participation is an *instrumental and goal-oriented process*, where key actors implement a particular resource regime and bring local change. The second perspective is the one in which local participation is seen as a *right*, in this one the main aim is *to "initiate mobilization for local and collective action, empowerment and institution building"* (Vedeld 2002, p.17). In this second case is where we see inclusive, broad unending, reflective and open dialogue between authorities and the civil society, so local people tries to investigate through their local institutions what is good or bad, right or wrong and true or false of a project to be implemented. From these two perspectives of local participation one can depend on which side you are, because local participation can be seen as in itself a goal and also can been seen as means to reach other goals. And for the case of REDD+ it's important as; was the goal to include local people or to reduce forest deforestation rate? This depends on which sides the implementers were viewing local participation as *means* or *right* during the implementation phase.

Also it's worth mentioning the types of participation which can be seen taking place in the real world, and I will mention or adopt those from Vedeld (2002), in which seven different types of participation were put forward each with its unique characteristics. The table below shows them:

**Table 2.   Types of local participation**

| TYPE | Characteristics of each type of participation |
|---|---|
| **1. Passive participation** | People participate by being told what is going to happen /has happened. A unilateral announcement by an administration/ project management without listening to people's responses. Information shared belongs to external professionals |
| **2. Participation in giving information** | People participate by answering questions posed by external researchers using questionnaires or similar approaches. People do not have opportunity to influence proceedings. Findings not shared/checked for accuracy. |
| **3. Participation in consultation** | People participate by being consulted/external agents listen to views. Agents define problems and solutions, and may modify these in light of people's responses. Such consultative process does not concede any share in decision-making and professionals are under no obligation to take on board people's views. |
| **4. Participation for material incentives** | People participate by providing resources, for example labour, in return for food, cash or other material incentives. Much on-farm research falls in this category, as farmers provide the fields but are not involved in experimentation or the process of learning. It is common to see this called participation. People have no/little stake in prolonging activities when the incentives end. |
| **5. Functional participation** | People participate by forming groups to meet predetermined objectives relative to the project , which can involve the development or promotion of externally initiated social organization. Involvement does not tend to be at early stages, but after major decisions have been made. These institutions tend to be dependent on external initiators and facilitators, but may become independent. |
| **6. Interactive participation** | People participate in joint analysis, which leads to action plans and formation of new local institutions or the strengthening of old ones. It tends to involve interdisciplinary methodologies that seek multiple perspectives, and make use of systematic and structures learning processes. These groups take control over local decisions and so people have a stake in maintaining structures or practices. |
| **7. Self-mobilization** | People participate by taking initiatives independent of external institutions to change systems. They develop contacts with external institutions for resources and technical advice they need, but retain control over how resources are used. Such self- initiated mobilization and collective action may or may not change inequitable distributions of wealth and power. |

Source: Pretty (1995) taken from Vedeld (2002)

In comparison, Inoue (1998) did categorize three levels of participation in relationship between local people and external agents in decision making process as follows:

1. Participatory top–down approach: this is the blueprint approach where residents are considered to be wage laborers, volunteers, fund provider, etc.
2. Professional – guided participatory approach: this is relatively flexible blueprint approach where drafts of plans are made by professionals are examined by the residents and citizens and are modified through discussions, workshop etc.
3. Endogenous bottom – up approach: this is the learning process approach where professionals act as facilitators.

In this study the three categories of participation mentioned above, are the ones which will be used on analyzing how local people did participate in the various processes of introducing and implementing the REDD+ pilot project in Kilosa. According to Inoue, the seven types of participation adopted from Vedeld can be simplified as follows: the participatory top-down approach contains manipulative participation, passive participation, participation by consultation and participation for material incentives; the professional – guided participatory approach is equivalent to functional participation and the endogenous bottom-up approach contains interactive and self-mobilization participation (Inoue and Nanang 1998).

So it's important to know characteristics of the seven types of participations before one can be able to categorize into the three levels, and this is why I mention the seven types first as it will help in my analysis of institutional and organizational changes to make clear comments, in which type of participation was used during the process of introducing and implementing REDD+ pilot project in Kilosa district.

Legitimacy which is largely associated with participation has been defined as; the acceptance and justification of shared rule by community (Bernstein 2005). This definition has been said to have a combined empirical measure of legitimacy that's acceptance of a rule or institutions as authoritative and a normative argument concerning whether the authority possesses legitimacy. This is important in environmental regimes as the legitimacy aspect is what can result in a positive outcome of regime, and for REDD+ pilot project in Kilosa it is extremely important as who defines rules, which institutions and organizations supervise these rules must be legitimate to community perspectives. As if communities don't think they are legitimate, and then rules set will not be followed hence failure of a resource regime.

Also legitimacy has been defined by Bäckstrand as; to the overall quality of the social order – the institutions, norms and rules rather than actors. In this definition legitimacy has a procedural logic which says that rules are predictable and determined by legitimate actors, and consequential logic that rules and institutions lead to a collective problem solving (Bäckstrand 2006). This second definition is more relevant to this study as it gives a wide perspective on how a resource regime can be formed and implemented legitimately in a particular area by various legitimate actors. According to Bäckstrand legitimacy can be categorized into Input legitimacy and output legitimacy.

Input legitimacy focus more on the procedural demands such as balanced representation of different stakeholder, transparency, access, information sharing and accountability and reporting mechanism (Bäckstrand 2006). In this study I will focus on the representation of different stakeholders and information sharing and accountability aspects as these are crucial key factors for introduction and implementation of a particular resource regime by legitimate actors. Representations concern to what extent particular resources in here REDD+ did include various stakeholder interests during the introduction and implementation process.

To be able to assess the representativeness of stakeholder participation in a REDD+ resource regime, I will look on the extent of appropriately wide range of stakeholder in Kilosa district who participated in the introduction and implementation of REDD+ pilot project in Kilosa by TFCG and MJUMITA. As the assumption of representation of a wide range of stakeholder in implementation of resource regime is; as more affected groups participate in the process of introducing a new resource regime it will generate more effective collective problem solving. And this aspect is very important for the REDD+ pilot project, as if more local people did participate in the introduction and implementation phase, it will result in effective solution of reducing deforestation and forest degradation, and if they didn't participate then there will be no positive results.

Another aspect in the input-legitimacy is the accountability and information sharing between actors. Accountability refers to the relationships between actors (principle agent, citizen-decision makers etc), and in this study accountability will be viewed as on how principle agent can justify their action to the legitimate stakeholders who are affected by their decision. In other words, those who define policy in here political actors should justify to affect stakeholder that their decision will

result in improved conditions. And this is crucial for REDD+, as all the promises given, if they will not be delivered and no one will be accountable for it, affected stakeholder will lose trust for future projects.

Also information sharing is a crucial aspect this is the one which results in the informed community as it will give details of the projects, what benefit stakeholder will get and all to be able to voluntary accept to implement a project. In this research I was interested to look/analyze how information was given. Who was the source of information? Was all questions answered. Did local participants think information given was enough? Were there chances to find independent source of information? And all these questions are important to REDD+ in Kilosa as it is important for stakeholder to be given as much information as possible before they can decide freely and accept the implementation the project, as there should be free prior and informed consent (FPIC) before any REDD+ pilot project to be implemented in a particular area (URT 2009).

Concerning the Output legitimacy which focuses on the effectiveness between actors' interaction, effectiveness related to problem solving capacity, this is the scope beyond this study as those are more of outcome of the resource regime and this study will not look on that aspect. My focus is just to analyze institutional and organizational changes happened in Kilosa district for REDD+ pilot project to be implemented.

# 4. Methods and the Description of the Study Area

*In this chapter the methodology will be presented as well as the study area. The first part I will present the research design for this research followed by methods of data collection and how data were analyzed will be presented. Next validity and reliability, limitations and challenges and then ethical consideration will be presented. I will round up the chapter by presenting the study area of this research.*

## 4.1. Research Design

According to Bryman (2008) a research design is "*the framework for the collection and analysis of data*" (Bryman, 2008, p.31). This means a research design helps a researcher to answer his/her research questions by collecting various required empirical data and then analyze and draw conclusion. In other words it helps a researcher to follow a certain structure while looking or investigating a certain problem/scenario/narratives/phenomena (Bryman 2008).

Other scholar like Yin (2003) sees research design in two levels; first level research design is seen as the logic of the research, its framework, it gives us what we know about the nature of research enquiry is the research explanatory, descriptive or explanatory and then we can be in a position to make a decision to use cross-sectional design, a longitudinal design, an experimental design or a case study design or even a combination of these (Yin 2003). The second level research design is about the "mechanics" of the research; this means what type of data will be used (primary or secondary, qualitative or quantitative or combination), what methods will be used for data collection, sampling strategies etc. He sum up by saying research design is all about designing the overall structure of research so that it can deliver the evidence needed to answer the research problem and how one can collect that evidence (Yin 2003, p.54)

For the purpose of this study I choose to adopt a case design research design, as the REDD+ pilot project implemented by TFCG and MJUMITA in Kilosa Tanzania is a case set, so that Tanzania as a country will get a deeper understanding of institutional and organizational change necessary to take place so that implementation of future REDD+ projects in large scale will be easier and quicker. According to Bryman a "*basic case study entails the detailed and intensive analysis of a single case*" (Bryman 2008, p.52), and he also says that case has been associated with location, such as community or organization, but it can also be about individuals as well as historical events (Bryman 2008).

Yin (2003) has categorized case study on the basis of analysis into holistic and embedded types. The holistic case study means an entire unit(s) is studied for example a community or an organization, and the embedded case study means or it focus on more than one unit and it splits into multiple units of analysis (Yin 2003). And for this case study according to the mentioned categories both characters can be seen in the REDD+ pilot project in Kilosa; first it is the analysis of one district experience with introducing REDD+, but secondly it is the analysis of institutional and organizational change at local level here village level;

Also Yin suggests that case studies can be used in many different ways, with that he suggests some more types of case study such as *extreme/typical* case study and *critical case*. These cases are been used in testing hypothesis (Yin 2003), due to this my case study is not under this category as I am not testing any hypothesis. The third case he suggests is the *representative* case and other like Bryman (2008) referring it as *exemplifying case* which "either they epitomize a broader category of case or they will provide a suitable context for certain research questions to be answered" (Bryman 2008, p.56). In other words this type of case study, a case is used as an example to be studied if it will be used in larger scale, and for the REDD+ in Kilosa as my case fall under this as it's first a pilot project which will provide enough experience on what is required to be done before implementation and what institutions should be in place.

From the above discussion this study adopted a case study resign research design, which is both holistic and embedded and its exemplified case with some elements of revelatory and cross-sectional as all the required data were collected at one point in time.

## 4.2. Methods of Data Collections.

In this study I used three different methods of data collection namely household questionnaire, interview of Local Resource Person(s) and Focus Group Discussions. All were designed based on the concept of Participatory Rural Appraisal (PRA). PRA which was developed by Chambers in 1980s and in 1990s, it was wide used in gathering information from the local communities, this was so because PRA was described as "a growing family of approaches and methods to enable local people to express, enhance, share and analyze their knowledge of life and condition, to plan and to act" (Chambers 1994, p.1253). PRA has been frequently used in natural resource management, in area such as water management, forestry management, wildlife management etc (Chambers 1994). So it was important for our methods to have been prepared with this basis as our

case study REDD+ its focus is natural resource mainly the forest, and we are looking on how people analyze possible institutional and organizational changes happened in their area for REDD+ to be implemented and how did they plan and act introduced new regime in their village.

### 4.2.1. Structured and Semi-structure Interviews for Local Resource Person(s)

This was one of the methods used in this study, but I should emphasize that our interview was more structured than semi – structured, because the flexibility was so limited and we had a limit of questions as well, with only some elaborations of questions if the interviewee didn't understand the meaning of it. And according to Bryman this is true as he differentiate between the two types by set of questions and flexibility "while a structured interview has formalized limited set of questions, a semi-structure interview is more flexible, allowing an interviewer to bring a new questions as a result of what the interviewee answer" (Bryman 2008). In district level we had interview with the TFCG/MJUMITA field coordinator, and in every village selected we had interview with key informant, more specifically; village chairperson, chairperson of Village Natural Resource committee, this did give us factual and overview of situation in the village and makes us aware of the local context.

### 4.2.2. Survey Questionnaire for Ordinary Villagers

Questionnaire was used as another method for data collection in this research, as it's acknowledged that by using questionnaire one can reach out a larger number of respondents in more time efficient and give quantifiable answers from which a broader picture of local situation can be seen. Individual questionnaire was administered having both closed and open ended questions included, how the decision was made to implement REDD+, if there was any conflicts resulted on the decision to implement REDD+, how conflicts are solved, any changes they see since establishment of project etc. The approach used here in administering this tool was interviewing approach.

### 4.2.3. Focus Group Discussion for Villagers

Focus group discussion was another method used in this study, this was because by using this method it was possible to grasp detailed information as people was in position to challenge each other's view point and help to clarify information gathered from questionnaire where it's only single respondent view. As stated by Bryman, focus group method is helpful to generate data through interaction between informants and to see how people respond to each other's views rather

than just the responses themselves (Bryman 2008). We had one FGD in each selected village which includes males and females, though fewer females did attend this. Information gathered from this includes people's perception on payment, land use plan, village bylaws and power dynamics in the village and their interaction with implementing NGOs. The FGD was guided by checklist developed based on PRA approach.

### 4.3. Sampling Procedure and Sample size

This study employed two types of sampling techniques, purposive and simple random sampling. The purposive sampling technique was used in selection of study area Kilosa district in Morogoro region was purposively selected as it is involved in implementation of REDD+ project, also the five villages selected (Dodoma Isanga, Ilonga, Chabima, Ibingu and Kisongwe) were purposively selected due to their location in the three categories of land in Kilosa namely the highlands, plateau and floodplains.

Then we obtain a list of people who attended various meetings during introducing REDD+ in their village from the village chairperson from where we randomly picked 15 respondents, and we asked the village person to randomly pick for us 10 people who never attended those meetings. And this was done in all five selected village, whereby we had 25 respondents from each village and in total our sample size was 125 respondents. This was done because of time limitation and logistical challenge to go around scattered households in Tanzania village settings where sometimes one household to the next can take up to 2hrs walking crossing hills and rivers.

### 4.4. Data Analysis

Statistical Package for Social Sciences (SPSS) has been used to analyze quantitative data; were frequencies tables and cross-tables have been produced to understand people's perception in various aspects of REDD+ in their village.

### 4.5. Validity and Reliability

These two concepts are the key concepts used in assessing the quality of the research. And in this study they were taken in consideration. I will define the two based on Yin's work and show also which ones are relevant to this case study. Validity refers to how well a research design measures what it claims to measure, in other words, how well it gives us clear and unequivocal evidence with which to answer the research problem (Yin 2003). Validity is divided into internal and external validity.

Internal validity refers to ability of research to deliver credible evidence to address the research problem, and more focusing in establishing a casual relationship, this is in other words certain conditions can be proved to lead to other condition, e.g. as high education level someone has then as high as his/her income get! (Casual relationship), so internal validity is mainly used in causal and explanatory studies in nature, not in descriptive and exploratory (Yin 2003). And for this study of REDD+ which is descriptive and more exploratory in which we are not trying to bring or study casual relationship.

On the other hand external validity concerns with if it's possible to make generalization from research conducted among the sample or in the specific setting to the wider population or setting. In other words if whether or not the findings from the case study can be generalized and can be applied to other cases studies, or sometimes can be used as a lesson learned or added knowledge in a large context or body of literature(Yin 2003). And for this case study of REDD+ this is the major motives to come up with what were necessary institutional and organizational changes happened for REDD+ to be implemented in Kilosa, as this will be useful information to Tanzania as a country and other countries which are in the process of implementing REDD+ as one of their mitigation strategies to climate change. More important this information will be useful to other implementing NGOs, but more so to TFCG and MJUMITA to issues that they might overlook during introducing the project or some positive findings from the case that they can use.

Finally reliability focus on whether right measure and methods have been used to measure concept been studied and whether the operation of study, particularly on data collection, are replicable and will produce same results if used by other researcher by following the same procedures (Yin 2003). In this study I have tried as much as possible to be clear and consistent in defining concepts, triangulating the data so as to increase levels of validity as well as reliability.

### 4.6. Limitations and Challenges

I encountered few limitations and challenges during conducting this research. Time was the main limitation in this research, this started first during making research instruments, in which it was hard to really know the direction as it was a new field for me, also because this study is part of a project called POVSUS-REDD which have its time frame and goals to archive. And due to this time shortage we did test research instruments, especially the questionnaire before starting the actual data collection, and we had to correct what we found was not relevant in the field, though it

was merely loops issues and numbering. But it was possible to collect all data required from help of two enumerators.

Challenges experienced in this research was also few, the major one must have been people's willingness to freely participate to be interviewed, it was hard to gather local people to interviewed if you can't offer them something in return, mostly money as compensation of their time, this was so prominently seen in Ilonga village as well as Dodoma Isanga, maybe because close to Kilosa town or other researchers had given them money as incentives. So in every village we had to give around 1000tsh and 2000tsh for the people to participate in our interview, also in all villages there is a fixed amount of money a researcher should pay to the village government and they refer this as scientific research fee which they claim to use for village development projects, its range from 15000ths in Kisongwe to 20000ths to other four village respectively. Another challenge we faced was more of logistical one, where by first we had to distribute introduction letter by the use of motor cycle before we went in for the data collection, but the worse was to go to Kisongwe in which there is no clear road and it is very hilly and some parts are slippery for a car to manage.

### 4.7.    Ethical Considerations

This focus on how a researcher thinks or he/she is supposed to consider during conducting any research especially social studies which deals with people. Regarding this I did follow ethical considerations put forward by Bryman, in which there are two principles namely principle of informed consent and the principle of confidentiality (Bryman 2008).

The principle of informed consent, it focuses on the right of respondent to know why he/she is interviewed, what the information will be used for and s/he must freely consent in participating in the study as Bryman says; "*prospective research participants should be given as much information as might be needed to make informed decision about whether or not they wish to participate in the study*" (Bryman 2008, p. 121). And in this study that is exactly we did, we gave as much information as possible about why we were there, what we are looking concerning REDD+ and that they were free to choose in participating and this was the case with the introduction letters we sent in each village that contained these kinds of information.

The confidentiality principle focuses more on the identity of respondent been interviewed that it will not be revealed, as defined by Bryman as, confidentiality is a process whereby "*the identities*

*and records of individuals are not identified and identifiable* (Bryman 2008, p.118). In this study this was followed as we just gave respondent numbers and we never asked their names and they are just referred to us as number. So there is so high confidentiality in this study as it not possible to trace the identity of any respondents.

## 4.8. The Study Area

This study was conducted in Kilosa district which is among the six districts which form Morogoro region in the central east part of Tanzania in East Africa. Kilosa is located almost 300km from the commercial city of Dar-es-salaam and 120km from the Morogoro town. Kilosa District has an area of 14918km$^2$ and it covers about 20% of the total land of Morogoro Region (KDC 2010).

Kilosa climate is characterized by dry tropical climate of semi-arid type, with annual temperature of 25$^0$C, with annual rainfall range from 800mm in low laying area to about 1300mm in high altitude area. The vegetation of Kilosa varies from Miombo woodlands in hilly area up to grassland in low laying area characterized by alluvial plains (Forrester-kibuga 2010).

Kilosa district has been divided into three physiogeographic units according to their altitudes. The first on is the *Highlands* with altitude of up to 2200m which is part of Eastern Arc Mountains range (Ukaguru, Rubeho and Vidunda mountains range are representative of the Eastern Arc Mountains in Kilosa district) , where cultivation of temperate crops e.g. wheat is claimed possible. Another type is the *Plateau* with altitudes of 1100m above sea level; this one is characterized by plains and dissected hills with moderate fertility with well drained sandy soils. The last type of zone is the *Flood plains* which lyses around 550m above sea level and compromise both flat and undulating plains extending to the foothills in the west of the district, the plains are subjected to seasonal floods from Mkondoa River and mainly occupied by Maasai pastoralists (KDC 2010).

According to national census conducted in 2002, it was estimated that there were 489,513 people living in Kilosa district and they were distributed in over 105,635 households with an average household size of 4.6. Respectively the district has about 536590 hectares of arable land, but only about 97,500 hectares are currently under crop production. The main crops grown in the district are maize, beans, cowpeas, cassava, banana, sweet potatoes, sesame and fingure millet. Other crops are sisal and sugar cane, with an average farmed land per household of around 0.31 hectares (KDC 2010).

For the purpose of this research five villages were selected out of 14 villages implementing the REDD+ pilot project under TFCG and MJUMITA in Kilosa district. The choice of the five villages was based on their location from town as well as according to the three categories of land in the district. The selected villages were: Ilonga, Dodoma Isanga, Chabima, Ibingu and Kisongwe.

Ilonga and Dodoma Isanga are close to town and they are found in the floodplain as well as they stretch up to foothills of mountains and it's about 15 and 25 minutes drive by car from Kilosa town respectively. Chabima and Ibingu are located in plateau and it takes about 1hour and 1,5hours car drive respectively from Kilosa town, and Kisongwe is located in the Highland and it takes up to 2hrs car drive with a very challenging hilly road.

## 5. Process Initiated by TFCG/MJUMITA when Introducing and Implementing the REDD+ pilot project.

*In this chapter I will present all the identified processes which were initiated by TFCG/MJUMITA during introducing and implementing the REDD+ pilot project in Kilosa. It important to note that there are some information presented in this section which are from respondents opinion which is presented at 6.1, this was done to claries issues, but all the information has a footnote. The processes initiated were meetings and consultations at different levels, establishment of income generating activities groups and establishment of payment systems.*

### 5.1. Introducing REDD+. The Processes Involved, Institutions and Organizations

This section of the thesis presents all the process TFCG/MJUMITA used to introduce the REDD+ pilot project. The information presented in this section was taken from TFCG/MJUMITA website, the other sources of information were the interviews held with TFCG/MJUMITA field coordinator and representatives of all members of VNRCs from the five selected villages.

The process of introducing the REDD+ in the Kilosa district started in 2009 when TFCG/MJUMITA won their jointly project proposal titled "*Making REDD work for people and forests in Tanzania*", after presenting it to the Norwegian Embassy. This project is implemented in two districts – that of Kilosa and Lindi as mentioned earlier. The main goal is conserving forest and improved local community livelihoods by offering alternative means of livelihood strategies like establishment of various income activities namely; beekeeping, demonstrations farms, loans and savings, improved cooking stoves etc.

It's important to emphasize that although TFCG/MJUMITA was responsible, the introduction of REDD+ at local level was impossible without involvement of other actors. After TFCG/MJUMITA recognized this, they chose the Kilosa district authority as their key partner in introducing and implementing the REDD+ pilot project at village level. It is also important to mention that the involvement of Kilosa district was unavoidable, as according to Tanzanian laws it is the district who owns all forest resources of its judiciary areas. Accordingly, the Tanzania governments do recognize various partnerships which LGAs enter with various actors' including

NGOs (URT 2002). The questions to ask here is whether or not the Kilosa district council as key implementing partner had any chances of changing the content of the REDD+ project, which was already agreed on the contract between TFCG/MJUMITA and the Norwegian embassy. This will be looked at later in Chapter 7 where discussion of results will be presented.

The processes of introducing and implementing the REDD+ in the Kilosa district for practical reasons will be divided in four parts. First I will give an overview of the meetings at district level, village council level, sub-village level and village general assembly level, and point out what the results were, either a change in institutions and/or organizations. Second, the establishment of VLFRs will be presented; this includes the land use planning, selection of VNRCs and formulation of by-laws. Third, then an overview of establishment of Income Generating Activities groups will be presented, and finally the overview of the payment process will be presented.

### 5.1.1. Meeting(s) and Consultation(s) at the District Level

Meetings and consultations at district level were mainly between the implementing NGOs in this case TFCG and MJUMITA with the Kilosa district staff comprising the District Executive Director (DED), the forest department including District Forest Officer (DFO), District Natural Resource Officer (DNRO) and they planning department including the District Planning Officer (DPO). TFCG/MJUMITA introduced themselves to the district council, and explained the motivations behind the meeting. They explained that they purposely chose the Kilosa district authorities to be a key partner in introducing REDD+ as a pilot project in its jurisdiction area. TFCG/MJUMITA also explained to the district staff what REDD+ means and how they like it to be implemented. It is important to emphasize again that the REDD+ pilot in Kilosa was a TFCG/MJUMITA responsibility implying that they had formulated the plans for how it should be implemented. The Kilosa district authorities were just informed about it and a plan for how it should be introduced and implemented in the selected villages.

TFCG/MJUMITA and the Kilosa district staff met several times before agreeing to establish a REDD+ facilitation team which comprised the DFO, the DPO and TFCG/MJUMITA staff. The REDD+ facilitation team was the one responsible for visiting all the selected villages, to be intended to participate in the REDD+ pilot project. In these meetings and consultations

TFCG/MJUNITA agreed to support the Kilosa district council financially through its forest department to cover their cost, related to participation in the process of introducing and implementing REDD+ in all selected villages.

### 5.1.2. Meeting(s) and Consultation(s) with Villages Council's

The REDD+ facilitation team visited all villages selected by TFCG/MJUMITA intended to be part of the REDD+ pilot project. The team introduced to the village council why they were there, as it has already been mentioned earlier, that village council is the executive body of the village government. The DFO introduced the representatives of the NGOs to the village council as formality and explicitly informing the village council that the district has already accepted the REDD+ pilot project, and chosen that particular village as among the implementers on the ground level. The consultation was done by telling the village council what it's meant by REDD+, how their village can implement it, what is required from the village before they can implement REDD+ and finally what benefits their village will get by implementing REDD+. And if the village council accepts to take part in implementing the REDD+ pilot project, which in the studied villages they did, and as it has been mentioned earlier, that the village council can enter into contract with any partner concerning development project and then inform villagers through the village general assembly. And in the case of REDD+ project which requires accomplishment of FPIC exercise to be done, the decision to accept the REDD+ pilot project wasn't reached here, but later when villagers were informed through meetings and consultations at sub-village and village general assembly levels. TFCG/MJUMITA staff then proposed to have meetings with each sub-village forming a village: This was due to TFCG experiences of having few attendances of people in village general assembly in their previous PFM work in other part of Tanzania, as been emphasized previous TFCG for two decades has be implementing PFM through Community Based Forest Management (CBFM) mechanism in various parts of Tanzania. The assumption was by starting at sub-village level they will increase the number of attendances and this will result in the project to be fully supported by majority of local communities.

### 5.1.3. Meeting(s) and Consultation(s) at Sub-village Level

These meetings at sub-villages were mostly held during afternoon after most villagers had finished their daily activities. This was only done to ensure as many people as possible will participate in the introduction phase of the project. The meeting started by the village

chairperson introducing the *REDD+ facilitation team* from the district level and why they were there to the villagers. Again in these meetings the meaning of REDD+ was explained, what a village required to do before implementing REDD+, how REDD+ will be implemented and also the benefit they will get by implementing REDD+ pilot project. After the NGOs staff introduced the REDD+ pilot project and how it will work in the village level, villagers were allowed to ask questions, propose how the project should be implemented in their village.  In these meetings TFCG staff explained the formation of Village Natural Resource Committee (VNRC) which was to be set up as the responsible implementing body for the REDD+ pilot project at village level. They also informed the local communities that they are free to accept or reject the project. If local communities in a particular sub-village agreed to implement the REDD+ pilot project, which all did agree then, VNRC member representing that sub-village were elected and wait to be approved by the village general assembly.

### 5.1.4.  Meeting(s) and Consultation(s) at Village General Assembly Level

Meetings and consultations in the village level were done through the village general assembly, as it has been emphasized before; this is the approval body of all issues in the village. In the village general assembly the goal of meetings and consultations was to give more awareness about the REDD+ pilot project as emphasized above, what REDD+ means, how REDD+ will be implemented and also what should a village do to qualify to be among the implementing villages. The villagers were again given a chance to ask as many questions as they wanted, also villagers were told that they were free to accept or reject the project. Then the village chairperson asked all villagers if they now understood what is REDD+ pilot project and if they accepted the project to be implemented in their village, the villagers responded mainly by popular majority voice rising.  This was then followed by village assembly approving members of VNRC whom were elected in every sub-village meetings held earlier.

It's important to mention that at the village general assembly is where did also villagers agreed in the formation of *REDD+ revenue sharing committee*, formation of *income generating activities groups* and also agreeing on what  development project and amount of individual dividend to be set aside for it.

## 5.2. Establishment of the VLFRs and Land Use Planning

As emphasized earlier, TFCG/MJUMITA chose to use the PFM guidelines to introducing the REDD+ project at local level. This was motivated by the assumption that the local people will understand issues best by emphasizing importance of forest conservation and its potential benefits. The establishment of the VLFRs in all villages' selected by TFCG/MJUMITA, started by first exercising a Participatory Forest Resource Assessment (PFRA). The aim of the PFRA exercise was to survey village land and demarcate it into various user zones including; size of forest to be set for forest, agricultural area, fire wood collection area, funeral area, resident area and future area (land use planning). The PFRA exercise was done by the village councils, newly elected VNRC members from the villages general assemblies, TFCG/MJUMITA staff and all other ordinary villagers who wanted to participate. After this exercise was done in all villages accepted to implement the REDD+ project, then TFCG/MJUMITA, the VNRCs and villages councils prepared a draft proposal of the new village boundary, including the size of the forest to be included in the REDD+ project, area for agriculture etc. and also a draft of the REDD+ by-laws was prepared in this stage. It is important to mention that the PFRA exercise which is what can be referred to as land use planning was not archived so easily. As findings from both the surveyed questionnaire and FGDs showed some disagreements/conflicts especially on how much the size of village land should be established as VLFRs, and also the reallocation of mountainous dwellers did resulted into some sort of disagreement/conflicts. All conflicts seem, however to be resolved in all the studied villages. By this I mean that people had accepted the solution, but still they are unhappy with it .This will be looked in details at Chapter 7 when presenting the evaluation of processes involved in introducing the REDD+ project by local people.

Both the proposed new villages' boundaries and proposed REDD+ bylaws was taken to the villages' general assembly's for approval. If the village assemblies approved the proposed drafts with/without amendments, then the by-laws, the new village boundaries and forest reserve were taken to the district council for final approval, although this is how things should be. But it was surprising that after the village assembly's approval of the drafts, both of the new village's boundaries and the REDD+ by-laws, then the REDD+ project was officially launched in the villages before the approval of the district council, as how the PFM guidelines requires (see Table 1). From here what was then followed was TFCG/MJUMITA to conduct as many

workshops as they could to the all newly elected VNRCs with emphasis on the importance of REDD+, what are they expected to do in connection with REDD+ pilot project in their villages.

According to Wilfred Pima (Pima personal communication 2013), the launch of the REDD+ pilot this way was the only way, as the preparation of the new village boundaries and by-laws is a technical thing and time consuming. He also comments that the preparation of the management plans requires technical expertise and to be written first in English so that it can be approved by the district authorities, as in Tanzania English is the official language in writing all kinds of government documents (villagers don't have these expertise/competence). So the management plans and the REDD+ by-laws had at first time to be written in English, and later on TFCG/MJUMITA did translate them to Swahili so that the VNRCs and the villages' councils could use them on daily basis. According to the above explanation, it was clear that TFCG/MJUMITA had started the REDD+ project as soon as villagers agreed with the preliminary proposed drafts, and other formal procedures did follow later including; translating the management plan and the approved REDD+ by-laws into Swahili so that both VNRCs, villages' council's and ordinary villagers could read it. There were also exercise of putting sign boards in all areas telling the name of the village and that area was set aside for certain activities as agreed in the village's general assembly. TFCG/MJUMITA supported the villages to obtaining villages land certificates. This exercise is still in the process and according to Wilfred Pima they had not yet obtained all certificates, for all villages implementing the REDD+ project so far. A limiting factor for this exercise to be completed on time is the bureaucracy of Tanzania system and the system of issuing the land certificates.

It is very crucial to note that h the launch of the REDD+ pilot project seems not to follow exactly what the PFM guidelines requires. It was evidenced that, the establishment of the VLFRs, election of VNRCs and approval of the REDD+ by-laws by the villages general assemblies had in-cooperated some elements of the FPIC concept. This seems the case as much of the information given during meetings and consultations at the villages' general assemblies included FPIC elements such as; the local communities were the ones who decided on the size of forest to be set aside for REDD+ project, also the local people were free to reject or accept the REDD+ project, and again from our analyzed data it was evidenced that the decision to accept the REDD+ project was reached by majority voting. A question to be asked here is whether/not

the majority voting can be seen as the legitimate decision to accept the REDD+ project. This will be looked at Chapter 7 were the discussion will be presented.

### 5.3. Establishment of Income Generating Activities – Groups

Concerning the establishment of the IGA-groups in the Kilosa district, it was done to try to achieve the REDD+ pilot project objectives of improving the local people's livelihood. The establishment of IGA-groups was one of the potential benefits that the local communities were promised to get by implementing the REDD+ pilot project. These IGA-groups included activities such as; the use of improved stoves, improved agriculture practices, beekeeping and chicken rearing. According to Wilfred Pima (Pima personal communication 2013), these IGA-groups are now established as pilot ones, so not every villager in those implementing the REDD+ pilot project are included, TFCG/MJUMITA is only coordinating and giving initial start up capitals for these activities. TFCG/MJUMITA requested the village council/VNRCs to call a village general assembly, so that villagers can propose project they can do to increase their income and hence improve livelihood. After the villagers had discussed and proposed what they would like to do, they were told to select some people who will start to do those activities, as at that stage those activities will just be as pilot and later all villagers can join. After groups were formed, TFCG/MJUMITA did provide initial capital for various ventures, these included both training and liquid money to start those activities. Wilfred Pima, gave an example of improved agriculture: if villagers chose to practice improved agriculture as their extra income activities project, TFCG/MJUMITA through the district extension officer would first conduct training concern improved agriculture, and after the training TFCG/MJUMITA would buy improved seeds, fertilizer if required and handle to the groups. From this point on TFCG/MJUMITA and the district extension office would make as much follow up to the groups to make sure they were doing the practice in a right way. This coordination by TFCG/MJUMITA was done to all activities selected by villagers to be their extra income generating activities and hence improve the local people's livelihood.

During the FGD respondents[5] did mention their involvement in some of the already established IGA-groups, but majority seems not to have been benefited from those activities. Various reasons were given as why they haven't yet benefited including; some of the IGA-groups were

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[5] The selection of FGD will be explained in 6.1

just been formed, especially the beekeeping activities, so those in that group were not yet harvested any honey from their beehives. Another reason given was the initial entrees fee was considerable high to most villagers' especially in the loan and saving. Also it was evidenced from our surveyed questionnaire[6] the existence of these IGA-groups, as findings 56% (N=125) of respondents confirmed that there were various IGA-groups in their village's, where as the chicken rearing seems to be dominant, followed by loan and savings, beekeeping and improved stoves.

## 5.4.    Establishment of the REDD+ Payment System in Kilosa

The payment system in the Kilosa district was established to be used in distributing the REDD+ money stipulated in the contract agreement between TFCG/MJIMUTA and the Norwegian embassy. According to Wilfred Pima (Pima personal communication 2013), the contract which was entered between TFCG/MJUMITA and the Norwegian embassy had an aspect of payment to the villages implementing the REDD+ pilot project. He also mentioned clearly that in that contract he was not sure if the way to distribute the payment was specified/agreed. So TFCG/MJUMITA had to come out with a way to distribute the REDD+ trial payment which could be of great benefit to all villagers. According to Wilfred Pima they had to draw experiences from other CBFM projects which failed to have a good benefit sharing mechanism, so MJUMITA had to develop a new benefit sharing mechanism with elements of good governance. The mechanism developed was that of individual dividend, implying that REDD+ earning will be given to each eligible villager as agreed by the village general assemblies. According to Wilfred Pima TFCG/MJUMITA motive behind the choice of individual dividend was that it should increase the sense of community wide ownership of the forest, the revenue generated from the forest, and any development project that are funded by the REDD+ revenue. Again as mentioned above, the other issue was to introduce the issue of good governance in the management of REDD+ revenue, as now through this benefit sharing mechanism villagers, through the village general assembly, had the power to change the use of their REDD+ revenue accrued from forest conservation and held their leaders responsible if they misuse the REDD+ revenue.

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[6] See 6.1 on findings from the surveyed questionnaire

It is important to mention here that although the villagers through village general assemblies are the ones who decided how the REDD+ revenue should be used in the local level, such as how much should be set aside for development projects and how much for individual payment, the actual REDD+ revenue amount of each village received was calculated by the TFCG/MJUMITA expats in the Dar-es-salaam office as they have the technical know-how of the price of carbon, multiplications factors etc. which ordinary Kilosa villagers would hardly understand how to do it. According to Wilfred Pima the REDD+ revenue amount calculated was done by including the following elements:

- Historical deforestation rate and avoided deforestation level for each type of forest

- Proportional area of VLFRs (more than 10 years old)

- Potential area likely to be subjected for leakage within and outside the village land.

So the actual amount of the REDD+ revenue for the Kilosa was calculated based on;

- Estimated amount of tones $CO_2$/Ha for each type of forest

- Estimated price of $CO_2$/t for each type of forest

- Value of avoided carbon emission in the village

- Deduct the leakage factor of the block

- Determine the proportion of the VLFR in the block

- Multiply the amount proportional of the VLFR of the village in the bloc with the leakage factor

- Add the value of carbon from the leakage factor and the net value of avoided deforestation in the village

According to Wilfred Pima, this complex procedure was not possible to explain to normal/ordinary villagers, so what TFCG/MJUMITA did was to come out with the amount of money calculated based on the above factors and asks the villagers through the village general assemblies to decide how the amount could be used in their village. Also he went further and

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commented that the trial payment could not just be done without establishment of some procedure to ensure that the local people are the ones having final decision on this, so they advised the village councils and VNRCs to call the village general assemblies to establish by-laws to be used in dividing the individual dividend. The following were the basic steps/procedure used during the REDD+ trial payments.

❖ The village assembly passes by-laws specifying who is eligible to receive dividends from the REDD+ revenue. The by-laws also established a REDD+ revenue sharing committee consisting of village council members from every sub-village and members of the VNRC.

❖ Sub-village leaders compile lists of eligible residents and post them for comments in a public place within each sub-village. Lists are adjusted as discrepancies are registry book. The registries were read loud in the next village general assembly, adjusted again if needed and then approved by the general assemblies.

❖ The REDD+ revenue sharing committee met to develop budgets for villages' development and conservation activities based on the previous village's general assembly's discussions. The committee also calculated the dividends by dividing all forest revenue from that year by the number of eligible residents. Finally the committee calculated the cost of each development and conservation activities in terms of its cost per dividend.

❖ The village assembly meets again, the REDD+ sharing committee presented the dividends and proposed cuts for dividends for each development and conservation activity. The village assemblies did vote on each proposed activity and unpopular were adjusted or removed, if villagers agreed then the REDD+ sharing committee presented the final dividends and the dividends payment day was announced.

❖ On the dividend payment day, payments were organized at sub-village level. Every individual came up one by one to collect their dividends in front of all other community members. Again the REDD+ sharing committee together with some staff from TFCG/MJUMITA observed the whole process and ensure that each person signed the registry book against their names and the amount of the dividends the collected.

It is important to mention that the payment system seemed to include the local people as the final decision maker on how the REDD+ revenue should be spent in their villages. It was clear from the FGD conducted during the field work, that people thought they had no real choices rather than what the implementing NGOs wanted. And from the surveyed questionnaire findings indicated that out of our sample 125 only of 70 respondents did attend meetings concerning the payment in the village. And there was a claim from all the villages' chairpersons and members of VNRCs, that the amount they received was small and they really didn't know when they would receive another round of payment.

## 6. Evaluation of the Process of Introducing REDD+ by the Local People and Executing Organizations.

*This chapter presents the local people's and the executing organizations' evaluation of the processes involved during introducing the REDD+ pilot project in the Kilosa district. I will first describe the sampling procedure and characteristic of the sample including sex, age groups, education level, size of agriculture land and what respondents' general knowledge on REDD+ project etc. I will then present how the local people of all the studied villages evaluate the processes involved during the introduction and implementation of the REDD+ pilot project. This includes general knowledge of REDD+, evaluation of the meetings, evaluation of IGA-groups, evaluation of the payment system and their knowledge on REDD+ rules. The second section will present evaluation by the executing organizations, and this include evaluation by FTCG/MJUMITA, evaluation by the VNRCs members and finally the evaluation by village councils . The analysis is based on surveyed questionnaire and FGD conducted during the field trip. The goal here is to see whether the concept of free prior informed consent (FPIC) was observed by the TFCG/MJUMITA when introducing and implementing REDD+ in the Kilosa district.*

### 6.1. Description of Sampling Procedure and Characteristic of the Sample

This study as earlier mentioned; it employed two sampling techniques; purposive sampling and simple random sampling using the table of random numbers. Purposive sampling was used in the selection of five villages namely Ibingu, Dodoma Isanga, Ilonga, Kisongwe and Chabima while respondents from all the villages were randomly selected.

A list of households was obtained from the respective village government and a total of 125 study respondents were randomly selected. Ibingu had 25, Dodoma Isanga had 25, Ilonga had 25, Kisongwe had 25 and Chabima had 25 respondents; also a subsample of those 25 respondents, 10 respondents were purposively selected, didn't attend any meetings during introducing the REDD+. Equally distributed across the 5 villages.

In each village two focus groups were conducted with 12 participants each, males and females. The first FGD comprised 12 members of natural resource committee and the other one 12 community members.The information solicited using this method included people's perception on the various processes meetings and consultations, information given, opinion about the

project, perception of rules, income generating activities, and also to what extent the local communities have been involved in the processes of introducing, establishing and implementing the REDD pilot project in Kilosa district. A focus group discussion guideline was used to guide this exercise (see Appendix 1).

Other key informants in this study included the villages' chairpersons of all selected villages, head of natural resource committee and the TFCG district field coordinator. Therefore a total of 11 key informants were interviewed, and during the process of collecting data, the interview was guided by a list of questions (see Appendix 1).

The above explained sample comprised of 76 male and 49 female, although in this study men exceed women, and it is not surprising as the study target were head of household, and in many African societies males are the household heads. This implies that it is men who are more involved in various economical activities e.g. farming, charcoal making, timbering and other development activities in their area, and in this case of the REDD+ pilot project many men were involved as they are household heads and major player in economical activities.

The age groups of our respondents were even distributed as findings showed that of 21-30 (17%) of the sample, that of 31- 40 (35%) of sample, that of 41-50 (26%) of the sample, that of 51-60 (15%) of the sample and that of 61 and above were only 7% of the sample (see Figure 3).
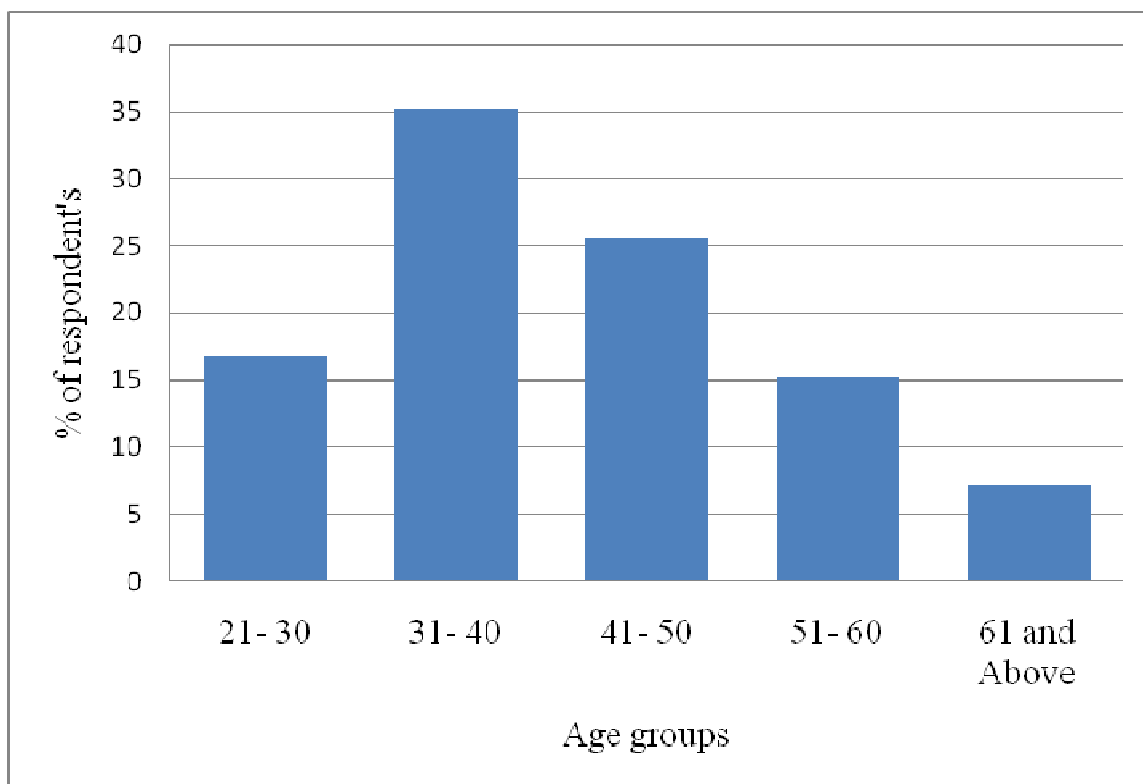
Figure 3. Age distribution Respondents (N=125)

It was found that majority 96% (N=125) of the respondents had attained primary education level which in Tanzania is 7 years, 2% (N=125) of the respondents had secondary education and 2% (N=125) of the respondents never attended any formal education. The proportion of education of the respondents is not pleasing with respect to the country statistics whereby 52% of illiterate people are staying in rural areas, in which there are so limited education facilities as well as fewer teachers than in towns (NBS 2013). The fact that most respondents had primary education is not surprising, as primary education in Tanzania is a universal basic right for every citizen (Ibid).

Results also indicate that all 100% of our respondents had agriculture as their main means of sustaining their livelihoods as well as their main economical activity, findings showed majority of respondents 42% respectively 44% had 0-2 (ha) and >2-4 (ha) land size for agriculture, minority of respondents 10% had >4-6 (ha) land size for agriculture, while very few respondents

2% respectively 2% had >6-8(ha) and 10 and above (ha) of land size for agriculture (see Figure 4).
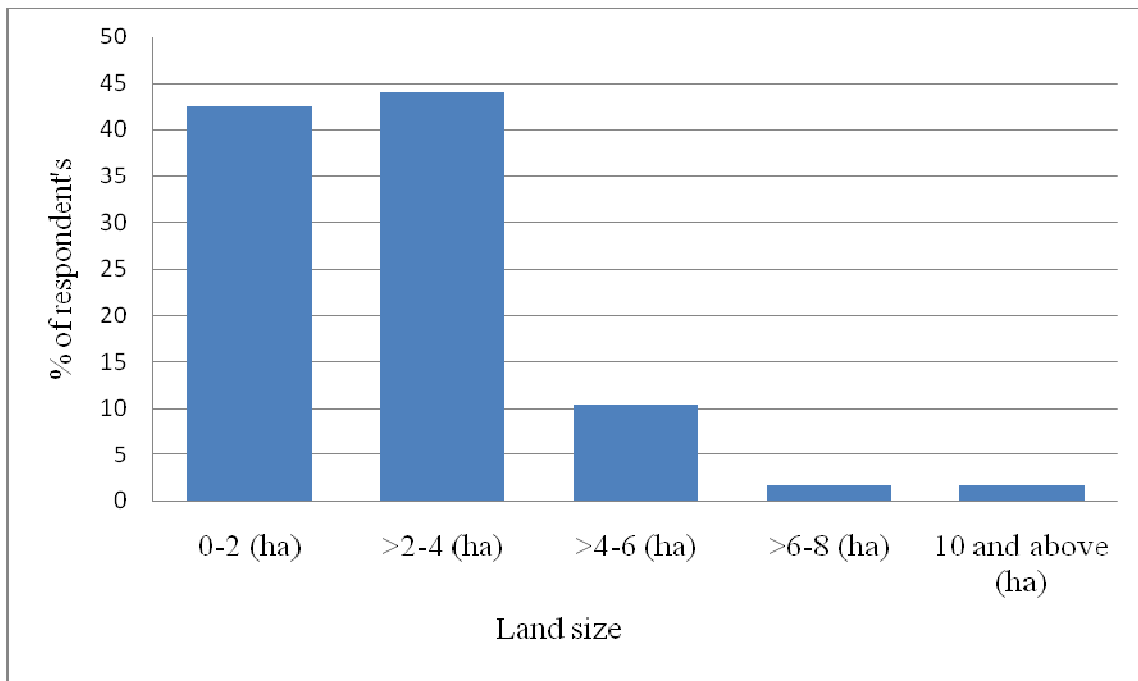


Figure 4. Size of land own by respondents (N=125)

These findings comply with that of Participatory Agricultural Development and Empowerment Project (PADEP), which states that agriculture is the main economic activity, source of food and provides employment opportunities to about 80% of Tanzanians (PADEP 2003).

Concerning the general knowledge about the REDD+ pilot project analyzed questionnaire data showed that majority 98% (N=125) of respondents had heard about the REDD pilot project. And majority of these again 67% thought that the REDD+ deals with forest conservation, while 26% thought that the REDD pilot project deals with environmental conservation, only fewer 2% respectively 5% of the respondents thought that the REDD+ pilot project deals with climate change and reduction of carbon emission respectively (see Figure 5)
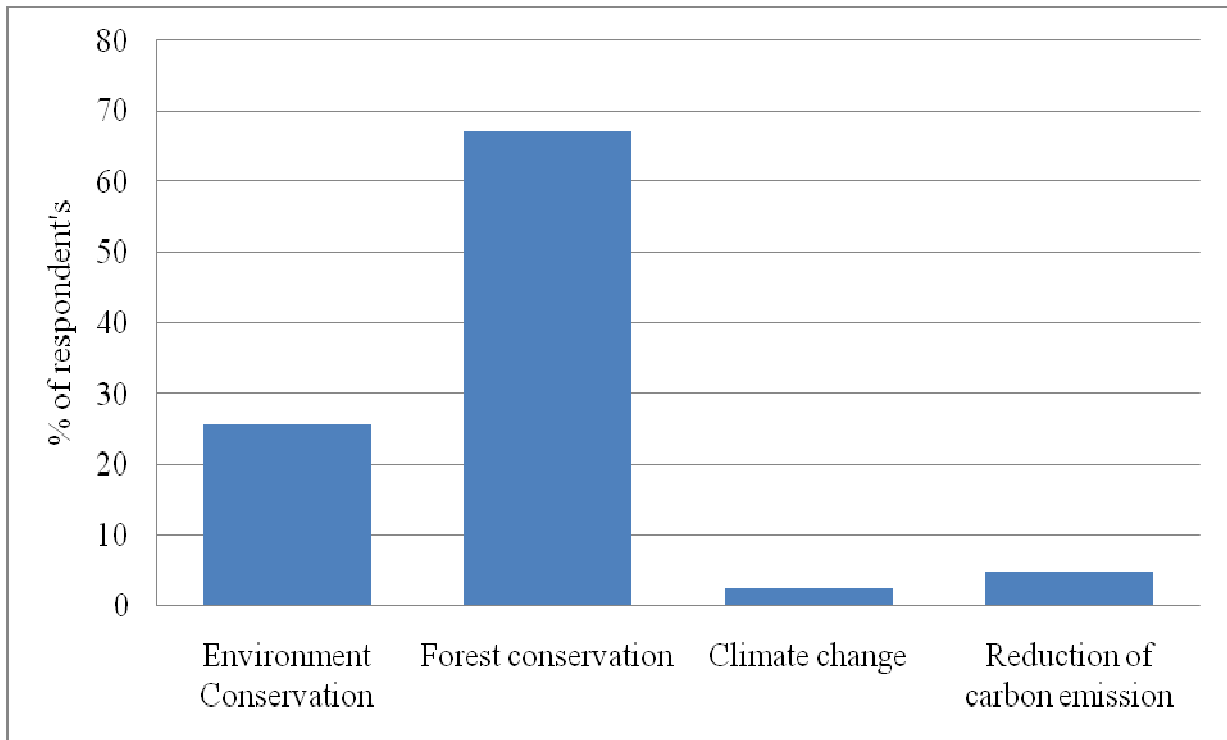
Figure 5. Respondents response on what REDD+ is about (N=125)

These confusing responses from our respondents are a bit shocking; but not really new, as I have mentioned earlier that the strategy of TFCG/MJUMITA was to use the PFM platform in introducing the REDD+ pilot project, and the focal point of PFM under CBFM type is forest conservation. But even in the national and international level the focus and goal of REDD+ has been expanding from reducing carbon emission and conserving forest, to improving livelihood of indigenous communities and it's still debated on how the payment issue should be handled. Also it was found that 69% (N=125) of respondents were aware that TFCG was responsible for the REDD+ pilot project in their area and only 31% (N=125) of respondents knew MJUMITA was also responsible for the REDD+ pilot project. This confusion is understandable, as TFCG and MJUMITA are working as sister organizations in implementing the REDD+ pilot project in Kilosa. Majority 97% (N=125) of respondents didn't know about the two sister organizations before the introduction and implementation of the REDD+ pilot project in Kilosa, and only 3% (N=125) of respondents knew that TFCG/MJUMITA were dealing with forest conservation in other parts of Tanzania. This finding is also understandable and possible, as TFCG for more than two decades has been dealing with PFM initiative in many parts of Tanzania, especially the

eastern arc mountain where Kilosa hosts two of the eastern arc mountains range namely; the Ukaguru and part of Rubeho mountain range

### 6.2. Local People's Evaluation of the Way TFCG/MJUMITA has Implemented REDD+.

It is important to mention that before presenting the local people's evaluation of the way TFCG/MJUMITA has implemented the REDD+ project, it was interesting to know what opinions the local people have toward the REDD+ project. To establish this, our respondents were asked a specific question which required them to explicit say what were their opinion about the REDD+ pilot project. The question in the questionnaire was asking "*what is your opinion about the REDD+ project*? (See Appendix 1, question 8).

Findings showed that majority of respondents 72% respectively 21% of our respondents had positive and very positive opinions about the REDD+ project – see Figure 6. Various reasons were given in supporting their positives opinions, including; REDD+ project has helped in conserving the forest which they claim to have been in very bad state before the project, extra income generating activities was another reason given as they saw an improve in household condition as many women are in the *loan and serving group* and the *chicken rearing group*. It was also found that 4% of respondents responds had indifferent opinion about the REDD+ pilot project - see Figure 6, as they were not yet sure if the REDD+ project will achieve its proclaimed goals and promises offered ( payment) to local community. Only 1% respectively 2% of respondents had very negative and negative opinion about the REDD+ project – see Figure 6. These negatives opinions of the respondents were supported with reasons like; some mountain villagers lost arable land after they were removed from mountainous area to pave a way for the establishment of the VLFR, so that the REDD+ could be introduced and implemented.
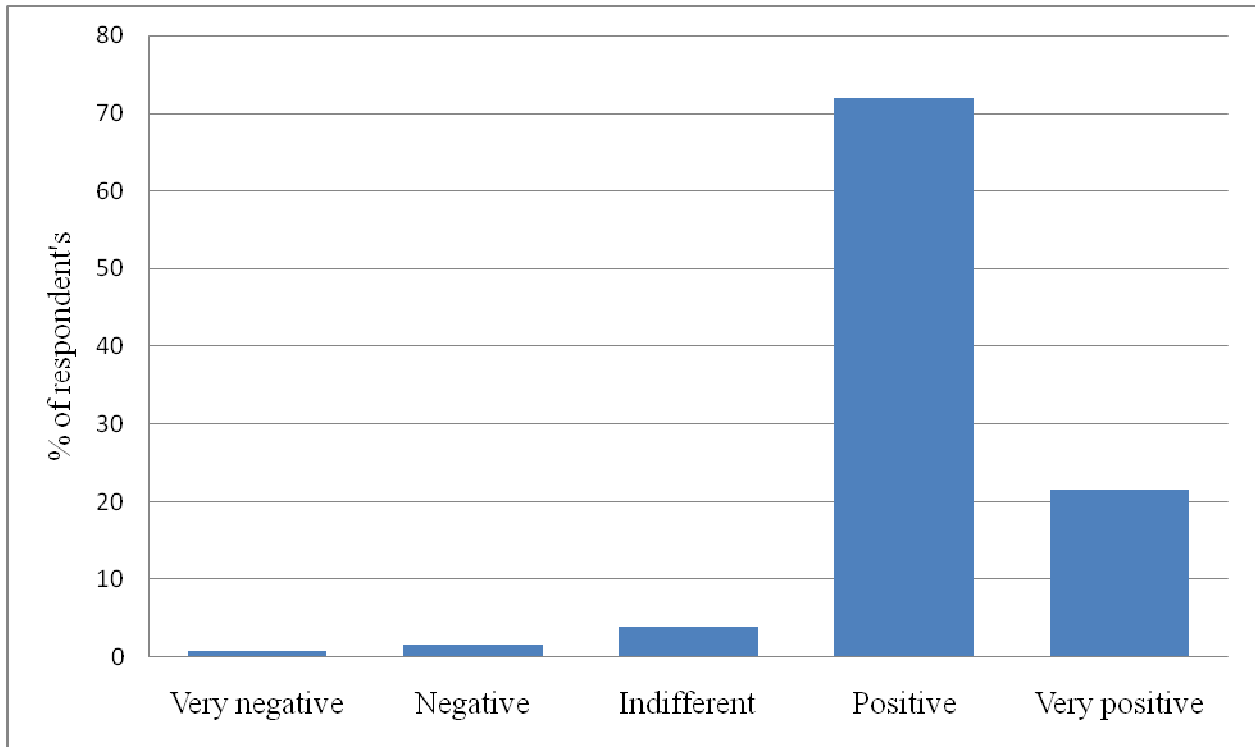
Figure 6. Respondent's opinions about the REDD+ pilot project (N=125)

A Fisher's Exact test was run to establish if there were statistical different or relationship between villages and respondents opinions about the REDD+ pilot project – see Figure 6.1. Findings from this test showed, the distribution of Ibingu was significantly different from the rest of the sample (P=0.008). Two issues came up that can explain this. First, some households in Ibingu had to leave their homes and resettle elsewhere in the village as the area where they lived was included in the REDD+ designated forest. Second, we also observed during FGDs in this village that there were some distrust to the village chairperson and some VNRC members being accused for receiving money from illegal loggers and charcoal makers.
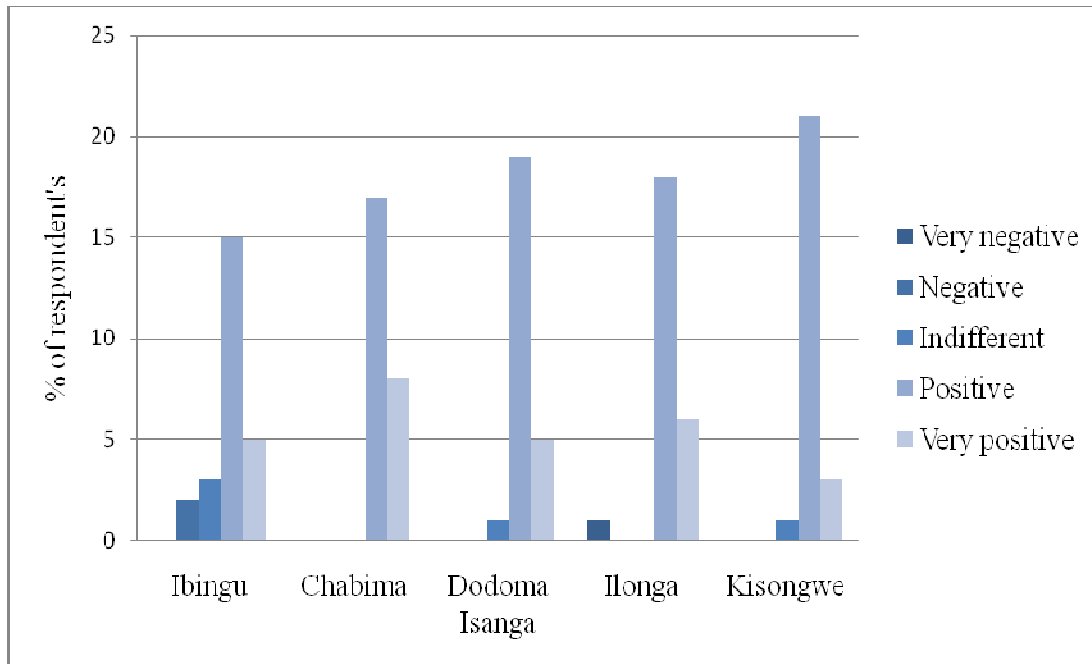
Figure 6.1. Respondent's opinions about the REDD+ pilot project by village (N=125).

Concerning the way TFCG has implemented the REDD+ pilot project in Kilosa, findings shows that 75% respectively 21% of respondents evaluated that the TFCG/MUJUMITA has implemented the REDD+ pilot project in a good and very good way respectively – see Figure 7. Also various reasons were given to support answers as why they think it is good and very good, including provision of education on importance of forest conservation, improved forest cover, received payment and building of villages' offices. So as we have good side, the bad side is always there, although in a minimal level; findings shows that 1% respectively 3% of respondents thought that TFCG/MJUMITA has implemented the REDD+ pilot in indifferent and bad way respectively – see Figure 7. These responds had their supporting reasons as well, including loss of fertile land by some of locals, whom before the project were able to cultivate in river banks and mountainous area of the village without restrictions, loss of income by lumbering locals as well as charcoal makers as now they had tighter restriction on the use of forest as a resource (see Figure 7).
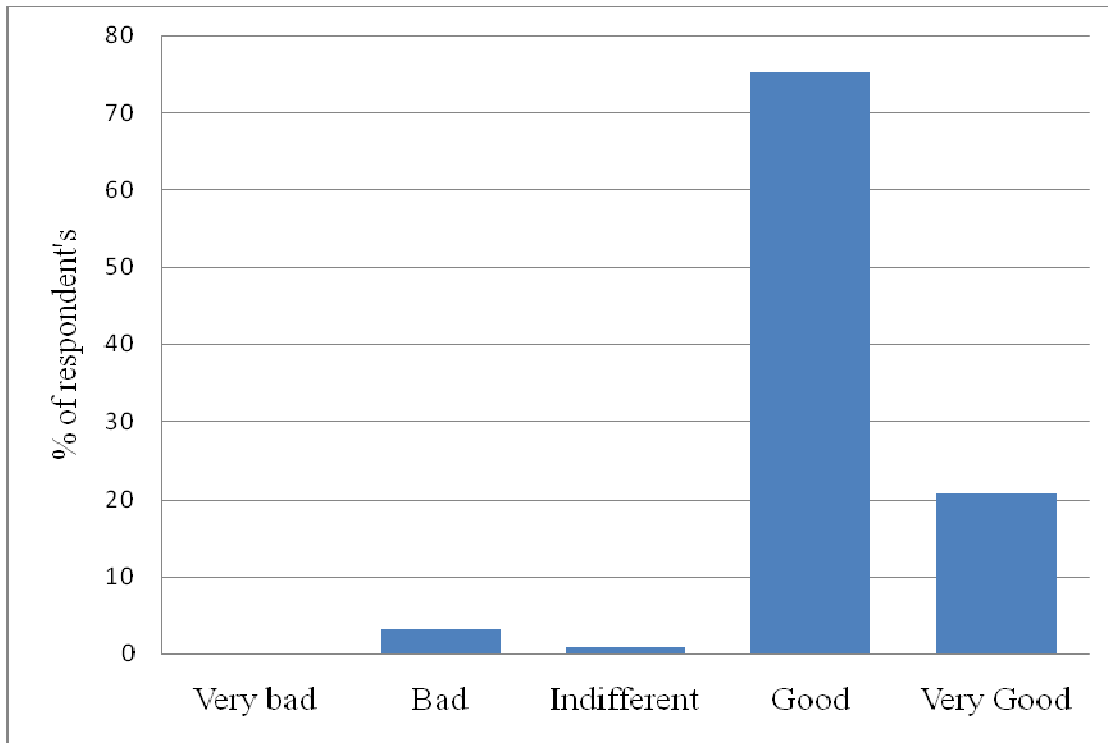
Figure 7. How TFCG/MJUMITA has implemented the REDD+ pilot project (N=125).

These findings of the way TFCG/MJUMITA have implemented the REDD+ pilot project comply with those of Deloitte Their mid-term review report of nine NGOs including TFCG, implementing the REDD+ pilot projects across Tanzania says that the project Making REDD work for Communities and Forest Conservation in Tanzania run by TFCG in the Kilosa district "has real strength at the field implementation level. Projects team members and the coordinators are highly capable and this is reflected in the relationships with district officials and in the organization of community members at the village level. Extensive community outreach and capacity building has taken place" (Deloitte 4 August 2012).

During the FDG, when the same question was asked again, surprisingly it was found that opinions were changing from positive and very positive into more indifferent opinions. The main reason given was that of the payment amount, and most interviewees was uncertain on the future frequencies of payment as well as the previous amount paid from the REDD+ project was small. This is a challenging matter, as when discussing deeper with the respondents it was clear that local communities didn't know that the payment they got was only a trial payment, and there was a big chance that they would never receive another payment from the REDD+ project.

### 6.2.1. The Local People's Evaluation of Information given at Meetings to Accept REDD+

Information is a core element when looking on the level of participation of local communities in any environmentally related project. The argument is that local communities living close to forest resource depends entirely on it as their only survival strategy. So by having enough and clear information about a certain environmental project to be implemented in their area, people are likely to have a clear view of various livelihood strategies proposed by the project. Also information has been seen as a crucial element when analyzing the Free, Prior and Informed Consent (FPIC) which is the prerequisite aspect to be observed by any actor when introducing and implementing any environmental project at local communities' level. So as for the TFCG/MJUMITA and the REDD+ pilot project the FPIC aspect was a mandatory one to exercise during the processes of introducing and implementing the REDD+ project as require by UN-REDD.

It is crucial to emphasize that in those meetings and consultations at sub village and villages general assemblies, is where TFCG/MJUMITA did give information(s) about the REDD+ pilot project to local people before they could accept to implement it in their village's land. Again as mentioned earlier, information was among the interesting aspects this case study looked at, and in its wider scope, this includes what kind of information was offered at the meetings and consultations, if information was clear and enough for villagers to decide, who was the main source of the information and also if local people had access to independent source of information about REDD+.

Concerning the kind of information offered during the processes of introducing and implementing the REDD+ pilot project, it was evidenced that local communities of all the studied villages meant that they had been given clear and enough information about the REDD+ pilot project. This was found during field surveys and FGD when respondents were explicitly asked, if information offered at meetings were clear and sufficient for villages members to whether participate in the REDD+ or not. Findings indicated that a majority of respondents 47% and 42% respectively felt that information offered were clear and sufficient for the villages members to accept the REDD+ pilot project to be implemented in their village's land – see Figure 8. Meanwhile 7% of respondents thought that information offered at meetings and consultations were only satisfactory to the village's members to accept the project (see Figure 8).

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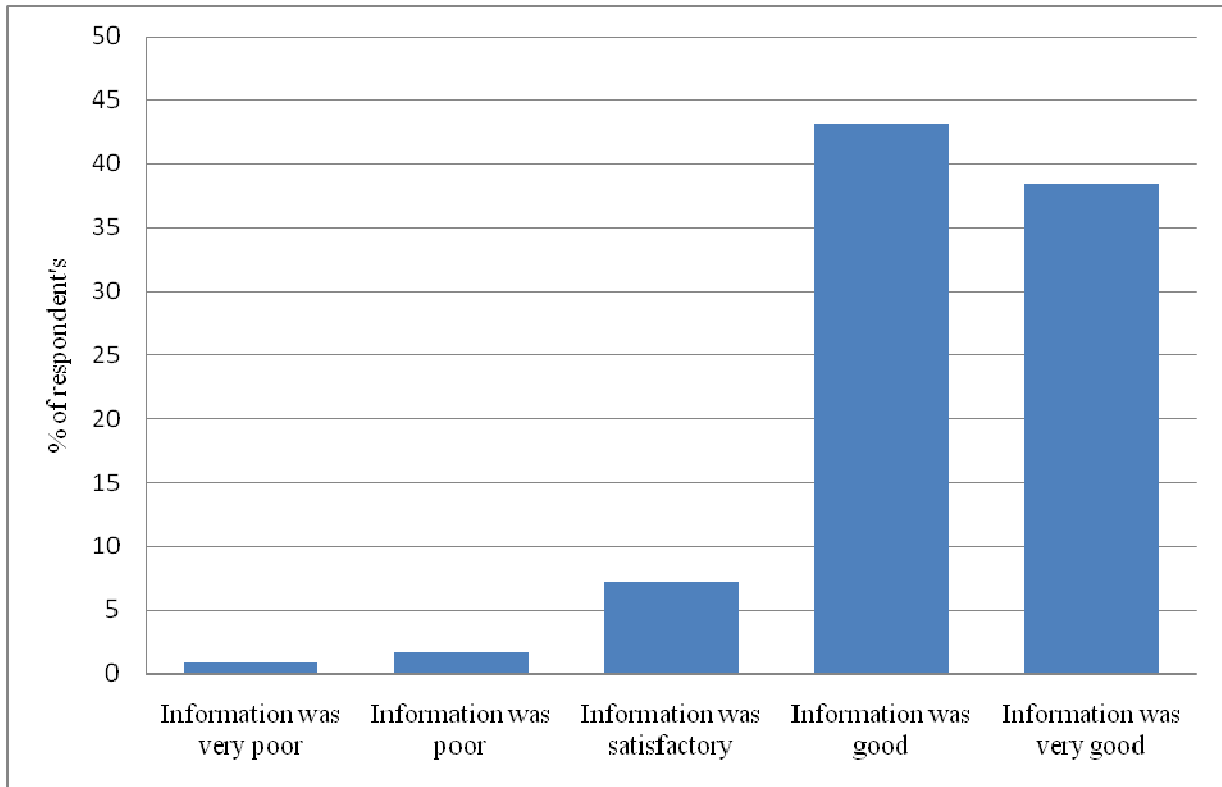
Figure 8. Information quality on meetings to accept REDD+ (N=114)

I should emphasize again that reasons given when explaining respondents very good to satisfactory responses, on information offered at meetings and consultation at village level, reasons given seems to be similar to those mentioned earlier, such as importance of forest conservation, the benefit villagers will get by accepting to implementing the REDD+ project. It was also found that some respondents 2% and 1% thought that information offered at those meetings and consultations were poor and very poor respectively for members of the village to accept whether to participate in REDD+ or not. It's also important to stress again that almost same reasons were observed as support toward these "very poor and poor" respondents' responses, including lost of land to some local people; again the trial payment amount was popped up as so small.

It was also found that TFCG/MJUMITA were the main source of information about the REDD+ pilot project to the local communities of the studied villages, and this was confirmed by 88% (N=125) of our respondents when they were asked to tell who were/was main source of information in meetings and consultations. These findings are understandable, as it has been emphasized from the beginning that the REDD+ project was engineered by TFCG/MJUMITA, and

from the beginning of writing the project proposal idea to the point of which villages to be included.

It was also evidenced that majority of local communities had no access to independent sources of information about REDD+, as majority of 86% (N=125) of respondents confirmed that they had no access to independent information about REDD+, and those who said to have access to information 14% of the respondents claimed those source to be radios, newspapers and fellow neighboring villages. These findings are understandable especially radio and news papers as TFCG/MJUMITA has occasionally campaigned the REDD+ project through radio and newspaper. It's also possible and understandable that some villagers got information from neighboring villages as TFCG/MJUMITA did introduce the REDD+ project in rotational way, as some villages are close to each other. This made it possible for them to have information about REDD+ before it was officially presented in their village meetings and consultations.

Concerning the openness of the meetings and consultations used during process of introducing the REDD+ project, it was found that majority of respondents - 91% (N=125) - thought that meetings and consultations were conducted very open, while - 9% (N=125) - of the respondents said they were somewhat open. Various reasons were given to support this, including villagers were allowed to ask as many questions they wanted, and again surprisingly all asked questions were answered by the TFCG/MJUMITA staff and doubts about losing their land were cleared. According to the TFCG/MJUMITA field coordinator, the local communities were told it's up to them to decide if they accept the project or not and the size of forest to be conserved, and not anybody else from outside their village.

Concerning if everyone was free to take any position during the village general meeting about their village to participate in the REDD+ pilot project, findings indicate that almost everyone stated that they were free to accept or reject the project. Findings shows that a majority - 87% (N=125) - of the respondents felt that everybody in the village were free to take any position concerning the establishment of the REDD+ pilot project. This was supported by various reasons, including that meetings were open and everyone was free to ask any type of question about the proposed REDD+ pilot project. And all asked questions were answered by the TFCG/MJUMITA staff. But about 13% (N=125) of the respondents didn't feel that everybody was free to take any position during the process of introducing the REDD+ pilot project. Also various reasons were given to support

this including some people were removed from their area, especially mountainous villagers and they were not happy with this. Others said that fines set were very high, but they were just approved by the villages' general assembly. But when we asked the issue of high fine during FGD, many respondents said that those saying fines were high, were mainly illegal charcoal makers and illegal timber traders, so villagers decided to approve the high fines so that those practicing illegal activities should feel the pain when caught by the VNRCs.

Concerning if villagers did offer proposals on how the REDD+ should be organized at village level. Findings showed that 26 % (N=114) of respondents said that 'many proposals' were made by villagers, while 42 % (N=114) of respondents stated that 'a few proposals' were made by villagers. And those proposals included land use planning; especially how much land should be set aside for conservation and improve the village's infrastructure. Again a follow up question was asked if they think any of proposals were taken into account, and majority of respondents said proposals offered by villagers were taken into account, while 40% (N=114) of respondents said they were not taken in account posing reasons like huge area were taken for conservation and other villagers lost their land. Surprisingly no proposal on the content of REDD+ were offered by villagers on the questionnaire, but unknowingly what they offered as proposals on the way REDD+ should be organized is actually the content of REDD+. This confusion can be understandable as villagers themselves had no idea what REDD+ was before hearing it from TFCG/MJUMITA staff, so to be asked on content was rather far from their understanding of REDD+.

At the end 90% (N=125) of respondents said that the decision to accept and implementing the REDD+ pilot project was reached by majority vote, whereby villagers raised their voice to signify their agreement to implement the REDD+ pilot project. Meanwhile 10% (N=125) of respondents complained by saying that although majority of villagers did agree to implement the REDD+ pilot project, it was still not fair to other villagers that lost their land, and again the amount they received from TFCG/MJUMITA was too small and they were not sure when they would receive another amount.

Also respondents were asked if they consider REDD+ to be good or bad for the village, and this was a very important question as it can be used to establish, from the local people's perspective, the fate and survival of the REDD+ project in Kilosa district. The motive here is that if the local people see the REDD+ project as a good thing for their village, the higher the chance that they will

make effort to made it survive, and the opposite is true; the more the villagers think that the REDD+ project is bad, the higher the chance that it will be sabotaged. Findings from the surveyed questionnaire did show that 54% of respondents respectively 34% of respondents considered REDD+ to be good and very good for their villages. While 5% of respondents respectively 2% of respondents considered REDD+ to be satisfactory and bad to their villagers (see Figure 9). It is important to mention that respondent had a chance to tick even very negative box in our questionnaire (see Appendix 1, question 25 under section D11), but no one thought REDD+ to be very negative to their village. From these findings it's clear that the REDD+ project in the studied villages' has high chance of survival rather than sabotage from respondents' perspectives.
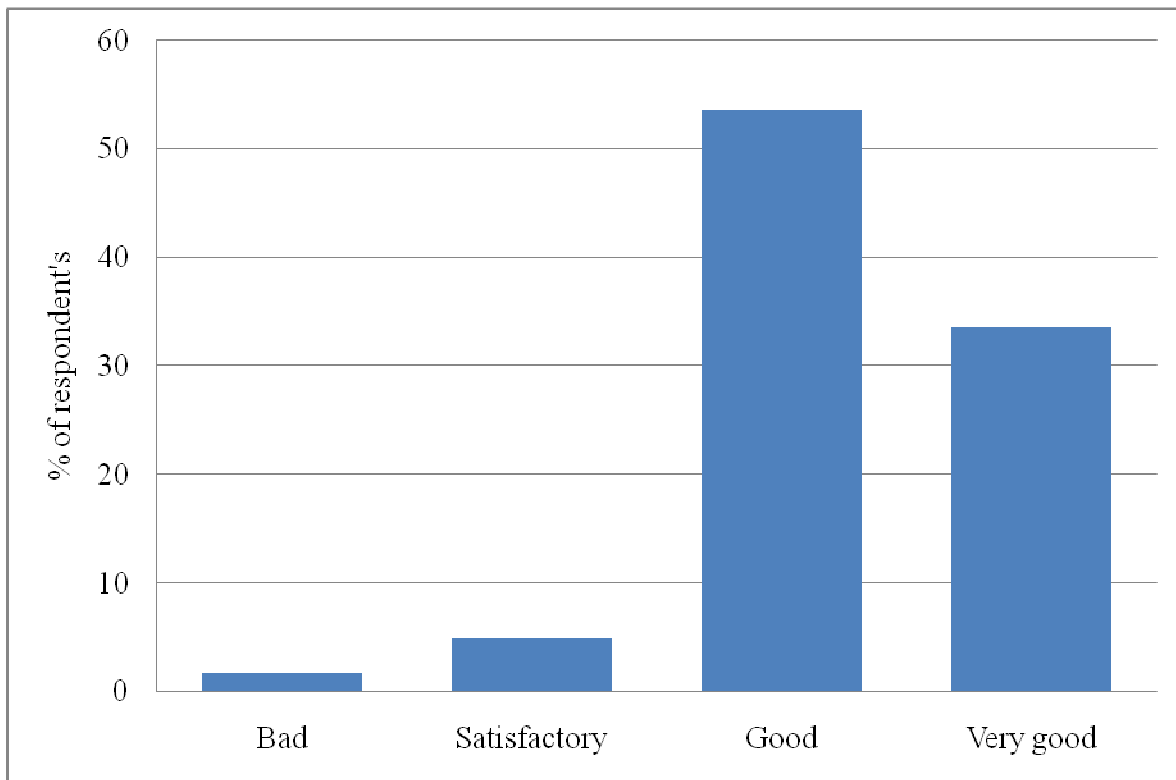


Figure 9. How Respondents consider REDD+ to be for their village (N=125).

### 6.2.2. The Local People Evaluation of the REDD+ IGA-Groups.

As mentioned earlier that IGA-groups were established as pilot ones, so not all villagers had a chance to be involved at the beginning, but the strategies according to Wilfred Pima is that as the IGA-groups pilots get enough experience, all villagers can later join so that their livelihood could be improved. During the field work, when respondents were asked about the presence of the IGA-

groups in their villages, findings showed 57% (N=125) of respondents mentioned existence of IGA-groups in their villages. When respondents were asked to specify what were those IGA-groups, the following were mentioned from order from high popularity to low popularity; chicken rearing 43% of respondents mentioned existence of this, loan and savings 26% of respondents mentioned existence of this, beekeeping 23% of our respondents mentioned its existence and improved stove making 8% of our respondents mentioned its existence (see Figure 10).
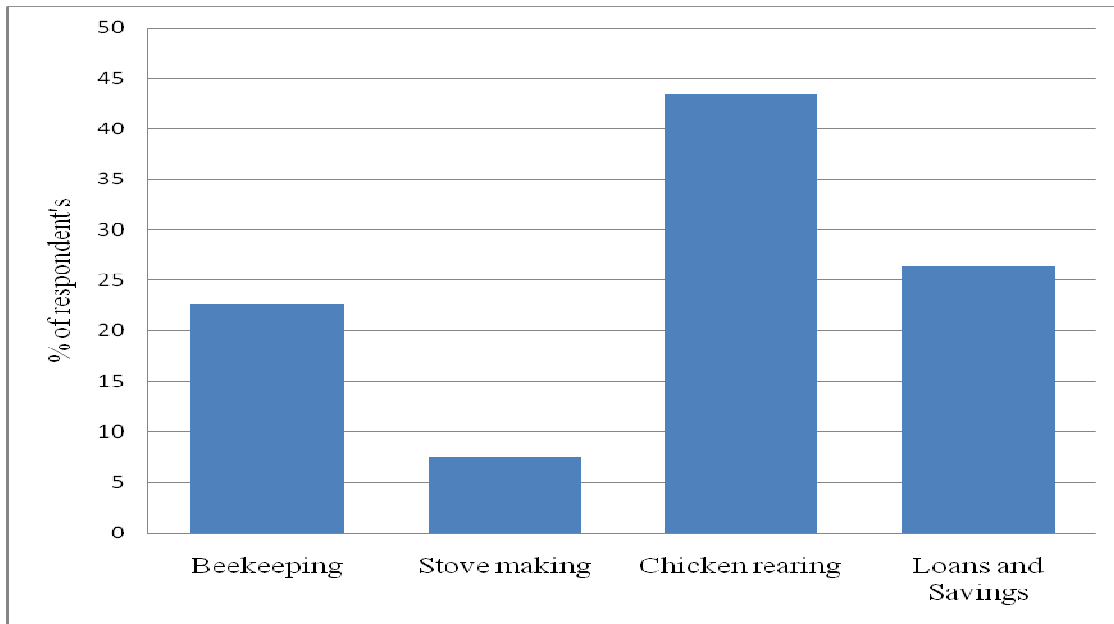


Figure 10. Income generating activities mentioned by respondents (N=125).

It was also found from respondents that those participating in IGA-groups have been benefited in one way or another, and they expressed their joy by mentioning being able to start up small shops, taking their kids to secondary school and generally they claimed their livelihood had been improved by participating in the IGA-groups.

But during the FGDs respondents were showing some concern on the formation of the IGA-groups in their village. Most of them felt that the selection was not free, as in some of IGA-groups villages chairpersons and members of VNRCs just sat in the office and selected people to be included in the IGA-groups without calling a village general assemby. This was most noted in Ibingu village, and maybe this could be explaining reason why respondents from this village had negative opinions about REDD+. Also in all five villages initial entrance fee to the loan and savings IGA-groups, was mentioned as another reason for the local people not to join the loan and saving IGA-

groups. But in general the local people in the studied villages seemed to be happy with these IGA-groups promoted by TFCG/MJUMITA.

### 6.2.3. The Local People Evaluation of the REDD+ Payment System.

Concerning the payment system, as it has been mentioned earlier, they were established to be used in the trial payment of the REDD+ revenue, as stipulated in the contract agreement between TFCG/MJUMITA and the Norwegian embassy. What TFCG/MJUMITA did was to try to establish a payment system which can be of greater impact toward the survival of the REDD+ project. The motives were to make the local people in the Kilosa district to feel ownership of the project by having a final decision on how the REDD+ revenue should be used in their village level.

From the surveyed questionnaire it was found that out of our sample of 125 only 70, had participated in meetings concerning the establishment of the payment systems at the village level. Again when they were asked to specify the overall impression of these meetings, it was found that 59% respectively 26% had good and very good impressions of the payment meetings – see Figure 11- while 14% respectively 1% had satisfactory and bad impressions of the payment meetings (see Figure 11). It is important to mention that the local people had a choice from very bad, bad, satisfactory, good and very good, but no one among those interviewed did tick a box with very bad impression.
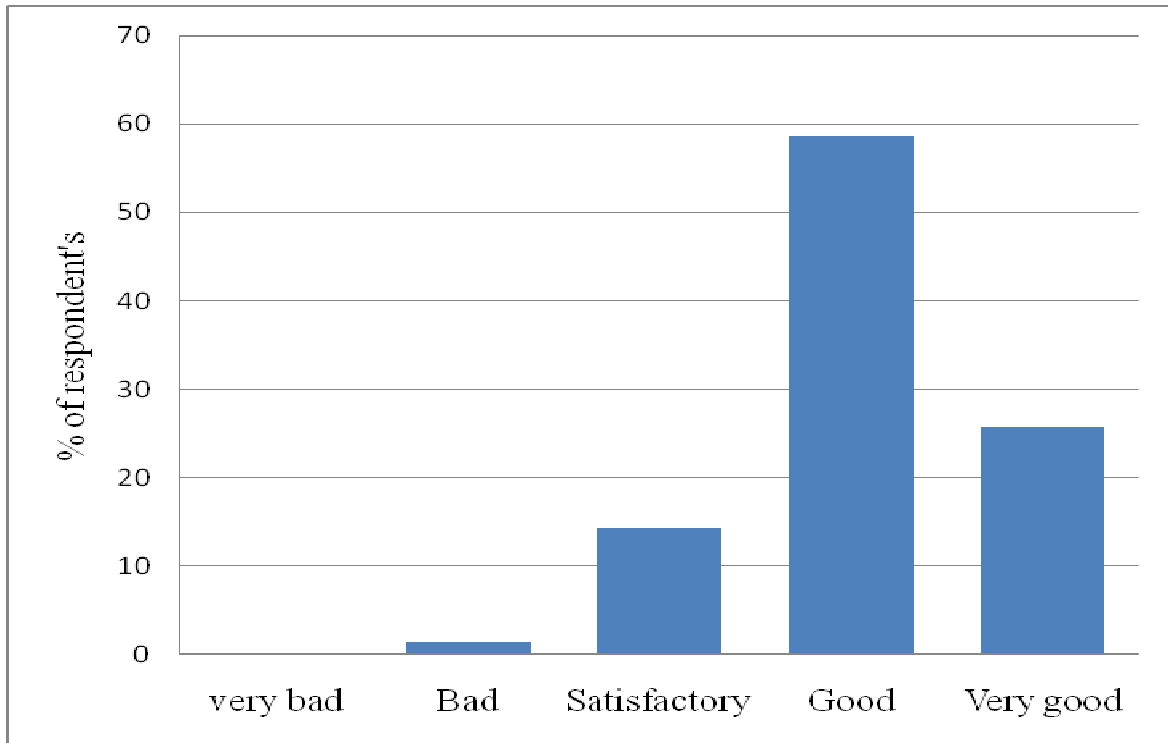
Figure 11. Local people impressions on payment meetings (N=70)

Concerning if villagers did participate actively and ask questions during the payment meetings, findings from the surveyed questionnaire showed that respondents asked some questions about payment format, payment amount as well as frequency of payment. Also respondents showed at some level that information offered at the payment meetings was enough for them to decide how the REDD+ revenue could be use. Also findings showed that respondents thought that information offered during the payment meetings was enough for villagers to decide on how the REDD+ revenue could be distributed in their villages. Majority of respondents 43% respectively 43% thought information offered was good and very good for fellow villagers to decide the form of payment – see Figure 12. While 11% respectively 3% thought that information offered was satisfactory and poor for villagers to decide the form of payment (see Figure 12).
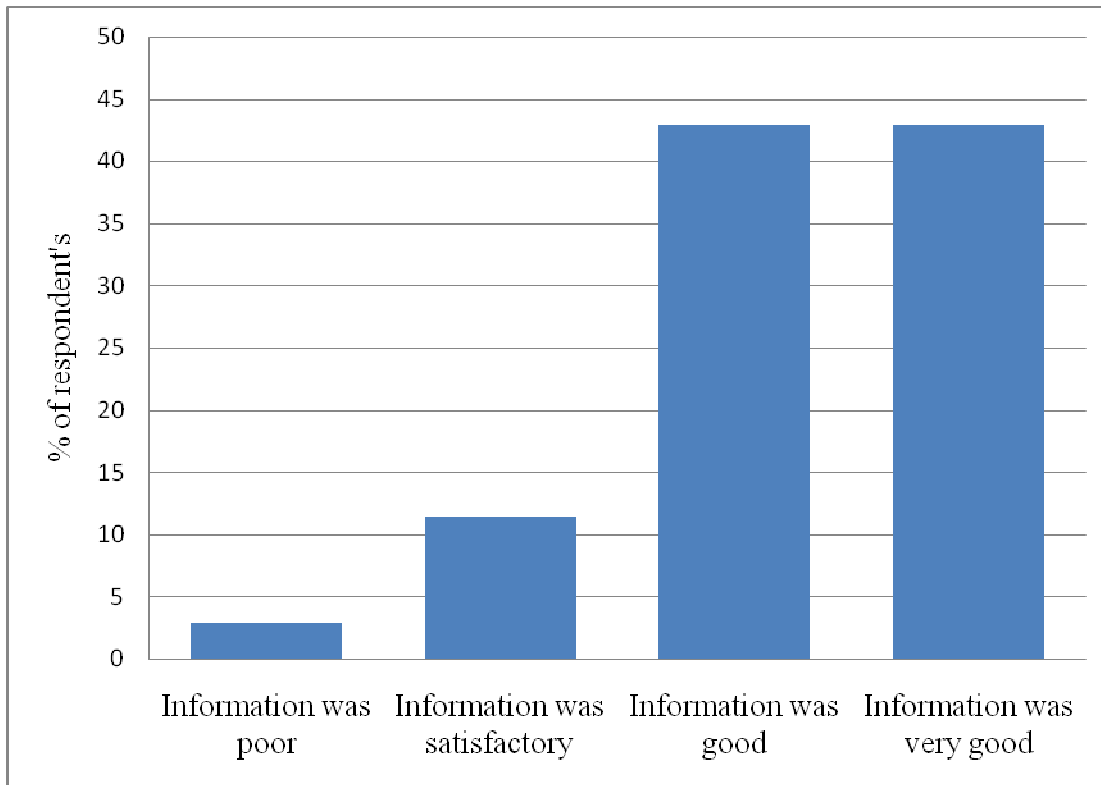
Figure 12. Information quality on payment meetings (N=70)

Concerning the decision to accept how the REDD+ revenue and which payment systems should be used in the village level, respondents were asked if all villagers agreed on the decision made by the villages generals assemblies (see question 14 section D.111 in Appendix 1). Findings from the surveyed questionnaire showed that 51% (N=70) respectively 49% (N=70) of respondents agreed and all agreed on the decision made about the payment system. Although the question had other options such as disagreed and somewhat agreed with the decision made, but no one did say any of those options, so this indicated that villagers in general accepted the decision made about the payment system.

### 6.2.4. The Local People Evaluation of the REDD+ Rules.

The main goal here was to see if local communities follow the REDD+ by-laws as they all agreed to these rules in the village general assembly. This can be a way of clarifying the legitimacy of the newly formed institutions and organization during the processes of introducing REDD+ in Kilosa district. To establish if local people had knowledge on the REDD+ rules, respondents were asked range of questions related to that, including, how they can rate their knowledge about the rules of

participating in REDD+, to mention some of the important rules, if they follows REDD+ rules, if set rules are effective in reducing deforestation rate in their villages.

Concerning how local people rate their knowledge on the established REDD+ rules, it was found that 46% of respondents knew few of the REDD+ rules, 42% of respondents knew most of the rules – see Figure 13, while 11% of the respondents knew all the rules and only 1% of respondents didn't know any of the established rules (see Figure 13).
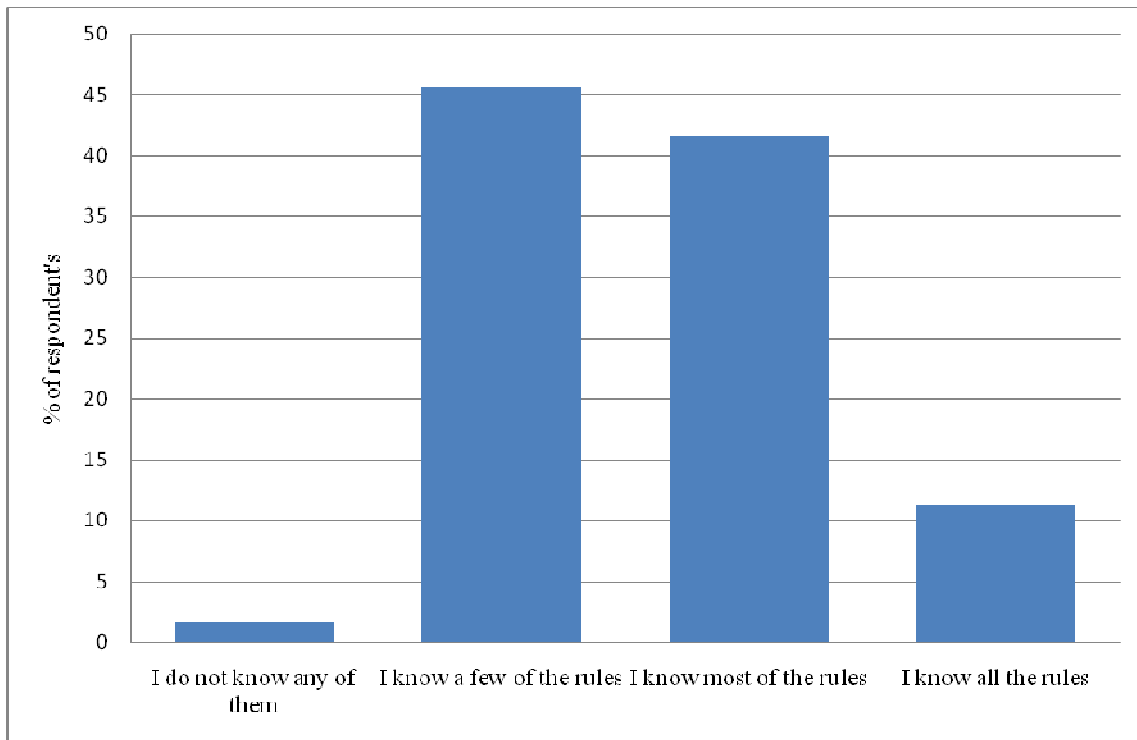


Figure 13. Respondents' knowledge on the REDD+ rules (N=125).

It's surprising that almost all of the respondents seem to know at least some of the REDD+ rules, but it could be possible as earlier we also saw the attendance at the meetings of local communities to be high. This can be due to the strategies employed by TFCG/MJUMITA of starting introducing the REDD+ pilot project in the sub-village level. It was also found that respondents could mention some of the most important rules for REDD+, this included fines for illegal activities including charcoal making in the forest, timbering in the forest, causing fire, requesting permit from VNRC for extracting non-timber products including mushrooms, medicinal plants that VNRC are supported to patrol VLFRs, as agreed in the village general assembly, though most didn't remember how many times per week/month.

Concerning if local people follow the REDD+ rules, it is notable that that 43% of respondents answered that they follow all of the rules, 27% responded to follow most of the rules and 30% of respondents responded by saying they follow some of the rules (see Figure 14).
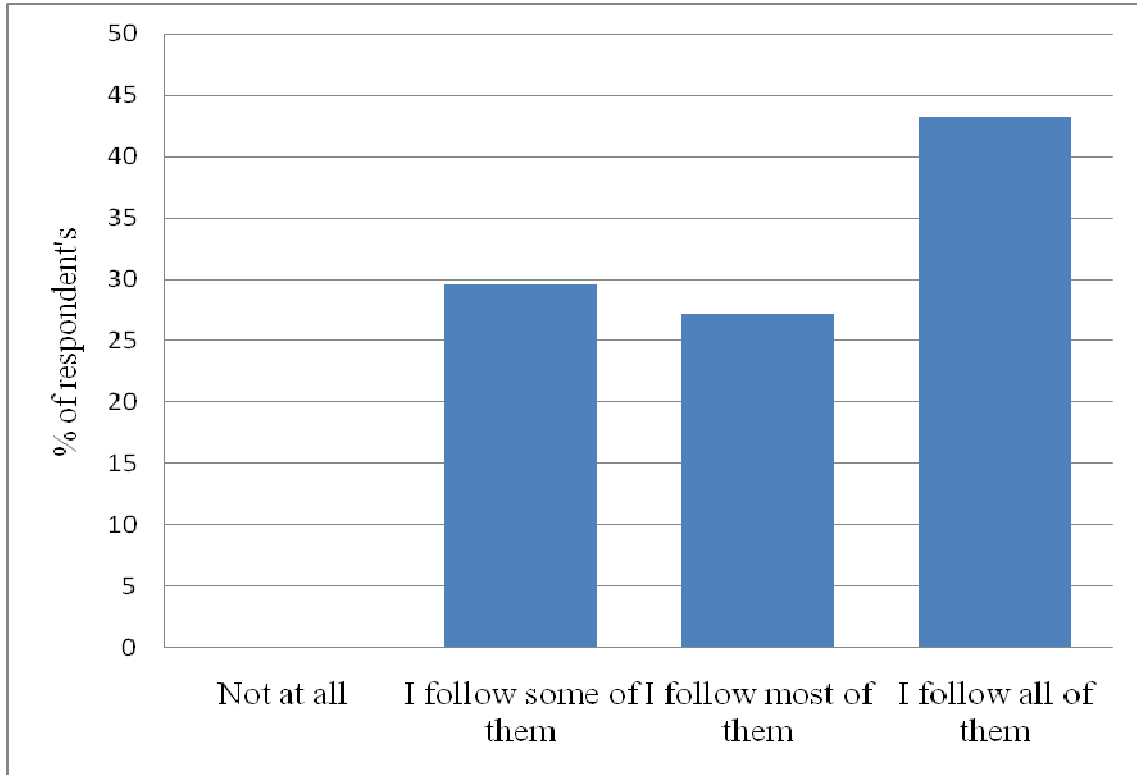


Figure 14. How respondents are following the REDD+ rules (N=125).

Despite the fact that considerable amount of respondents were just following some of the REDD+ rules, it was surprising to find that majority 78% of respondents had positive impressions of the REDD+ rules, 12 % had very positive impressions of the REDD+ rules, 3% of respondents had indifferent impressions of rules, meaning they were not sure if REDD+ rules were effectively helping in reducing deforestation rate in their village – see Figure 15. And again 7% of respondents had negative impressions of the REDD+ rules, specifying that still illegal charcoal making and timbering were still going on in the VLFR as well as fines set were easy payable by the bad guys; charcoal and timber traders as they are making much money (see Figure 15).
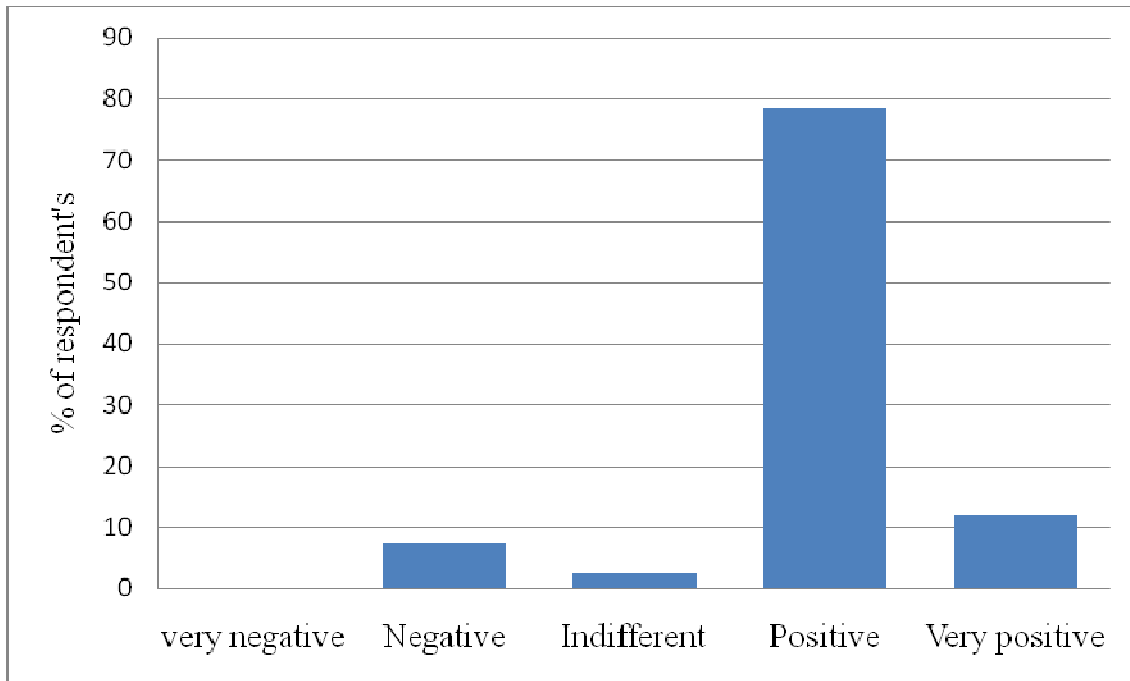
Figure 15. Respondents impressions on the REDD+ rules (N=125).

### 6.2.5. Issues Raised, Conflicts and Conflicts Resolution Mechanisms for REDD+

The process involved in the introduction and later implementation of the REDD+ pilot project in the Kilosa district, apart from provided clear and enough information, also did create tensions among villagers, which resulted into issues to be raised about REDD+. In the following I will emphasize issues raised during meetings and consultations at sub-village and village level when introducing REDD+ were; land demarcation and payment amount.

Concerning the land demarcation, as it has already been mentioned earlier, that for REDD+ pilot project to be implemented, village land had to be planned as required by the PFM guidelines (see Table 1). The exercise of establishing the VLFR as described earlier created issues as some mountain dwellers had to be reallocated to low land area, and this made people ask why they should be moved. This resulted into disagreement between low land villagers and mountain villagers, also mountain villagers and TFCG. In these disagreements both low land villagers and TFCG/MJUMITA wanted the mountain villagers to give up their land so that a VLFR could be established. Mountain villagers were disagreeing as they thought TFCG/MJUMITA wanted to take/grab their land; also they claimed to lose income, as the fertile mountain land is what they depend on for their survival. Another disagreement reported to occur was between villagers and

70

charcoal makers and loggers, and it was claimed that charcoal makers and timber makers were disagreeing on the size of land to be demarcated as VLFR, and this was revealed during the FGD.

Concerning the payment issue, two issues were raised, the amount set for the selected development projects and who was eligible to receive individual dividend. Issues on the amount set, which was 10% of individual dividend set for development activities, and was approved by the villages generals assemblies was claimed to be high, again this was revealed during the FGD. On the issue of who was eligible to receive REDD+ revenue, people claimed every legal residency of a village could receive the REDD+ money including children. But it was clear that they did set a limit of number of people per household, and the limit was only 5 people per household. So those having more than 5 people per household should share the allowed limit among themselves. And this issue created tension as those with high number of household members received less money per member than other villagers.

Despite the fact that local people did disagree on land reallocation and payments issues, with claims of losing income as the REDD+ project could alter livelihood strategies, there were no seriously reported conflicts to have occurred in all villages implementing the REDD+ pilot project, as all the disagreements were solved at meetings through giving more information on the importance of forest conservation and the potential benefit villages will get by accepting the REDD+ pilot project.

## 6.3.    Executing Organizations Evaluation of the Processes of Introducing REDD+

In this section of the thesis I will present how the executing organizations evaluate the processes involved during introducing the REDD+ pilot project. This section is divided into three parties, first will be that of TFCG/MJUMITA evaluation of the processes, the second part will be that of all villages councils and finally the VNRCs evaluation of the process will be presented. In this section the source of data are those from surveyed questionnaire as well as FGD with key informants gathered during the field trip.

### 6.3.1.  TFCG/MJUMITA Evaluation of the Processes of Introducing REDD+

In this section I will first present how the TFCG/MJUMITA as a REDD+ executing organization evaluates the change undertaken during the process of introducing the REDD+ pilot project. The focus will be what kind of relation is there with other actors in the project area, evaluation of

meetings and consultation and what challenges they faced during introducing REDD+ stage as well as currently challenges if any.

### 6.3.2. TFCG/MJUMITA Relation with Other Actors

The relationship between TFCG/MJUMITA and the Kilosa district council is very strong and positive regarding the establishment and implementation of the REDD+ pilot project. According to the TFCG/MJUMITA coordinator the good relation with the Kilosa district council at large, is due to the fact that from the early stages the Kilosa district council has welcomed them warmly as well as supporting them by allowing the whole forest department to team up with the TFCG/MJUMITA staff and form a *REDD+ facilitation team* which was the one mentioned earlier responsible for going to all villages selected by TFCG/MJUMITA, as their sample villages to implement the REDD+ pilot project. In return TFCG/MJUMITA has given and still supports financially the Kilosa district council to be used mainly as communication fund between the forest department and TFCG/MJUMITA on all matters concerning REDD+. Also they supplied computers to the Kilosa district to enhance efficiency working condition.

Concerning the relationship with villages implementing the REDD+ pilot project, it's also good and strong as from the first day of the visit, villages has shown a great interest in implementing the REDD+ pilot project. After providing education with emphasis on forest conservation and potential benefits their villages will get by accepting the REDD+ pilot project, all selected villages accepted to implement the REDD+ pilot project. The relationship between the villages and TFCG/MJUMITA has developed even further, as now all the implementing villages have more trust in the TFCG/MJUMITA staff, to the point they asked them to handle some of the individual dividend set aside as development fund, with the argument that if it will go through village councils, there is a big chance that it will be misused by their leaders, because some of their leaders are corrupt and the villagers fear to lose their money (Pima personal communication 2013). This seems surprising, but it can be true as it was evidenced that all the development projects proposed by villagers to be built by the portion of their dividend are completed under the supervision of the TFCG/MJUMITA staff, while we saw some uncompleted development projects e.g. classroom buildings, dispensaries etc. which were supervised by the Kilosa district with the help of the villages councils. We were told it has been more than five years since they started building them. Accordingly Pima insisted that nowadays villagers can call direct to the

TFCG/MJUMITA office in Kilosa town and tell their concerns about the projects, and if there is any misunderstandings TFCG/MJUMITA can make a quick arrangement to visit the village and clear all the misunderstandings. This seems to be a very ambitious way of keeping in touch with the villagers, but during FGDs with the VNRCs it was found that it is hardly done during the rain seasons as it's impossible to reach some villages at that time as their road conditions are really bad and inaccessible.

### 6.3.3. TFCG/MJUMITA's Evaluation of Meetings and Consultations

Before presenting TFCG/MJUMITA's evaluation of meetings and consultation, it is worth to mention again changes undertaken in the pilot project area during the introduction and implementation of the REDD+ pilot project. As mentioned earlier, changes include a shift in property regimes from the defacto open access to a communal property regime, changes in the use of the resource and also creation of new organizations. According to the TFCG/MJUMITA field coordinator, the changes occurred in the pilot project area were a must as Tanzania's laws through its forestry policy of 2002, requires establishment of a new regime before introducing any conservation project. And in the Kilosa district TFCG/MJUMITA introduced the PFM regime of the CBFM type, as this type of PFM regime allows villages to enter into contract with any actor, with shared right and responsibility. As Wilfred Pima said *"our strategies were to use the CBFM platform to introduce REDD+, as CBFM and REDD+ have almost similar goals namely to reduce deforestation rate and at the same time improve local people's livelihood" (Pima personal communication 2013).*

Concerning the process which led to the changes mentioned above, as mentioned earlier the processes included meetings and consultations at the district level and the village level. According to the TFCG/MJUMITA these processes were well accepted by other actors involved, although at some villages it was hard to introduce the REDD+ pilot project, as there were some disagreements between mountain villagers and low land villagers when they were required to move so that VLFR could be established. Also some charcoal and timber traders were trying to mislead fellow villagers that their village land will be taken forever by TFCG/MJUMITA, so they should not accept the project. But later on, after educating them more on the importance of conserving their forests and potential benefit they will receive by accepting the REDD+ project, at the end all the selected villages finally did agree to implement the REDD+ pilot project.

Also the strategy TFCG/MJUMTA used of starting introducing the REDD+ in the sub-village level helped much in providing a solid ground for the REDD+ project to be easy accepted and approved at the village general assembly. And Wilfred Pima feels that information offered at meetings and consultations were understood by many villagers, as most of the REDD+ projects goals sets are achieved; *including the establishment of VLFRs, improved in the forests conditions which were badly degraded before the implementation of the REDD+ and villages has already received some money as trial payment after showing a substantial reduction in carbon emissions.* This is because many local people in the sub-villages and villages level knows what to be done concerning the REDD+ pilot project, despite some illegal activities by some villagers, especially the charcoal and timber traders (Pima personal communication 2013).

### 6.3.4. Challenges TFCG/MJUMITA Faced when Introducing the REDD+ Pilot Project

Although there seems to be a very good relationship between the TFCG/MJUMITA with the Kilosa district and villages councils implementing the REDD+ pilot project, there were some challenges during the process of introducing REDD+. According to the TFCG/MJUMITA field coordinator the main challenge was the wrong assumption that the REDD+ pilot project was there to take the village's land, and this even caused TFCG/MJUMITA to revisit some villages including Dodoma Isanga in which even our visit was not easy as villagers wanted to be paid money before we could interview them, but after given them some money we managed to get information from them. But after getting more information about the REDD+ from the TFCG/MJUMITA the Dodoma Isanga village did finally accept to implement the REDD+ pilot project (TFCG/MJUMITA 2013).

The other challenge TFCG/MJUMITA faced was the bureaucracy of the Tanzanian system of handling land certificate, as it takes so much time from when someone applies and until one gets it. This challenge is still going on as they haven't got those certificates to handle them to all the implementing villages.

### 6.4. Village's Council's Evaluation of the Processes of Introducing REDD+

The village council is - as previously mentioned - the executive body of the village government and is elected by the village general assembly. Also as mentioned earlier, the villages' councils of all villages implementing the REDD+ pilot project, were the first to be informed by TFCG/MJUMITA staff about REDD+. In this case study, all the villages chairpersons were

among the key informants. All villages' chairpersons were interviewed to get their views on the processes involved during introducing REDD+ pilot project. This included their views on the relation with TFCG/MJUMITA, if all villages' members included women, youth participated in REDD+ processes, if land use plan had left enough land for other activities, if REDD+ process had resulted in conflicts and if communities members were following REDD+ rules.

Concerning the issues of relation between the villages' councils' and TFCG/MJUMITA, all the chairpersons of the five villages studied seem to agrees that the relation is good and having a very reliable interaction concerning issues of REDD+. Various reasons were given to justify this, including the change undertaken helped in the improvement of the forest which was in a bad condition before the introduction and implementation of the REDD+ pilot project. As results of implementing the REDD+ pilot project, villages has got new office buildings as well as occasional good governance workshop organized by TFCG/MJUMITA. It's important to mention again here that it is surprising to see that all five villages chose only the office building as their development project, which seems illogical. A question to be asked here is why only the office project and not other projects? Was there a power game here? Did leaders use their hidden power to persuade villagers to accept office project? Or it was persuasion from TFCG/MJUMITA so that, they could have a safe place to open land register, as most of villages hadn't proper offices for that?

Also concerning the issue of the village members, especially women' and youth' participation in the REDD+ processes, it was clear that all village members had equal chance of participating in the REDD+ processes. All of the village chairpersons were seating villages by-laws on who is eligible resident to participate in sub-villages and villages general assemblies, and it was explicitly mentioned that anyone above 18 years were free to participate in the REDD+ processes. It was noted that men turn-up in the REDD+ meetings and consultations were always larger than that of women. This also complies with our findings during the survey.

Concerning the issue of land planning, village councils appreciated the fact that their land was now planned, and now every activity to be done in the village had a more specific area than before, where villagers decided on area for activity based on conveniently of the matter in hand. The accomplishment of the land use plans makes it easy for village councils to plan for the future development activities/projects with accuracy, as there will be no overlaps with residency area and other use zones. Although the Dodoma Isanga chairperson claimed that land set for VLFR was

big, this has resulted into other villagers to leave the village to find land for agriculture. This can be understandable, as the Dodoma Isanga has previous experienced land dispute after an Arab investor crapped huge land for sisal plantation, and this issue is still in court. This can also justify why TFCG/MJUMITA met resistance from Dodoma Isanga villagers at the beginning, when they were introducing the REDD+ pilot project, as villagers assumed TFCG/MJUMITA were there to take their land as the Arab investor did.

Concerning the issue if the REDD+ process has resulted in conflicts and if community members are following REDD+ rules, it was clear that there were some disagreements among villagers themselves, especially the mountain villagers, charcoal makers and loggers, about where the VLFRs should be established and the size of it, to pave a way for the REDD+ pilot project. But as already mentioned earlier, all emerging disagreements were solved at the villages' general assemblies, and this comply with findings from all the chairpersons in all the studied villages claiming that all disagreements were solved, and the villagers themselves without force did accept to implement the REDD+ project. It's important to note that it was hard to tell what was reported to occur, were they really conflicts or simple disagreements, as most disagreements/conflicts seemed to have been solved at the same time it occurred and all villagers agreed. But a big question to ask here will be why some villagers didn't follow all the REDD+ agreed rules? And why were there still some illegal activities going on especially charcoal making and illegal logging? These were some of surprising responses we got from all of the villages' chairpersons, that it is impossible to have all villagers as good residents, as always there are bad villagers, especially those who are in the charcoal and timber business, whom can risk to be caught practicing illegal activities, as there is big money in charcoal and timber business. This also comply with the response of the TFCG/MJUMITA's field coordinator, that still in almost all villages charcoal and illegal loggers are their main challenges for the REDD+ pilot project.

### 6.5. VNRCs' Evaluation of the Processes of Introducing REDD+

The VNRCs, as has been emphasized earlier, is the new administrative body elected by the village general assembly to be responsible for all the matters concerning the REDD+ pilot project at the village level. Among its functions is giving permits for forest access concerning uses of various products including timbers, poles, medicinal plants harvests etc. and making occasional patrol to the forest. Information given here is from the FGD with members of all the five studied villages'

VNRCs. The main focal point were issues like, how is the relation between VNRCs and TFCG, if the REDD+ process has been open, free and communities were well informed, and if the REDD+ processes has resulted into conflicts.

The relation between VNRCs and TFCG was reported to be good and strong. Reasons given in support for this included TFCG/MJUMITA since the introduction of the REDD+ pilot project has conducted workshops to all members of VNRCs in their villages and occasionally calling them to Kilosa town. The main themes on those workshops were mainly focusing on the importance of forest conservation, how to prepare reports, and some training in measuring tree canopy especially during the trial payment processes. Again VNRCs members claim that they have more trust in TFCG/MJUMITA staff than their villages councils as almost everything TFCG/MJUMITA promised to deliver, they already delivered to their villages, seating examples of accomplishment of the village office project and payment for conserving forests.  Although they claim that the amount they have received is small, but it is better than nothing, and they also see that their forests are improving, and they are so optimistic on the prosperous future, as rainfall will increase so as their agriculture productivity will increase. Also concerning why they trust TFCG/MJUMITA, is the fact that some of their villages' chairpersons have previously misused project money. The issue of payment amount and corrupt leaders comply with those of respondents views; again it's worth to mention that during discussions, that most of members of VNRCs seems not to know exactly that the amount their villages received was just a trial payment, and there is a big chance that maybe their village's will never receive any more money from TFCG/MJUMITA.

Concerning the issue if the REDD+ process has been open, free and communities were well informed, it was clear from responses of members of all VNRCs that indeed the REDD+ process was open, free and communities were well informed about the REDD+ pilot project. Various reasons were given to support their responses including that villagers during the REDD+ meetings were allowed to ask questions, villagers were free to say no/yes to accept the REDD+ pilot project, and all by-laws were approved by the villages' general assemblies. They also insisted that all asked questions at sub-village and village general assemblies were answered by TFCG/MJUMITA's staff, and also they claimed that the majority of their villagers agreed to implement the REDD+ pilot project. These findings comply with those from surveyed questionnaire whereby the majority

of respondents responded by saying the REDD+ meetings were open and most of raised questions were answered by TFCG/MJUMITA.

Concerning the issue if the REDD+ processes has resulted into conflicts, members of the VNRCs indeed confirmed that there were occurrence of disagreement, between low land villagers vs. mountainous villagers, TFCG/MJUMITA Vs villagers and also village Vs village. Conflicts were referred to mostly as disagreement and avoiding the word conflict, and they were all resolved after extensive discussions between the parties involved. Although it seemed that everything was ok in all the studied villages, but the issue of payment amount was again mention by members of all VNRCs to be small, also they did mentioned that there are some occurrences of illegal activities in the VLFRs; especially charcoal making and illegal logging.

## 7. Discussions

*This chapter includes a discussion based on the theories presented in chapter 3 to categorize the processes of introducing REDD+ in the Kilosa district. The first part will be that of institutional and organizational changes followed by participation. Findings from chapter 5 and 6 will be also discussed throughout this chapter.*

It's important again to mention that the process of introducing REDD+ pilot project was done through meetings and consultations, at the district, villages' councils, sub-villages' and villages' general assembly. However it's essential to mention that the processes at the village general assembly are the main ones, as it is where the decision to accept and implement the REDD+ pilot project was made by villagers. It's important again to present the modified framework used in this case study for analyzing institutional and organizational changes as a result of introducing the REDD+ pilot project in the Kilosa district.

The processes of introducing the REDD+ pilot project in the Kilosa district started when TFCG/MJUMITA recognized the need of involving other actors, namely the Kilosa district council and villages councils of all the villages implementing the REDD+ pilot project now. Although the REDD+ pilot project was a TFCG/MJUMITA responsibility at the beginning, but after the other actors accepted it, the REDD+ pilot project has become a Kilosa thing as its introduction has resulted into both institutional and organizational changes as described in Figure 16.

**Governance structure- A**

- **Political actors (t$_1$)** district council and village council

- **Economic actors (t$_1$)** district council and village council

- **Institutions governing the policy process: constitutions and collectives choices rules (t$_1$)** district council and village council

- **Resource regimes: institutions governing access to resource and interaction between economic actors (t$_1$)** de-facto open access regime

**Governance structure B**

- **Political actors (t$_2$)** ~~district council, village council,~~ VNRC and REDD+ revenue sharing committee, REDD+ facilitation team

- **Economic actors (t$_2$)** ~~district council, village council,~~ TFCG/MJUMITA and IGA groups.

- **Institutions governing the policy process: constitutions and collectives choices rules (t$_2$)** ~~district council, village council,~~ VNRC and REDD+ revenue sharing committee

- **Resource regimes: institutions governing access to resource and interaction between economic actors (t$_2$)** communal regime with by-laws

**EXTERNAL INFLUENCE**

**REDD+ pilot project**

**Input situation**

**CASE**

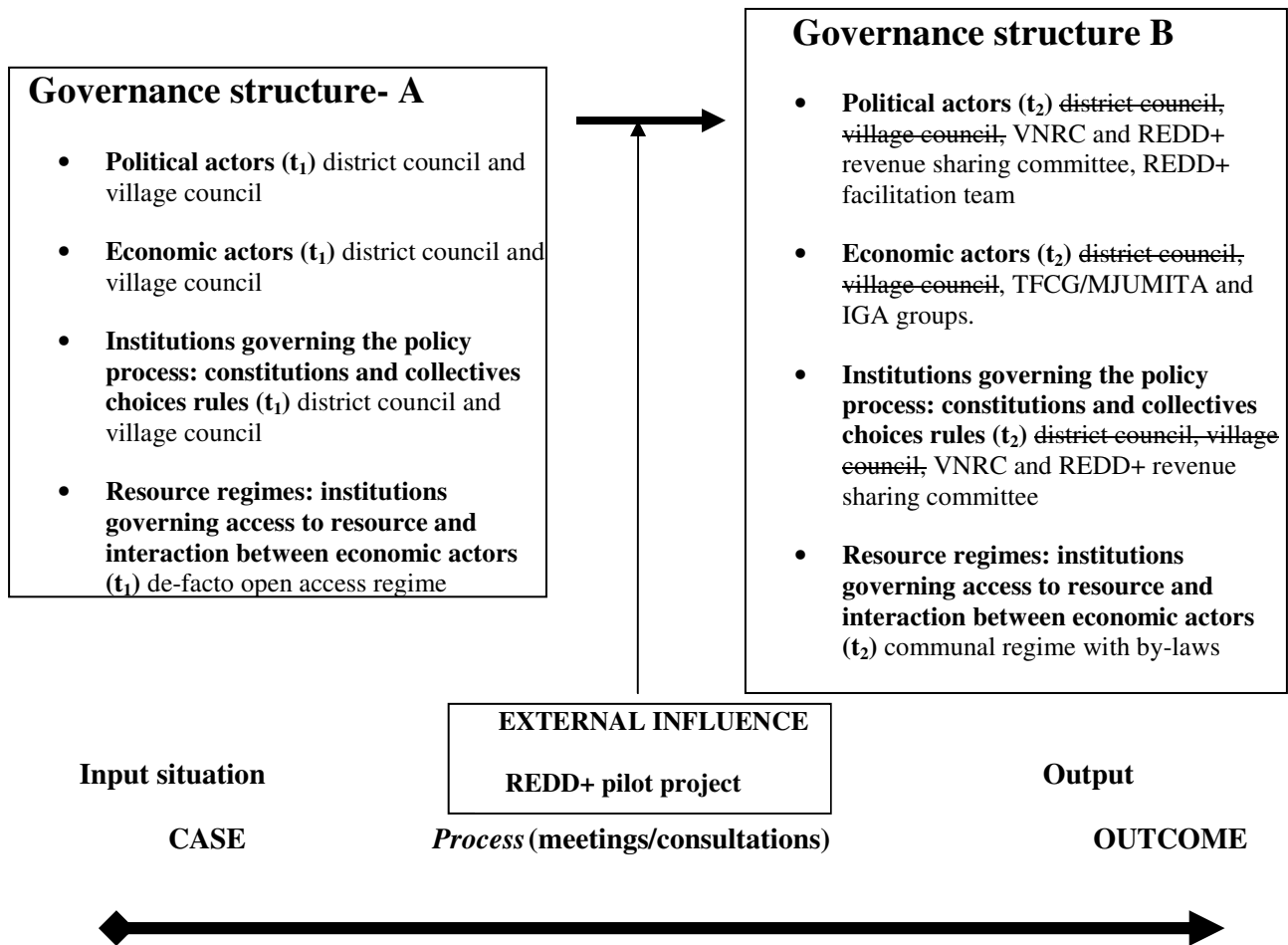*Process* **(meetings/consultations)**

**Output**

**OUTCOME**

Figure 16. Changes in the governance structure

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[7] t$_1$ is situation before REDD+ has come to Kilosa district

[8] t$_2$ is situation after the introduction of REDD+ in Kilosa district

## 7.1. Institutions and Institutional Change

As it's seen in Figure 16, the processes of introducing the REDD+ pilot project has resulted in change of institutions at the Kilosa district, and the establishment of the VLFRs has resulted into change of institutions governing access to resource, from defacto open access resource regime to communal access resource regime.

The establishments of the VLFRs by all villages to pave way for implementation of the REDD+ pilot project, was the start of institutional change, whereby now the access to resource is under certain rules, than before as how respondents have mentioned in previous chapters. The introduction of the REDD+ pilot project, after the establishment of VLFRs again marks the introduction of a new institution governing access to the resource. We have observed that the establishment of the VLFRs in all village currently implementing the REDD+ pilot project, has resulted in new conventions, norms and legal rules for the use of forest resource in the Kilosa district.

In this case study the establishment of VLFRs can be categorized foremost as "institution as legal rules". This categorization is due to the fact that TFCG/MJUMITA and all villages implementing the REDD+ pilot project did enter into formal contract toward conservation of the forest. The signed contract did have formal legal rules, in here referred to as REDD+ by-laws, to protect the established VLFRs in a situation where the new conventions and norms will not be followed by the parties, especially the norms' side, as the misconduct of norms can result into sanctions as prescribed in the agreed formalized rules, here the REDD+ by-laws. Although when norms are fully internalized, there is no need to sanction norms. The establishment of the VLFRs in Kilosa has influenced how things should be (convention of the forest) and how things should be done (norms of conserving the forest) concerning the use of the forest resource as well as other economical activities. For example now according to the new rules, access to the forest is only possible with a permit from the VNRCs, contrally to that, a formal sanction will be given to an offender as prescribed in the established legal rules. Again it's important to mention here that although there was only one institutional change happened in the Kilosa district, it resulted in formation of many organizations responsible for executing the REDD+ pilot project namely; the

REDD+ facilitation team, VNRCs, income generating groups and the REDD+ revenue sharing committee.

As emphasized in Chapter 3, institutional change can be divided in four categories; spontaneous institutional change; this is non-intentional changes, the second type is what he referred to as designed institutional changes; a change here is intentional change aiming to increase efficiency at minimal transaction cost. The third type is institutional change in responds to interests, values, and/or power, and the last type is institutional change as a reaction to crises. The institutional change that has happened in the Kilosa district can be categorized as "*designed institutional changes*", and this is because the introduction of REDD+ was intentionally designed to change how the local people should access the forest resource, with intention of reducing deforestation rate at very minimal cost. Also it's a designed institutional change as it has resulted in the establishing of a new property regime of communal regime as well as formation of legal rules to protect interests designed to be achieved. And in case of the REDD+ pilot project, the interests to be achieved were to reduce forest degradation and improve local people's livelihood by offering alternatives means of livelihood.

It's very important to note that although the idea of REDD+ was internationally created as we saw in the evolution of REDD+, with the main goals of reducing carbon emissions through forest conservation, and at the same time improving the local people's livelihood. At the state level, countries around the world including the Tanzania government, the decision to endorsing the REDD+ ideas was based on individual countries. But at the Kilosa district level the decision to accept and implement the REDD+ pilot project was a collective one through the villages' councils of all the studied villages. The establishment of the new organization especially the VNRCs is related to the concept of participatory management of natural resource, so that local people could feel to have control of the REDD+ pilot project, and finally they could fully internalize the REDD+ norms (of conserving forests, by reducing forests degradation and use of alternative livelihood strategies e.g. beekeeping, chicken rearing, loan and saving association) so that sanctions will not be necessary as norms will be fully internalized by the local people.

### 7.2. Participation and Process Legitimacy

Participation of local communities in various environmental projects has been much questioned, including in what form and to what extent should they be involved before one can conclude that

the local people did participate. The argument is that the more the local people are involved, the more the local people will feel the ownership of a particular project, and sabotage of projects will be minimized.  As mentioned earlier this resulted into a prerequisite exercise of FPIC to be done before any environmental project is implemented at the community level.

The conceptualization and formulation of the REDD+ idea from international level can be seen as a top-down one. This is so because of the fact that local people were not involved from the beginning, including how REDD+ should be done and where it should be implemented. The idea of REDD+ was mainly developed by scientist, and next supported by the international political level. Next, we now observe that action on the ground is mainly facilitated by NGOs consulting local communities by telling what is REDD+, how it should be done, and the potential benefit the local people could get by accepting to implement it. This is what exactly was seen and found in the Kilosa district during the introduction and implementation of the REDD+ pilot project by TFCG/MJUMITA. It was evidenced that local people in the Kilosa district did participate considerably during the introduction and implementation of the REDD+ pilot project. But some questions can still be raised here; about the ways the local people were involved, as well as the flow of information. Although local people were involved as findings have showed, they were simply listeners and passive actors, as they were simply told what they were supposed to do concerning the REDD+ pilot project, and this includes how they should plan their land as prescribed under the PFM guidelines. Again it's important to note that the PFM guidelines were formulated as a top-down approach in Tanzania, so local people had no say on them, only the professionals. This also includes how the VNRCs should be established and their responsibility and even the formulation of the by-laws are all guided under the PFM guidelines. In simplicity the inclusion of local people in the Kilosa district during the introduction of the REDD+ pilot project was done to just fulfill a requirement of FPIC, but not a real, a genuine inclusion of the local people's views and needs. Both the REDD+ regime and the PFM platform used to introduce the REDD+ regime in Tanzania have been formulated based in top-down approach, with the assumption that scientists know best how should the local communities use their forest sustainably.

Concerning the flow of information, again it was evidenced that it was mainly one way system. The local people were fed as much information from the TFCG/MJUMITA as possible to understand what is REDD+ and how should it be implemented in their land. Although the

processes (meetings and consultations at sub-village and village general assembly) did give the local people an option to accept or reject the REDD+ pilot project, that can't justify inclusion of their views. As findings showed that local people didn't offer even proposals on the content, maybe they didn't understand it really well. Also the local people had only one main source of information, that was the TFCG/MJUMITA about the REDD+ pilot project, so whatever was given by the source was the only information they could use on making the decision to accept the REDD+ pilot project. While people actually seemed to be happy with the introduction of REDD+, there are some issues that warrant careful attention, while my data only shed some 'weak light' on them. First one could ask if people were as free to choose as it look like. And this is problematic as the source (TFCG/MJUMITA) is possible to just focus on the good side of the REDD+ pilot project and not telling the real implications of it, including loosing income as well as changing in livelihood strategies.

As we saw, there is an issue on the amount paid so far, it was clear during the FGDs, many local people were complaining about the paid amount to be small. So when they were asking when they would receive another amount, many respondents were showing confusions, and they didn't know that the payment they got was just a trial payment. So it's clear that people were not told that the payment would only be as a trial payment for the time being, and so it would never cover opportunity cost. Again this is an interesting issue; maybe if they were told the money they would get is only trial payment, they might never accept to implement the REDD+ pilot project. Maybe that's why there are still illegal activities, especially charcoal and timber making, as it have being mentioned earlier, maybe the local people are doing that to compensate for their lost income, as the resulted of limited access to the forest.

According to the above explanations the participation of the local people during the processes of introducing and implementing the REDD+ pilot project, can be categorized as professional-guided participatory approach. This is because Inoue's Professional–guided participatory approach is a relatively flexible blueprint approach where drafts of plans are made by professionals and further examined by the residents and citizens and are modified through discussions, workshop etc. This is exactly what happened during the introduction of the REDD+ pilot project in the Kilosa district, as drafts of plans about the REDD+ were made by professionals (here TFCG/MJUMITA). This was done when TFCG/MJUMITA wrote ad won their proposal to the Norwegian embassy. Then the

local people were just told by the professionals (TFCG/MJUMITA) how the REDD+ pilot project should be done, by giving the local people a choice of either accepting or rejecting the REDD+ pilot project to be implemented in their village's land. Also this type of local participation, according to Inoue, it comprises the functional participation and interactive participation of Pretty (1995) categorizes of the local people participations in projects. According to Pretty *functional participation* can be seen when people participate by forming groups to meet predetermined objectives relative to the project, which can involve the development or promotion of externally initiated social organizations. Involvement does not tend to be at early stages, but after major decision have been made; these institutions tend to be dependent on external initiators and facilitators, but may become independent. According to this definition the introduction of the REDD+ pilot project in the Kilosa district had some elements similar to functional participation as; the local people participated to meet the predetermined objectives relative to the REDD+ project, and that is to reduce forest degradation and improve local livelihood. The involvement of the local people was not at an early stage when TFCG/MJUMITA were writing proposal, but later after the Norwegian embassy had approved fund to TFCG/MJUMITA. According to the definition from Pretty (1995) this is what can be seen as a major decision that was made here, as without approval of the proposal and fund granting, the local people could not be involved. Finally the new formed institutions and organizations still depend on external initiators (the TFCG/MJUMITA), but they are optimistic that one day they will be independent.

Again according to Pretty (1995), *interactive participation* can be seen when; people participate in joint analysis, which leads to action plans and formation of new local institutions or the strengthening of old ones. It tends to involve interdisciplinary methodologies that seek multiple perspectives, and make use of systematic and structured learning processes. These groups take control over local decisions so people have a stake in maintaining structures or practices. From this perceptive again the introduction of the REDD+ pilot project had some characteristics as interactive participation; as local people did participate in formation of the new institutions, and local people did take control of the decisions to accept implementing the REDD+ pilot project and again they have stake in maintaining the structures through their new organizations both the IGA-group and the VNRCs.

As the findings showed all the executing organizations; the TFCG/MJUMITA, VNRCs and villages councils, concurred with respondents responses on the existence of some illegal activities, especially logging as well as charcoal making. The question is why people still practicing illegal activities despite their positive opinions on the REDD+ and good knowledge of the REDD+ established rules. As findings did show that majority of respondents 72% and 22% respectively had both positive and very positive opinions about the REDD+ project. And again local people's knowledge on the established REDD+ rules was considerably high, as findings showed that 46% of respondents knew few of the REDD+ rules, 42% of respondents knew most of the rules, 11% of the respondents knew all the rules and only 1% of respondents didn't know any of the established rules. So why are still illegal activities an issue? To understand this, one need to understand the concept of legitimacy, in this case study the concept of legitimacy that will be discussed by using Bäckstrand's (2006) definition of legitimacy.

To repeat, legitimacy has according to Bäckstrand been defined as; the overall quality of the social order – the institutions, norms and rules rather than actors. In this definition legitimacy has a procedural logic which says that rules are predictable and determined by legitimate actors and consequential logic; that rules and institutions lead to a collective problem solving (Bäckstrand 2006). According to Bäckstrand legitimacy can be categorized into Input legitimacy (procedural logic) and output legitimacy (consequential logic).

Input legitimacy focus more on the procedural demands such as balanced representation of different stakeholder, transparency, access, information sharing and accountability and reporting mechanism (Bäckstrand 2006). Looking at the introduction of the REDD+ pilot project, one can question if it stands up to the demands of input legitimacy as there are many issues as the findings showed were not done in sequential style, such as; the involvement of key stakeholders was done at last stage, especially the Kilosa district which was the core stakeholder and access and information sharing was based in one source; the TFCG/MJUMITA source. Again as mentioned above, the participation of the local people had many elements of a top-down approach, as local people had only the option of accepting or rejecting the REDD+ pilot project and not really the chance to contribute with their views. So the input legitimacy was hardly achieved, as the local people of the Kilosa district were not involved from the start of the project proposal writing and

further as their decision to accept the REDD+ pilot project was only done based on one source of information (the TFCG/MJUMITA), which as findings showed they didn't even tell the villagers clearly that the benefits (payment) will only be a trial payment for the time being.

Concerning output legitimacy which focuses if set rules and institutions lead to a collective problem solving, this leads the discussion into efficiency of the new formed institutions and the actors' interaction toward reducing forest degradation. The efficiency/outcome was not the aim of this case study, but as it has been evidenced from the findings illegal activities are still going on and the local people are still complaining about the amount paid. The whole output legitimacy of the REDD+ pilot project, with its goals of reducing emissions through reducing forest degradation and improving local people's livelihood, will not be achieved if illegal activities will continue in the Kilosa district.

## 8. Conclusion

*It is important again to mention the objectives of the thesis which were; to identify processes that have been initiated to create new institutions and organizations in the process of introducing and implementing REDD+ in Kilosa. To analyze how local communities evaluate the process involved in the introduction and implementation of REDD+ in Kilosa, including an evaluation of whether it was based on free, prior and informed consent. And to analyze how the implementing organizations - NGOs, public authorities, community organizations - evaluate the changes undertaken and the process involved during introduction of REDD+*

*Again the actors that were involved during the processes of introducing and implementing the REDD+ pilot project in the Kilosa district. The main actors involved during the early stage (project proposal writing) were the Norwegian embassy and TFCG/MJUMITA, and at the later stage (introduction at the lower level) the main actors were TFCG/MJUMITA, Kilosa district council and Villages' Councils of all selected villages.*

The main processes used were meetings and consultations held at the Kilosa district level, villages councils level, sub-villages level and finally at the villages' general assemblies of all the selected villages. During these meetings and consultations, TFGC/MJUMITA explained the REDD+ pilot project, what it means, how it will be done and the potential benefits that the villages will get by accepting to implement the REDD+ pilot project. The local people were allowed to ask as many as they wanted questions concerning the REDD+ pilot project, and surprisingly all questions seemed to be answered by the TFCG/MJUMITA and every village accepted to implement the REDD+ pilot project in the end. However as findings did show, that local people did offer some proposals on how the REDD+ pilot project should be organized, and despite respondents having positive opinions toward REDD+ and good knowledge of REDD+ rules. One could still ask why there still are some illegal activities.

The introduction of the REDD+ pilot project in the Kilosa district resulted in a new institution and organizations which was categorized as designed institutional change and as well as institution as legal rules. It was designed institutional change due to the fact that the creation of the REDD+ concept itself was intentional done to change how the local people can use the forest resource by reducing deforestation rate so that carbon emissions can be reduced. Again it was institutions as legal rules due to fact that a contract was entered between TFCG/MJUMITA and all the

implementing villages, specifying rules/sanctions toward protection of the new established VLFRs and improvement of the local people's livelihood. Also we saw the introduction of the REDD+ pilot project did come with creation of new organizations, and these organizations were mainly created spontaneously to make local communities feel to have control of the REDD+ pilot project. Maybe later the local people can internalize completely the REDD+ conventions/norms.

Also the introduction of the REDD+ pilot project resulted in some disagreements/conflicts, but all of them were resolved by villagers themselves, after TFCG/MJUMITA's staff gave more information and emphases on the importance of forest conservation and potential benefits to villagers by accepting the REDD+ pilot project at the same meetings and consultations. The main reasons which led to emergence of these conflict included the reallocation of mountain villagers, what size of the villages' land could be set as the REDD+ forests and the wrong assumption that TFCG/MJUMITA where there to take villages' land.

The participation of the local people during the introduction of the REDD+ pilot project in the Kilosa district, had many elements of a top-down approach, as the initial process of REDD+ project didn't involve the local communities that are the actual actors for REDD+. So the participation was categorized as professional guided participation approach, which according to Inoue (1998) is a combination between functional participation and interactive participation of Pretty (1995) categorization of participation. Again the input legitimacy of the processes was not achieved as local communities were not involved in a manner that their views could be in cooperated in the REDD+ pilot project, as the only chance they had was either to accept the REDD+ pilot project or reject it, but not to change. The output legitimacy focuses on the outcomes of collective problem solving. All the executing organizations and local people repeatedly mentioned the existence of illegal activities.  This means if the output legitimacy would be achieved, as the goal is to reduce forest degradation and improve local people's livelihood, then illegal charcoaling and illegal logging should be stopped.

Again findings showed that the executing organizations;  TFCG/MJUMITA, villages councils and Village natural resource communities of all studied are satisfied with the processes involved and the development so far of the REDD+. But they are all worried if the goals set to be achieved will be reached, due to existence of illegal activities, especially illegal charcoaling and illegal timbering.

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From these findings it is very clear that it's hard to really change conventions and norms of people in very short time as the REDD+ pilot project wanted to do in the Kilosa district, without introducing legal rules. This means that legitimate actors are required to be involved in an early stage of a project, so that the rules formulated can be legitimate in the eyes of local people. The approach used, based on institutional changes, participation and process legitimacy, were so important to this study, that I conclude that only legitimate actors and involving the local people at early stage, can form legitimate conventions, norms and legal rules for any project.

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# Appendix 1

**Evaluation of the process of introducing REDD+, Kilosa Tanzania**

Questionnaire No._____

A.  Basic information

A:I. Interview

| Village: | Questionnaire number: |
|---|---|
| Place of interview: | Name of interviewer: |
| Starting time: | Finishing time: |
| Date: | |

## A.II. Interviewee

1. Sex of respondent (Tick the box in accordance with the given answer. Do so the whole way through when responses are organized in boxes like below)

| 0=Male | 1=Female |
|---|---|
| | |

2. Age of respondent: _____years

3. Education (Number of years in school)_____years

4. Marital status

| 1.Single | 2.Married | 3.Divorced | 4.Separated | 5. Widowed | 6.Cohabiting |
|---|---|---|---|---|---|
| | | | | | |

5. Main occupation: *(multiple answer)*Where (A) corresponds to the main occupation and increasing letters in order of importance.

| 1.Agriculture | 2.Forestry | 3.Hunting | 4.Fishing | 5.Other |
|---|---|---|---|---|
| | | | | |

If 1-4, GO TO 6

If others Please specify:_____

6. Number of family members_____

7. House roofing type?

| 1= iron sheet | 2=mat/leaves |
|---|---|
|  |  |

8. Housing contract

| 1.Owner | 2.Tenant | 3.Not owner but exclusive use rights |
|---|---|---|
|  |  |  |

9. Size of agricultural land used by the household_____(Specify measuring unit)

**B. General knowledge and views on the project**

1. Have you heard about the REDD+ project launched in your area?

| 0=No | 1=Yes |
|---|---|
|  |  |

If No, TERMINATE the interview

2. What is the project about?

_____
_____
_____
___

3. Who (which organization) is responsible for the project?

_____
_

(If they do not say TFCG, inform that this is the responsible organization and remember to ask/inform later if you are uncertain which organization they refer to)

4. Did you know about this organization before the REDD+ project was introduced?

| 0=No | 1=Yes |
|------|-------|
|      |       |

If No GO TO question 6

5. If you knew the organization (TFCG), explain your previous attitude towards it:
_____
_____
_____

5.a. How do you then summarize your previous attitude:

| 1. Very negative | 2. Negative | 3. Indifferent | 4. Positive | 5. Very positive |
|------------------|-------------|----------------|-------------|------------------|
|                  |             |                |             |                  |

6. Who else are involved in the REDD+ project (tick all relevant boxes)

| 1.village government | 2.District council | 3.Central Government | 4.Foreign governments | 5.Other NGOs |
|----------------------|--------------------|---------------------|-----------------------|--------------|
|                      |                    |                     |                       |              |

7. Do you know who is paying for the project? (If they do not know write 'Do not know'? Otherwise write down the name(s) they propose)

_____

8. What is your opinion about the REDD project?

| 1. Very negative | 2. Negative | 3. Indifferent | 4. Positive | 5. Very positive |
|------------------|-------------|----------------|-------------|------------------|
|                  |             |                |             |                  |

8a. Explain your answer
_____
_____
_____

8.1 In your opinion, what is the attitude of the public authorities regarding the project?

| 1. Very negative | 2. Negative | 3. Indifferent | 4. Positive | 5. Very positive |
|------------------|-------------|----------------|-------------|------------------|
|                  |             |                |             |                  |

9. Evaluate the way TFCG has implemented the REDD+ project:

| 1. Very bad | 2. Bad | 3. Indifferent | 4. Good | 5. Very good |
|---|---|---|---|---|
|  |  |  |  |  |

9.a. Explain your answer

_____
_____
_____

**C.The Free Prior and Informed Consent (FPIC) process**

**C. I  Participation in meetings**

1. Your village has decided to join the REDD+ project. Three meetings were organized before the village decided to participate. Did you or any of your family members attend any of these meetings?

The introductory meeting:

| 0=No | 1=Yes |
|---|---|
|  |  |

Specify who attended_____

The sub-village meeting

| 0=No | 1=Yes |
|---|---|
|  |  |

Specify who attended_____

The village assembly meeting

| 0=No | 1=Yes |
|---|---|
|  |  |

Specifywhoattended_____

*If the respondent did not attend any meetings, GO TO 16 (in this section C)*

2. Were these meetings held at a time and place where it was easy for you to attend (outside peak agricultural seasons, no other obstacles etc.)?

| 0=No | 1=Yes |
|------|-------|
|      |       |

2a.Explain_____
_____
_____

3. What is your overall impression of these meetings?

| 1. Very bad | 2. Bad | 3. Satisfactory | 4. Good | 5. Very good |
|-------------|--------|-----------------|---------|--------------|
|             |        |                 |         |              |

   3a. How do you then summarize your overall impression of these meetings?


_____
_____


## C. II   Information

4. Do you feel that the information offered at the meeting was clear and sufficient for village members to decide whether to participate in REDD or not?

| 1. Information was very poor | 2. Information was poor | 3. Information was satisfactory | 4. Information was good | 5. Information was very good |
|-------------|--------|-----------------|---------|--------------|
|             |        |                 |         |              |

   If answering 4 or 5 GO TO 4a
   If answering 1 or 2 GO TO 4b

   4a.If information was good or very good, explain

_____
_____
_____
___

GO TO 5

   4b.If information was poor/very poor, what do you think was the main problem(s)?

_____
_____
_____
__

5. Who was the most important source of information?

| 1. TFCG/MJUMITA | 2. Other villagers | 3. Public officers | 4. Others |
|---|---|---|---|
|  |  |  |  |

      If 1-3, GO TO question 6

      If 4,GO TO 5a

    5a. What were the(se) other sources: _____

6. Did you have access to information from any independent sources?

| 0=No | 1=Yes |
|---|---|
|  |  |

     If No, GO TO question 7

   6a. What were these independent information sources?

_____
_____
_____

7. Did you yourself search for independent information about REDD+?

| 0=No | 1=Yes |
|---|---|
|  |  |

     If No, GO TO question 8

   7a. What source(s) was (were) this?

_____
_____
_____

   7b. Did these sources influence your attitude to the REDD+ project? If so, in what way?

_____
_____

_____
_____

### C. III  Discussions

8. Did villagers participate actively in asking questions at the meetings?

| 1. Not at all | 2. A few questions | 3. Many questions |
|---|---|---|
|  |  |  |

9. How were these questions handled at the meetings?

| 1. Not discussed | 2.Briefly discussed | 3.Discussed quite a lot | 4.Extensive discussions |
|---|---|---|---|
|  |  |  |  |

10. Do you consider the meetings to be open to villager's views?

| 1. Not open at all | 2. Somewhat open | 3. Very open |
|---|---|---|
|  |  |  |

   10a. Explain your answer

_____
_____
_____
_____

11. Did villagers offer proposals at the meeting concerning the way the REDD+ project **should be organized**?

| 1. No | 2. A few | 3. Many |
|---|---|---|

| proposals | proposals | proposals |
|-----------|-----------|-----------|
|           |           |           |

If 1, GO TO question 13

12. Were any of these proposals taken into account by the REDD+ project responsible?

| 0=No | 1=Yes |
|------|-------|
|      |       |

If No, GO TO question 12b.

12a. What do you consider to be the most important proposal(s) taken into account concerning the    way the REDD+ project **should be organized**?

_____
_____
_____
___

12b. What do you consider to be the most important proposal(s) **not** taken into account concerning the way the REDD+ project **should be organized – if there were any**?

_____
_____
_____
__

13. 1Did villagers offer proposals at the meeting concerning the **content of the REDD+ project**?

| 1. No proposals | 2. A few proposals | 3. Many proposals |
|-----------------|--------------------|--------------------|
|                 |                    |                    |

If 1, GO TO question 15

14. 1 Were any of these proposals taken into account by the REDD+ project responsible?

| 0=No | 1=Yes |
|------|-------|
|      |       |

If No, GO TO question 14b.

14a. 1 What do you consider to be the most important proposal(s) taken into account concerning the **content of the REDD+ project**?

_____
_____
_____
___

14b.1  What do you consider to be the most important proposal(s) **not** taken into account concerning the **content of the REDD+ project – if any such proposals**?

_____
_____
_____
___

15. Was there any disagreement at the meetings you attended?

| 0=No | 1=Yes |
|------|-------|
|      |       |

   If No, GO TO question 16

15a. What was this disagreement(s) about?

_____
_____
_____
_____
____

15b. Who was the disagreement between?

_____
_____
__

*(Be especially aware if the disagreement(s) was between villagers themselves or between villagers and TFCG/MJUMITA)*

15c. Was the disagreement resolved?

| 0=No | 1=Yes |
|------|-------|
|      |       |

If No, GO TO 15e

15d. How was the disagreement(s) resolved?

_____
_____
_____
_____
_____

*(Note that if more than one issue, you will need to take one by one. You must clarify which issue the resolving concerns)*

*GO TO 16*

15e. How has the fact that a disagreement(s) was not resolved been handled?

_____
_____
_____
_____
_____
_____
_____
_____
_____

*(Note that if more than one issue, you will need to take one by one. You must clarify which issue the comment concerns.)*

16. Did you discuss the REDD+ project with fellow villagers outside of the formal meetings?

| 0=No | 1=Yes |
|------|-------|
|      |       |

If No, GO TO 17.

16a. Which were the most important topics you discussed?

_____
_____
_____
_____
____


17. Can you explain why you did not discuss the REDD+ project with fellow villagers?

_____
_____
—


### C. IV    Decision-making

*If the respondent did not attend the general assembly go to question 22 in this section C.IV*

18. At the general assembly, the villagers decided to participate in the REDD+ project. In what way was that decision made?

_____
_____
—


19. Do you think everybody felt free to take whatever position they wanted concerning establishing the REDD+ project?

| 0=No | 1=Yes |
|------|-------|
|      |       |

If Yes, GO TO question 20

19a. Why do you think they did not feel free to do so?

_____
_____
_____
___

20. Did anyone participating in the meeting disagree publicly on participating in the REDD+
project?

| 0=No | 1=Yes |
|------|-------|
|      |       |

If No, GO TO question 21

20a. Do you know why they disagreed?

_____
_____
_____

20b. Was their disagreement taken into account in any way?

_____
_____
__

20c. Do you think it was a problem for the village that they disagreed, or do you think it was
good?

_____
_____
_____
___

21. Do you disagree with participation in the REDD+ project?

| 0=No | 1=Yes |
|------|-------|
|      |       |

If No, GO TO question 25

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21a. Why do you disagree?

_____
_____
__


21b. Did you voice that argument at the general assembly meeting?

| 0=No | 1=Yes |
|------|-------|
|      |       |


22. You did not participate in the village assembly meeting. Was there any particular reason for that?

_____
_____
_____
___


23. Do you agree with the decision made by the general assembly to participate in the REDD+ project

| 0=No | 1=Yes |
|------|-------|
|      |       |

    If Yes, GO TO question 25
    If no, GO TO 24

24. Why do you disagree with the decision?

_____
_____
_____
___


25. Do you consider REDD+ to be good or bad for the village?

| 1. Very bad | 2. Bad | 3. Satisfactory | 4. Good | 5. Very good |
|-------------|--------|-----------------|---------|--------------|
|             |        |                 |         |              |

    If response is 1 or 2 GO TO 25a.
    If 3, GO TO section D.
    If 4 or 5, GO TO question 25b.

25a. Why do you think it is bad or very bad?

_____

_____

_____

___


GO TO section D

25b. Why do you think it is good or very good?

_____

_____

_____

___


## D. The process of introducing payments

In this section the main focus is to see how payments were introduced in villages, how the villagers were informed about the payment system, if villagers had enough time to discuss about the issues and decide whether to consent. In relation to the latter it is important to reveal how the decision about the format of payments was achieved.


### D. I  Participation in meetings

1. Did you or any of your family members participate in any meetings concerning payments?

| 0=No | 1=Yes |
|------|-------|
|      |       |

Specify who attended_____
   If not participating in any meetings, GO TO section DIV.


2. Were this/these meeting(s) held at a time when it was easy for you to attend (outside peak agricultural seasons, no other obstacles etc.)?

| 0=No | 1=Yes |
|------|-------|
|      |       |

   2.1 How did you get information about this/these meeting(s)?

   _____

   _____

   _____


3. What is your overall impression of this/these meeting(s)

| 1. Very bad | 2. Bad | 3. Satisfactory | 4. Good | 5. Very good |
|---|---|---|---|---|
|  |  |  |  |  |

3.a Summarize your attitude

_____
_____
_____
_____
____


**D. II    Information**


4. Do you feel that the information offered was clear and sufficient for village members to decide on the form of payments?

| 1. Information was very poor | 2. Information was poor | 3. Information was satisfactory | 4. Information was good | 5. Information was very good |
|---|---|---|---|---|
|  |  |  |  |  |

   If answering 4 or 5 GO TO 4a
   If answering 1 or 2 GO TO 4b

  4a.If information was good or very good, explain

_____
_____
_____
___

GO TO 5


  4b.If information was poor/very poor, what do you think was the main problem(s)?

_____
_____

_____
—

5. Who was the source of information on the issue of payment formats?

| 1. MJUMITA | 2. TFCG | 3. Other villagers | 4. The forest officers | 5. Other public officers |
|---|---|---|---|---|
|  |  |  |  |  |

5.1 Do you think the information provided by the source was enough?

| 1.Not enough | 2.Satisfactory | 3.Enough | 4.Very enough |
|---|---|---|---|
|  |  |  |  |

If answering 1-2, why do you think it's so?

_____
_____
_____
___

6. Did you have access to an independent source of information on payment before accepting implementing REDD+ in your area?

| 0=No | 1=Yes |
|---|---|
|  |  |

If No, GO TO 7

6a.What independent information sources?

_____
_____
—

7. Did you yourself search for independent information about payment before accepting REDD+?

| 0=No | 1=Yes |
|---|---|
|  |  |

If  No, GO TO 8 in section D.III

7a. What source(s) was (were) this?

_____
_____
__

### D. III   Discussions

8. Did villagers participate actively in asking questions in this/these meetings about payment?

| 1. Not at all | 2. A few questions | 3. Many questions |
|---|---|---|
|  |  |  |

If No, GO TO 13 (in section D.IV)

8a. What were this/these questions about?

_____
_____
__

_____
_____

9. Did this/these questions get answered at the meeting?

| 1.Not answered | 2.Somewhat answered | 3.Answered | 4.All answered |
|---|---|---|---|
|  |  |  |  |

10. If answered 1 and 2 did that result in disagreement?

| 0=No | 1=Yes |
|---|---|
|  |  |

If No, GO TO 13 (in section D.IV)

10a. Between who was this/these disagreement?

110

_____
_____
—

_____
_____

10b. What was the disagreement about?

_____
_____
—

_____
_____

11. Were all the disagreements resolved at the meetings?

| 1.None were resolved | 2. A few were resolved | 3.Most were resolved | 4.All were resolved |
|---|---|---|---|
|  |  |  |  |

If answering 3 or 4, GO TO 13 (in section D. IV)

12. Are villagers ok with the unresolved disagreement as they already accept payment? Or (why do you think villagers accept the payment while there are unresolved disagreements?)
_____
_____
—

_____
_____

**D. IV    Decision-making**

13. In this/these meetings villagers agreed to accept payment from implementing REDD+ in your area, how was that decision achieved?
_____
_____
—

_____
_____

14. Did all villagers agree with the decision made?

| 1.Disagreed | 2.Somewhat disagreed | 3.Agreed | 4.All agreed |
|---|---|---|---|
| | | | |

14a. If answering 1 or 2 why do you think still payment was made?

_____
_____
—

_____
_____

15. Do you think everybody felt free to take whatever position on payment,they wanted concerning joining the REDD project?

| 0=No | 1=Yes |
|---|---|
| | |

If Yes, GO TO question 17

16. In your opinion, was this pressure towards a specific group or all the villagers as a whole?

| 0=To a specific group | 1=To all the villagers |
|---|---|
| | |

16a. If it was biased towards a specific group, who was this? (tick all relevant options)

| 1. Women | 2. Men | 3. Landless | 4. Landowners | 5. The poor | 6. Others |
|---|---|---|---|---|---|
| | | | | | |

16b. Why do you think they did not feel free to take the position they wanted?

_____
_____
_____
____

17. Did anyone participating in the meetings disagree publicly on payment from participating in the REDD+ project?

| 0=No | 1=Yes |
|------|-------|
|      |       |

If No, GO TO question 18

17a. In your opinion was the disagreement mostly by a specific group or all the villagers as a whole?

| By a specific group=0 | By all the villagers=1 |
|-----------------------|------------------------|
|                       |                        |

If 1, GO TO 17c

17b. If by a specific group, who were these? (tick all relevant options)

| 1.women | 2.men | 3.landless | 4.landowners | 5.The poor | 6.The rich | 7.Others |
|---------|-------|------------|--------------|------------|------------|----------|
|         |       |            |              |            |            |          |

17c. Do you know why they disagreed?

_____
_____
___

17d. Was their disagreement taken into account in any way?

_____
_____
__


17e. Do you think it was a problem for the village that they disagreed, or do you think it was good?

_____
_____
_____
___


**D.V Income generation projects**

14. Is there any income generation project made for your village?

| 0=No | 1=Yes | Explain your answer |
|------|-------|---------------------|
|      |       |                     |

If No, Go to 17

14b. Are you familiar with the contents of this project?

| 1=No | 2=Somewhat | 3=Completely | Explain your answer |
|------|------------|--------------|---------------------|
|      |            |              |                     |

15. Is there any part of that project that you disagree with?

| 0=No | 1=Yes | Explain your answer |
|------|-------|---------------------|
|      |       |                     |

16. Did you participate in making of this project?

| 0=No | 1=Yes | Comment on your participation |
|------|-------|-------------------------------|
|      |       |                               |

17. Is your household involved in any income generation projects promoted by TFCG/MJUMITA?

| 0=No | 1=Yes |
|------|-------|
|      |       |

If No, GO TO question 20

17a. Which one is it? (Tick all that are applicable)

| 1.Beekeeping | 2. Poultry | 3.Stove making | 4.Hoticulture | 5.Other |
|--------------|------------|----------------|---------------|---------|

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| | | | | |
|---|---|---|---|---|
| | | | | |

18. Have you benefited in any way from this/these projects?

| 0=No | 1=Yes |
|---|---|
| | |

If Yes GO TO18b

18a. Why do you think you have not benefited?

_____
_____
_____

_

Go to 19

18b. Explain how you have benefited

_____
_____
_____

19. Did you choose which type of programme to participate in or was the choice made by someone else?

| 1.It was made by someone else | 2.I made the choice myself | 3.I made a choice collectively with fellow villagers |
|---|---|---|
| | | |

19a. Who made the choice?

| 1.TFCG | 2.State officers | 3.Village leaders | 4.Other villagers | 5.Others | 6.I do not know |
|---|---|---|---|---|---|
| | | | | | |

19b. Are you satisfied with their choice?

| 1.Very dissatisfied | 2.Somewhat dissatisfied | 3.Somewhat satisfied | 4.Very satisfied |
|---|---|---|---|

| | | | |
|---|---|---|---|
| | | | |

GO TO section E

20. You are not involved in any income generating projects of the REDD project. Why is that?

_____

_____

_____

**E. Knowledge and perception of the rules set for participating in the project**

1. How would you rate your knowledge about the rules of participating in REDD?

| 1. I do not know any of them | 2. I know a few of the rules | 3. I know most of the rules | 4. I know all the rules |
|---|---|---|---|
| | | | |

If answering 1, GO TO 6

2. Can you mention some of the most important rules?

_____

_____

_____

_____

___

3. Do you follow these rules?

| 1. Not at all | 2. I follow some of them | 3. I follow most of them | 4. I follow all of them |
|---|---|---|---|
| | | | |

If 1, GO TO 5

4. Please, explain how these rules influence your livelihood?

_____

_____

_____

_

GO TO 6.

5. Please, explain why you do not follow the rules at all

_____
_____
_____
_____
_____

____

*(Here, the enumerator should point out some of the most important rules to the respondent who knows none of the rules and those which may not have been mentioned for those that know some of the rules).*

6. How would rate the effectiveness of the rules in reducing deforestation in your area?

| 1. No impact | 2. Low | 3. Medium | 4. High |
|---|---|---|---|
|  |  |  |  |

   If 3 and 4, GO TO 7

6a. Can you suggest other ways or rules which you think might be better?

_____
_____
_____
_____

___

7. What is your impression of the rules?*(Here the enumerator should ask the respondent of their perception on some of the rules specifically).*

| 1. Very negative | 2. Negative | 3. Indifferent | 4. Positive | 5. Very positive |
|---|---|---|---|---|
|  |  |  |  |  |

|  |  |  |  |  |
|---|---|---|---|---|
|  |  |  |  |  |

7.a. Please motivate your response

_____
_____
_____
_____
_____
___

F. Observations
  Additional comments from the interviewee

_____
_____
_____
_____
_____
_____