

Green Climate Fund Readiness Support Program
KfW No. 194/12

**Feasibility Study: “Climate Smart Agriculture /Climate Change adaptation
in Simiyu Region, Tanzania”**

Stakeholder Engagement Plan (SEP)



financed by



November, 2016



Contact person:

Wolfgang Schmitt
Director
Rural Development and Environment

GOPA mbH
Hindenburgring 18
61348 Bad Homburg
GERMANY

Tel +49 6172 930 363
Fax +49 6172 930 390
w olfgang.schmitt@gopa.de
<http://www.gopa.de>

Content

1. Introduction.....	1
1.1 Programme Overview and Purpose	1
1.2 Stakeholder Engagement	2
2. Regulations and Requirements.....	2
3. Project Stakeholders.....	3
3.1 Stakeholder Analysis Matrix.....	3
3.2 Stakeholder Involvement in Programme Management.....	8
3.3 Stakeholder Involvement during implementation.....	9
3.4 Previous Stakeholder Engagement.....	9
4. Stakeholder Engagement Strategy	15
4.1 Objectives of the SEP	15
4.2 Stakeholder Engagement Process.....	19
4.3 Incorporation of Views of Vulnerable Groups.....	20
4.3.1 Definition and identification of vulnerable groups.....	20
4.3.2 Women	20
4.3.3 Youth.....	21
4.4 Incorporation of Proceedings into Management Decisions.....	21
4.5 Timetable	22
4.6 Resources and Responsibilities	25
4.6.1 Responsibilities	25
4.6.2 Costs	25
5. Grievance Mechanism.....	26
5.1 Grievance Redress System (land and property)	26
5.2 Complaints Handling Process (Programme Management and Implementation).....	29
6. Participatory Monitoring and Evaluation	31

Figures

Figure 1: Grievance redress system (land and property issues).....28

Tables

Table 1: Details of stakeholder engagement strategy.....17
Table 2: Timetable for stakeholder engagement activities23

Abbreviations

AO	Administrative Officer
CDO	Community Development Officer
CO	Community Officer
CSA	Climate Smart Agriculture
DLNRO	District Land and Natural Resources Officer
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESM	Environmental and Social Management
ESMP	Environmental and Social Management Plan
FAO	Food and Agricultural Organisation of the United Nations
FFS	Farmer Field School
ICT	Information and Communication Technology
KfW	Kreditanstalt für Wiederaufbau
LGA	Local Government Agency
LO	Local Officer
LVEMP	Lake Victoria Environmental Management Projekt
LZARDI	Lake Zone Agricultural Reasearch and Development Institute
MALF	Ministry of Agriculture, Livestock and Fisheries
MOWI	Ministry of Water and Irrigation
MoU	Memorandum of Understanding
NEMC	National Environmental Management Council
NGO	Non-Governmental Organisation
PMU	Project Management Unit
PO-RALG	President's Office Regional Administration and Local Government
RAS	Regional Administrative Secretariat
RS	Regional Secretariat
SC	Steering Committee
SEP	Stakeholder Engagement Plan
UNDP	United Nations Development Programme
VPO	Vice President's Office

1. Introduction

1.1 Programme Overview and Purpose

Agriculture is the dominant economic activity in the Simiyu region. The livelihood of the region's communities mainly depends on rain fed farming and animal husbandry. Under the conditions of climate change (erratic rainfall patterns, more frequent droughts) people will struggle to cope with its adverse effects. The programme supports various measures which will improve the farmers' resilience to the negative impacts of climate change on their livelihoods in the Simiyu region.

The programme is fully aligned with Government strategies, addresses key concerns related to climate change in the region, and builds on recent advances in research and technology. It is an open programme driven by local demand.

Aims of the programme:

- The programme would scale up **access to water** for farming purposes in the Simiyu region and thereby remove a major barrier towards further agricultural development. Insufficient water for irrigation and livestock is widely perceived as a main climate change adaptation deficit.
- The programme would **bring new agricultural technologies and know how** to small scale farmers who are vulnerable to climate change. Adopting climate resilient technologies will also increase farming household's income and improve food security.
- The programme will improve the management and use **of natural resources** (water, forests, rangelands)

Structure of the programme:

The programme is designed as an "open programme". It provides demand driven projects around four action fields:

Action field 1 will invest in the construction of **water infrastructure** for irrigation and animal husbandry including support for water user associations. Rehabilitation and construction of small-scale dams and the promotion of related (drip-) irrigation technologies are key elements of this action field.

Action field 2 will scale up **climate resilient crop production technologies** through the provision of capacity building, start-up capital and inputs (e. g. farmer field schools).

Action field 3 would support communities and farmers in managing climate smart forest pastures (**Ngtili**).

Action field 4 would help set up a **knowledge network** to disseminate climate change related information for agricultural professionals via ICT.

By definition, an open programme running 7 years cannot anticipate the exact nature and location of the projects to be implemented. The four action fields describe the orientation and sectoral scope of the programme.

The demands of participants and beneficiaries as expressed in a participatory programme consultation with the target groups will be defined during the inception phase. Building on this the exact scope and composition of programme activities will be decided.

Given the geographical scope, nature and impact of activities envisaged coupled with the social setting within which it is being planned the implementation of the proposed agricultural adaptation programme for the Simiyu region requires direct involvement of a diverse range of stakeholders all with a substantial capacity to have an influence on the project positively or negatively.

In addition, the implementation and execution of the proposed environmental and social management framework requires a multi-sectoral approach to be able to achieve the intended objectives. For this reason, this stakeholder engagement plan (SEP) has been prepared as a guiding document for ensuring proper coordination and management of all the stakeholder interests and concerns in a prompt, transparent and well-coordinated structure. . The SEP is established as a “living document” and will be continuously updated corresponding to the progress of the Project and regarding any additional information/stakeholders to be considered.

1.2 Stakeholder Engagement

This stakeholder engagement plan will apply to all components of the proposed programme and all third parties are expected to adhere to this as they execute their assigned activities.

Objectives

The objectives of this stakeholder engagement plan are;

- To identify all project stakeholders including their priorities and concerns
- Identify strategies for information sharing and communication to stakeholders as well as consultation of stakeholders in ways that are meaningful and accessible throughout the project cycle
- To specify procedures and methodologies for stakeholder consultations, documentation of the proceedings and strategies for feedback
- To establish an accessible, culturally appropriate, transparent and responsive grievance mechanism for the project
- Develop a strategy for stakeholder participation in the monitoring of project impacts and reporting or sharing of results among the different stakeholder groups

2. Regulations and Requirements

The Stakeholder Engagement Plan is developed as a result of the need to comply with the EIA and Audit Regulations (2005), Land Act (1999), Village Land Act (1999), Land Disputes Courts Act (2002), Land (Compensation Claims) Regulations (2001), Graves Removal Act (1969) and the KfW/IFC/GCF safeguard policies. All these instruments unanimously advocate for meaningful involvement of project stakeholders in decisions that affect them, participatory planning and transparent grievance management mechanisms.

3. Project Stakeholders

3.1 Stakeholder Analysis Matrix

Stakeholder Analysis Matrix					
Stakeholder Group	Key Characteristics	Nature & Extent of Interest	Nature & Extent of Influence	Potential Role in the Programme	Proposed Strategies Related to the Group
Smallholder farmers with crop production as the main activity. Live-stock owners in need of access to water for their animals	Smallholder farmers with an average land-holding of 2-3 ha, considered as the primary users of arable land. Most farmers' plots are scattered over the territory of a village. Main food crops are maize, sorghum, rice, sweet potatoes, millet and cassava; main cash crops grown are cotton, groundnuts and sunflower	Till to date the farming sector in the region has received little support in terms of development programmes in support of agricultural production. There is a great interest in obtaining access to technologies that may alleviate the consequences of climate change	Cooperation and participation in field implementation. Through an open and demand driven approach, the beneficiaries will have a direct role in the formulation and development of the activities planned for introducing new technologies and investments in productive infrastructure	Direct beneficiaries. Participation in developing proposals to be implemented at LGA level, based on the Programme's menu of interventions in the context of Village and Ward Development Plans	The strategies related to the group are several: a) farmers field schools; b) contest and awards to be applied in both irrigation and climate smart agriculture components; c) irrigators' organisations as well as community engagement and supervision of irrigation scheme construction and rehabilitation; d) provision of irrigation technology and access to improved seeds; e) training and ICT platform; f) beneficiary contribution (irrigation)
Livestock owners and farmers with potential for Ngitili/forest plantation expansion	Livestock owners, the majority of whom feed their animals (cattle, goats, sheep) through uncontrolled grazing. Farmers with an average landholding of 2 - 3 ha, cultivating between 0,9 to 6 ha of	Given a growing population's reliance on fuel wood for cooking, there is a decline in tree cover and species com-	The beneficiaries will have a direct role in the activities planned for forest extension, Ngitili incl. land registration and forest	Direct beneficiaries. Participation in developing proposals to be implemented in each LGA, based on the	The strategies related to the group include: a) contest and awards applied to the expansion of Ngitili; b) system of individual saving accounts

Stakeholder Engagement Plan (SEP)

Stakeholder Analysis Matrix					
Stakeholder Group	Key Characteristics	Nature & Extent of Interest	Nature & Extent of Influence	Potential Role in the Programme	Proposed Strategies Related to the Group
	land (including rented land)	position. This tendency has generated an interest in expanding Ngitili as a source of fuel wood and fodder as well as enlarging forest plantations with spacing allowing pasture use	plantation expansion	Programme's menu of Ngitili fodder and fuel wood production	to provide an incentive scheme for establishing Ngitili; c) forest extension and seeds provision; d) beneficiary contribution
non-governmental organisations, citizens groups, faith based organisations like churches, traditional authorities, farmer associations, irrigation organisations	Important opinion leaders on community level	Livelihood improvement is a core aim of those groups. Groups mission directly related to programmes purpose.	Provide voice for their members	Sensitisation, mobilisation of beneficiaries, trust building	Early involvement, SC, part of social impact screening
Local Government Authorities – LGAs (District Councils)	The elected organ of a district and the local administration. The mandate of LGAs relates to the social and economic development within its jurisdiction, the social welfare and economic well-being of its population as well as the responsibility for primary and secondary education, primary health care, water supply, rural roads, agriculture & livestock development,	LGAs have participated in programme formulation and presented investment proposals, particularly for irrigation schemes. LGAs have provided information on staff levels and staff qualifications	Depending on the allocation and financial flow of programme resources, LGAs will have influence over investments and other development activities within their jurisdiction. The primary vehicle for influence is the formulation of annual work	Direct and indirect beneficiaries. LGAs will be beneficiaries of the programme through the financial and technical support to be provided to the technical departments (agriculture, etc.)	The strategy proposed is one of working through the relevant technical departments of LGAs and PMU providing logistical, technical and financial support + staff training and direct reinforcement of technical staff (two per LGA)

Stakeholder Engagement Plan (SEP)

Stakeholder Analysis Matrix					
Stakeholder Group	Key Characteristics	Nature & Extent of Interest	Nature & Extent of Influence	Potential Role in the Programme	Proposed Strategies Related to the Group
	natural resources management, environmental control, etc.		plans and budgets to be presented to PMU.		
Village Councils (governments)	The executive organ of the Village Assembly. Functions and roles include planning and coordinating activities, rendering assistance and advice to the villagers engaged in agriculture, forestry, horticultural, industrial or any other activity, and to encourage village residents to undertake and participate in communal enterprises	Not available	Village Councils have influence over the bottom-up approach used in local-level planning, which is consolidated at Ward level and then at LGA level. Thus, they may influence the allocation funds of to agricultural extension and irrigation development. It is assumed that proposals presented by LGAs to the feasibility study team have been sanctioned at village council level	Direct and indirect beneficiaries. The role of Village Councils is envisaged to be one of support to agricultural extension and the location of farmers field schools as well as	Other than the regular functions of the Village Councils, no particular strategy is foreseen
Regional Secretariat (RAS)	Deconcentrated body that represents central government at regional level. Led by a Regional Commissioner (RC); administrative head is the Regional Administrative Secretary (RAS). Oversight and support functions vis-à-vis LGAs. RAS is also the Accounting Officer for both RAS and LGA	RC has expressed interest in promoting agricultural development in the region, particularly in the form of irrigation (e.g., Busega LGA). RAS has actively supported programme preparation	Apart from the reporting requirements stipulated by PO-RALG through RAS, RC is expected to have political influence in mobilising support for the programme at PO-RALG level.	Indirect beneficiary. RAS' potential role is limited to enforcing the standard reporting requirements. RAS will also be represented in the Steering Commit-	As RAS's role is basically one of oversight and some degree of administrative and technical support to LGAs, no particular strategy for RAS is foreseen

Stakeholder Engagement Plan (SEP)

Stakeholder Analysis Matrix					
Stakeholder Group	Key Characteristics	Nature & Extent of Interest	Nature & Extent of Influence	Potential Role in the Programme	Proposed Strategies Related to the Group
	budget expenditures	through the sharing of development plans, monitoring reports and financial information		tee, playing an oversight role	
Ministry of Water and Irrigation (MoWI)	Has the overall responsibility for the sustainable management and development of water resources in the country. This includes the implementation of National Water Projects and oversight of the Basin Water Boards. Is no longer responsible for irrigation development (see below)	MoWI's main interest in the development of the Simiyu Region relates to the implementation of the water supply pipeline project	Through its chairmanship of the Steering Committee (SC), MoWI will have influence over the approval of the Operations and Financial Manual, Annual Work Plans and Budgets, etc,	MoWI's role in relation to the CSA Programme for Simiyu is limited to its chairmanship of the SC	n.a.
National Irrigation Commission (NIC)	Newly created body responsible for irrigation policy and irrigation development of the country. Represented at regional (zonal) level with technical responsibilities for irrigation development, including support to LGAs	Zonal Office in Mwanza will widen its support to irrigation development through additional financing provided by the Programme	Influence of NIC is mainly through its operational role as lead support agency for irrigation (adherence to guidelines, design support, training, etc.)	Integral part of PMU operations/support to LGAs/support to irrigators' organisations, etc.	Application of comprehensive guidelines for irrigation scheme development
Ministry of Agriculture, Livestock & Fisheries (MALF) (includes units under MALF such as LZARDI)	A broad mandate that includes the provision of a conducive environment to the various stakeholders in the sector, building capacity of Local Government Authorities (LGA) in their role as service providers, delivering agricultural services, training and technology, as well as facilitat-	MALF operates through a number of divisions and units that contribute to service delivery and agricultural innovation, suffice to mention Crop Development Division, Train-	Influence of MALF is largely through the promotion of CSA and staff training. Furthermore, research centres will provide inputs and technological innovations	Indirect beneficiaries through the participation of Crop Development Division/Training Division as well as Lake Zone Agricultural Research and	Agreements with PMU and/or LGAs

Stakeholder Engagement Plan (SEP)

Stakeholder Analysis Matrix					
Stakeholder Group	Key Characteristics	Nature & Extent of Interest	Nature & Extent of Influence	Potential Role in the Programme	Proposed Strategies Related to the Group
	ing the role of the private sector in agricultural production. MALF is not a frontline service provider, although it occasionally organises training of farmers	ing Division, Research & Development Division and Environment Management Unit. Its influence will be through its role in technology innovation		Development Institute and Kongwa Livestock Research Centre. Important role as a political sponsor for the ICT measure.	
Tanzania Forest Service Agency (TFSA)	An executive agency of central government, responsible for the management of national forest and bee resources in a sustainable manner by ensuring sustainable supply of various forest and bee products and services, stable ecosystem and maintaining biological diversity.	Has expressed interest in providing services to the Programme	May exert influence through its technical expertise	Staff secondment to implement Ngitili fodder and fuel wood production	Service contract
Tanzania Horticultural Association (TAHA) Tanzania Official Seed Certification Institute (TOSCI) Tanzania Tree Seed Agency (TTSA) World Agroforestry Centre (ICRAF) World Vegetable Centre (AVRDC) Private Seed Companies	National or international agencies operating in the field of technology innovation and/or input supply. Private seed companies operating in Tanzania	Some of which have expressed interest in participating in the Programme	n.a.	Provider of technical knowledge, training, seeds, etc.	Service or supply contracts

Stakeholder Analysis Matrix					
Stakeholder Group	Key Characteristics	Nature & Extent of Interest	Nature & Extent of Influence	Potential Role in the Programme	Proposed Strategies Related to the Group
Cooperative Rural Development Bank Plc (CRDB)	CRDB Bank Plc is a leading financial service provider, established in 1996. Offers a wide range of financial services as well as wholesale micro-finance services through a network of 120 branches in Tanzania	Has expressed in interest in managing savings accounts	n.a.	Provider of banking services (savings accounts)	Agreement to provide specific financial services to the programme
President's Office – Regional Administration & Local Government	Responsible for the (administrative) interface between ministries/development partners and LGAs, facilitation and support to LGAs in administration and service provision. Management of information on LGA finances and activities (through RS)	Information not available	Influence is limited to enforcing the standard reporting requirements through RS	Preparation of standard reports on development activities, to be submitted to sector ministries, etc.	n.a.

3.2 Stakeholder Involvement in Programme Management

Key stakeholders will be invited to form part of the planned programme steering committee. The SC will be responsible for the strategic direction of the programme, oversight of the PMU as well as approval of the Operations and Financial Manual, the Annual Work and Procurement Plans and financial and technical reporting. For a government run programme it is mandatory to involve all institutional stakeholders, according to their responsibilities, in the programme's preparation and implementation. The following strategic and operational stakeholders need to be consulted, involved and represented in the steering committee of the programme:

- Ministry of Water and Irrigation (Permanent Secretary) – Chairperson,
- Vice President's Office,
- PO-RALG,
- Ministry of Agriculture, Livestock and Fisheries (Policy & Planning or Research, Training & Extension Division),
- Ministry of Finance and Planning, Planning Division,
- National Irrigation Commission,
- Tanzania Forest Service,
- Regional Administrative Secretary, Simiyu,

- District Councils as representatives of the Local Government Authorities (LGA),
- Representative of the beneficiaries (farmer associations, water user associations, women associations)
- KfW.

These actors mainly represent state agencies, institutions as well as future beneficiaries of the programme. During the inception phase the PMU will invite potential steering committee members for a preparatory workshop to determine the following issues:

- members of the steering committee;
- the role of the steering committee;
- expectations management;
- possible contributions of the bodies present.

3.3 Stakeholder Involvement during implementation

During the implementation of the programme, non-governmental organisations, citizens groups, faith based organisations like churches, traditional authorities, farmer associations, irrigation organisations shall be consulted.

Since all programme activities take place on village level and require the active participation of the beneficiaries (mainly farmer households) stakeholder involvement has to take place in all villages and communities involved in programme activities.

Apart from the LGA extension workers /facilitators (playing the central role) staff from the PMU will be involved in consultation activities.

The transaction costs for all stakeholders which need to be involved need to be kept as low as possible (as such, time and distance matter when planning stakeholder engagement activities).

3.4 Previous Stakeholder Engagement

At various stages during the preparation of the feasibility study a variety of stakeholders were consulted in order to discuss the design and scope of the programme and to hear the opinions of stakeholders. (see lists below).

During the various consultations the following topics were addressed and findings incorporated into the feasibility study:

Vulnerability to climate change, Institutional set up and capacities, Proposed investment measures (Small dams for water retention and regulation, Small scale irrigation scheme, Agricultural measures, CSA and alternative livelihood development, Land management and forest, ESMF including land tenure issues, Impacts and risk, Potential for paradigm shift)

SIMIYU CLIMATE SMART AGRICULTURAL PRACTICES STUDY - INCEPTION MISSION PROGRAMME EXECUTION BY DR ANKE REICHHUBER – TL, JUSTIN SEKUMBO AND DR M ZILKENS (FROM MARCH 7TH)

Date	Institution	Host & email address
March 2, 2016	KfW, Dar es Salaam	
	FAO, Dar es Salaam	
	VPO, Dar es Salaam	
	GKW Consult, Dar es Salaam & Lahmeyer, Tanzania	

Stakeholder Engagement Plan (SEP)

Date	Institution	Host & email address
March 3	Joint meeting with MOLF & MoWI at MoWI, Ubungo, Dar	
	Kick off / Inception meeting, MoWI, Ubungo, Dar es Salaam	
	NEMC, Dar es Salaam	
	UNDP, Dar es Salaam	
March 4	FAO, Dar es Salaam	
	World Bank	
	GKW Consult, Dar es Salaam / Lahmeyer, Tanzania	
	Meeting candidate for short term consultancy	
March 6	BARUWASA, Bariadi	
March 7	RAS, Simiyu	
	Simiyu Kick Off meeting	
March 8	Simiyu Planning Staff meeting	
	Simiyu Agricultural, Livestock, Fisheries and Cooperative Staff meeting	
	Bariadi Women Entrepreneur Leaders meeting	
	Budalabujiga Ward, Itilima District visit	
March 9	Ukiriguru Research Station, Mwanza	
	Lake Victoria Basin Authority	
	Lake Victoria Environment Management Project (LVEMP)	
March 10	Meeting candidate for short term consultancy in Dar es Salaam	
March 11, 2016	Wrap-up meeting, MoWI Ubungo, Dar es Salaam	

KICK OFF MEETING: SIMIYU CLIMATE SMART AGRICULTURAL PRACTICES STUDY, HELD AT MoWI UBUNGO DAR ES SALAAM ON MARCH 3, 2016 - PARTICIPANTS LIST

S/N	Name	Institution	Email address
1		MoWI	
2		GOPA Consulting	
3		GOPA Consulting	
4		KfW	
5		KfW	
6		MOLF – HEMU	
7		NIC/MOWI	
8		GKW	
9		Lahmeyer, Tanzania	

KICK OFF MEETING: SIMIYU CLIMATE SMART AGRICULTURAL PRACTICES STUDY, HELD AT RAS OFFICES, BARIADI ON MARCH 7, 2016 – PARTICIPANTS LIST

	Name	Institution	Position	Phone contact	Email address
1		RS-Simiyu	Ag RAS		
2		RS-Simiyu	AAS-Water		
3		RS-Simiyu	Vet Officer		
4		RS-Simiyu	Agro Officer		
5		RS-Simiyu	Livestock Officer		
6		RS-Simiyu	-		
7		RS-Simiyu	CDO		
8		RS-Simiyu	Asst. Admin Secretary		
9		RS-Simiyu	Agricultural Of-		

Stakeholder Engagement Plan (SEP)

	Name	Institution	Position	Phone contact	Email address
			ficer		
10		RS-Simiyu	Cooperative Of- ficer		
11		Bariadi District	Agric Engineer		
12		Bariadi District	Livestock and Fisheries Officer		
13		Bariadi District	-		
14		Bariadi District	-		
15		Bariadi District	District Forest Officer		
16		BARUWASA	Engineer		
17		BARUWASA	Ag Managing Director		
18		-	DLNRO		
19		GOPA Consultant	Agricultural Econ- omist		
20		KfW Consultant	Agricultural Econ- omist		
21		GOPA Consultant	Development Economist,		

**SIMIYU CLIMATE SMART AGRICULTURAL PRACTICES STUDY
MEETING WITH SIMIYU PLANNING STAFF HELD AT BARIADI ON MARCH 8, 2016 - LIST
OF PARTICIPANTS**

	Name	Institution	Position	Phone contact	Email address
1		RS-Simiyu	Ag RAS		
2		RS-Simiyu	Economist		
3		RS-Simiyu	Statistician		
4		RS-Simiyu	Economist		
5		KfW Consultant	Agricultural Economist		
6		GOPA Consult- ant	Agricultural Economist		
7		Consultant	Development Economist		

**SIMIYU CLIMATE SMART AGRICULTURAL PRACTICES STUDY
MEETING WITH REGIONAL AND DISTRICT AGRICULTURAL, LIVESTOCK, FISHERIES
AND COOPERATIVE STAFF HELD ON MARCH 8, 2016 AT BARIADI - LIST OF PARTICI-
PANTS**

	Name	Position	Phone contact	Email address
1		Coop Officer (CO)		
2		Agric. Officer (A O)		
3		CO		
4		AO		
5		AO		
6		AO		
7		Princ. Agric. Field Officer (PAFO)		
8		PAFO		
9		AO		
10		AO		
11		CO		
12		AO		
13		PAFO		
14		AO		
15		Livestock Officer (LO)		
16		LO		
17		LO		

Stakeholder Engagement Plan (SEP)

	Name	Position	Phone contact	Email address
18		Fisheries Officer		
19		CO		
20		CO		
21		CO		
22		CO		
23		Nutrition Officer		
24		LO		
25		Agro-Engineer, RS-Simiyu		
26		AO		
27		Agric. Economist, GOPA Consulting		
28		Agric. Economist, KfW Consultant		
29		Develop.. Economist, GOPA Consultant		

**SIMIYU CLIMATE SMART AGRICULTURAL PRACTICES STUDY
MEETING WITH BARIADI TOWN WOMEN ENTREPRENEUR LEADERS, HELD ON MARCH
8, 2016, LIST OF PARTICIPANTS**

	Name of participant	Activity	Phone contact	Email address
1		Livestock (pigs) rearing and clothing		
2		=ditto=		
3		=ditto=		
4		Catering		
5		=ditto=		
6		=ditto=		
7		=ditto=		
8		Aggregate makers (stone crushers)		
9		=ditto=		
10		RAS - Simiyu		
11		Community Dev Officer, Bariadi Township		
12		=ditto=		
13		Agric. Economist, GOPA Consulting		
14		KfW Consultant		
15		Develop.. Economist, GOPA Consulting		

People met in March/April 2016 in the context of the Climate Risk and Vulnerability Assessment (Adelphi study)

Partner	Location	Comments
Tanzanian Red Cross Society (TRCS)	TRCS, Dares-salam	Director of Branch Development
GIZ	GIZ, Daressalam	
MALF	MALF, Dares-salam	(Head, Environment Management Unit), M&E, EMU/Chair of the meeting, (Livestock Officer),
FAO	FAO, Daressalam	Programme Associate
Ukiriguru Research Institute	Ukiriguru, Mwanza	Director, and others
Regional Administration Secretary	RA, Bariadi	
Community Visits	District Itilima	Ward: Budalabujiga, Villages: Mirobo, Mwakalate, Budalabujiga, Muabasabi

Stakeholder Engagement Plan (SEP)

Partner	Location	Comments
Regional Agri. Officer	Bariadi	Cancelled
Regional Livestock Officer	Bariadi	Cancelled
Regional Development/Planning Officer	Bariadi	Cancelled
Community Visit	District Bariadi	Ward: Sapiwi, Villages: Igegu Maghribi, Igegu

People met in Simiyu Region during field study in April 2016

S/N	NAME OF PERSON	POSITION	INSTITUTION/ORGANISATION
1.		Project Manager – Climate Resilience Project in Simiyu Region	Ministry of Water and Irrigation – National Irrigation Commission.
2.		Regional Commissioner, Simiyu Region.	President's Office – Regional Administration and Local Government.
3.		Regional Administrative Secretary, Simiyu Region.	President's Office – Regional Administration and Local Government.
4.		Head of the Environmental Management Unit	Ministry of Agriculture, Livestock and Fisheries
5.		Principal Agricultural Officer	Environmental Management Unit - Ministry of Agriculture, Livestock and Fisheries.
6.		Senior Agricultural Officer	Environmental Management Unit - Ministry of Agriculture, Livestock and Fisheries.
7.		Livestock Officer,	Environmental Management Unit - Ministry of Agriculture, Livestock and Fisheries.
8.		Agricultural Officer	Environmental Management Unit - Ministry of Agriculture, Livestock and Fisheries.
9.		Forest Management Specialist.	Lake Victoria Environmental Management Project II (LVEMP II)
10.		District Planning Officer	Bariadi District Council
11.		District Forest Officer	Bariadi District Council
12.		District Beekeeping Officer	Bariadi District Council
13.		District Game Officer	Bariadi District Council
14.		District Forest Officer	Bariadi District Council
15.		Forest Assistant	Ngulyati Village - Bariadi
16.		Peasant Farmer	Ngulyati Village - Bariadi
17.		Peasant Farmer	Ngulyati Village - Bariadi
18.		Peasant Farmer	Ngulyati Village - Bariadi
19.		Peasant Farmer	Ngulyati Village - Bariadi
20.		Peasant Farmer	Ngulyati Village - Bariadi
21.		Farmer/ District Chairperson	Mw abuchumu Village - Bariadi
22.		District Forest Officer	Itilima District Council
23.		District Forest Officer	Busega District Council
24.		Director of Environmental Information, Communication and Outreach (DEICO) and Land use Planning Expert	National Environment Management Council (NEMC)
25.		Director, Property Formalisation	President's Office State House, Property and Business Formalisation Program MKU-RABITA.
26.		Ag. Zonal Manager for Tanzania Forest Service (TFS) Agency	TFS Lake Zone
27.		Senior Forest Officer/Former HASHI Project Manager	Tanzania Forest Services Agency, Ministry of Natural Resources and Tourism.
28.		National Project Coordinator – National Forest Resources Monitoring and Assessment of Tanzania	Tanzania Forest Services Agency, Ministry of Natural Resources and Tourism.
29.		Forest Officer - National Forest Resources Monitoring and Assessment of Tanzania	Tanzania Forest Services Agency, Ministry of Natural Resources and Tourism.
30.		Forest Officer - National Forest Resources Monitoring and Assessment of Tanzania	Tanzania Forest Services Agency, Ministry of Natural Resources and Tourism.
31.		Retired Chief Executive	Tanzania Tree Seed Agency, Ministry of

Stakeholder Engagement Plan (SEP)

S/N	NAME OF PERSON	POSITION	INSTITUTION/ORGANISATION
			Natural Resources and Tourism.
32.		One of founders of Shinyanga Soil Conservation Project -HASHI	Retired employee of UNDP and Freelance Consultant of Bio-energy
33.		Soil & Water Conservation Specialist	LVEMP II
34.		Noxious Weeds Control Specialist	LVEMP II
35.		Forest Management Specialist	LVEMP II
36.		Zonal Irrigation Engineer- Mwanza Zone	National Irrigation Commission
37.		Plant Breeder	LZARDI
38.		Agricultural Economist	LZARDI
39.		Plant Breeder	LZARDI
40.		Natural Resources Management	LZARDI
41.		Natural Resources Management	LZARDI
42.		Training/ Chair person	LZARDI/ TSAEE
43.		Director	Dep Agriculture
44.		Regional Agricultural Engineer	Dep Agriculture
45.		Regional Livestock officer	Dep Livestock
46.		District Irrigation engineer	Bariadi District office
47.		District Agricultural field officer (land use)	Bariadi District office
48.		District Agricultural officer	Bariadi District office
49.		District Nutrition officer	Bariadi District office
50.		Regional Commissioner	Office of the President – Simiyu Regional Office
51.		Regional Agricultural Engineer	Simiyu Regional Office
52.		District Irrigation Engineer	Bariadi District
53.		DAICO	Busega District
54.		Regional Agricultural Engineer	Simiyu Regional Office
55.		Agricultural Officer	Busega District
56.		DED	Busega District

4. Stakeholder Engagement Strategy

4.1 Objectives of the SEP

- To offer opportunities for stakeholders to raise their concerns and submit their opinions.
- To create avenues for complaints handling and grievance management.
- To create opportunities for information sharing and disclosure
- To create a mechanism for giving feedback to the stakeholders
- To create an avenue for participatory project impacts monitoring
- To foster strong project community relationships
- To promote social acceptability of the programme
- To ensure meaningful consultation and the consideration of expectations and concerns into the implementation arrangements for the programme

The proposed stakeholder engagement program focusses on the time period beyond the Feasibility Study of the programme all the way through implementation phase. The SEP should be read together with the Feasibility Study and the ESMF which elaborate the interaction between the different institutions during the implementation phase. The SEP will mainly focus on project engagement with lower level stakeholders that are not part of the project organisation. Envisaged activities include the following:

- Mobilisation benefitting communities for project start and implementation (information, sensitisation, mobilizing participation)
- Identification of critical issues (land, proper involvement of vulnerable groups)
- Grievance management
- Implementation phase related supervision and monitoring
- Implementation of the Environmental and Social Management Framework

Communication and stakeholder engagement should adhere to certain ethical and accuracy principles in order to be effective. This strategy therefore will adhere to the following:

Consistency	In all communication maximum care will be taken to ensure consistency of messages with concept of the programme. Consistency will also be maintained across stakeholders, time and space.
Two-way	Ample space for feedback and dialogue provided so that message can be adjusted accordingly to meet the information needs of stakeholders.
Timeliness	Information availed when needed, relevant to stakeholders and able to be interpreted in the correct context.
Clarity	Packaged in easy to understand, not open to (mis-) interpretation.
Accessibility	Available in a range of formats to meet the needs of diverse stakeholders.
Targeted	The right messages for the right audiences with most appropriate methods.
Credible	Accurate, meaningful and trustworthy messages
Planned	Regular revision and update of messages, facilitating proactive engagement.
Efficient	Fit for purpose, cost effective and delivered on time.
Inclusiveness	All views are represented
Equity	Dialogue is based on equally valued contributions from all
Flexibility	Opportunities remain to revise decisions and revisit issues
Transparency	Information is freely available and directly accessible for those who are or will be affected by decisions and activities
Integrity	Engagement is made in good faith with open mindset

Stakeholder Engagement Plan (SEP)

The table below gives the details of the information to be shared/disclosed, formats through which information will be shared, engagement strategy, methodologies to be adopted, commitment tools and frequency, and responsible entity.

Table 1: Details of stakeholder engagement strategy.

Category	Institution	Details	Commitment Tools	Frequency and Timing	Responsible Entity
Government unit in charge of the entire programme	Ministry of Water and Irrigation	<p>Information to be disclosed: Project progress, policies and procedures</p> <p>Format: Periodic reports, minutes of meetings and workshop proceedings</p> <p>Engagement strategy: Consultation Information disclosure Negotiation and partnerships Reporting Participation in project monitoring</p> <p>Methodologies Key informant interviews (email, phone, one on one), meetings, workshops and joint planning sessions</p>	Rules of Engagement for Programme Implementation, Contracts Agreements	As per contractual obligations and rules of engagement throughout all project phases	MoWI
Regulators	Ministry of Agriculture, Livestock and Fisheries; Ministry of Water and Irrigation; National Irrigation Commission, Tanzania Forest Service, National Environment Management Council (NEMC), Ministry of Works, Transport and Communication Ministry of Lands, Housing and Human Settlements	<p>Information to be disclosed: Project progress, policies and procedures</p> <p>Format: Periodic reports, minutes of meetings and workshop proceedings</p> <p>Engagement strategy Consultations, information disclosure, negotiations, reporting and joint monitoring</p> <p>Methodologies Key Informant interviews (email, phone, one on one), meetings, workshops and joint planning sessions</p>	<p>Conditions of approval of reports</p> <p>Legal requirements Permits</p> <p>NEMC regulations ESIA Certificate</p>	As per legal requirements throughout all project phases	PMU
Regional Authority	Simiyu Region	<p>Information to be disclosed Project progress, policies and procedures</p> <p>Format: Periodic reports, minutes of meetings and workshop proceedings, Information brochures</p> <p>Engagement strategy Consultations, information disclosure, negotiations, reporting and joint monitoring</p> <p>Methodology Key Informant interviews (email, phone, one on one), meetings and workshops and joint planning sessions</p>	Minutes of Meetings Agreements	Bi-annually throughout all project phases	MoWI

Category	Institution	Details	Commitment Tools	Frequency and Timing	Responsible Entity
Local Government Agencies (LGAs)	Busega, Maswa a, Bariadi, Meatu and Itilima Districts	<p>Information to be disclosed <u>Implementation phase:</u> Project progress and challenges, project principles and procedures in regards to land issues, grievance management all other ESMF related issues incl. mitigation measures, emergency handling, public health interventions etc..</p> <p>Engagement strategy Consultations, information disclosure, negotiations, and joint monitoring</p> <p>Methodology Key informant interviews (email, phone, one on one), joint planning sessions , brain storming sessions, meetings and workshops</p>	MoUs Minutes of Meetings	Quarterly throughout all project phases	MoWI
Beneficiaries	Wards and Villages	<p>Information to be disclosed <u>Inception and Implementation phase:</u> Programme design and composition, project principles and procedures in regards to water infrastructure (small dams and irrigation), climate smart agriculture (provision of inputs, Farmer Field Schools), Ngitili management, grievance management, all ESMF related issues.</p> <p>Format Oral and written (community meetings, information brochures, meetings with leaders, school information campaigns, public health outreaches, newspapers, posters, radio, non-technical summary documents, joint meetings and brain storming sessions in regards to matters that affect communities collectively</p> <p>Engagement strategy Consultations, information disclosure, negotiations, reporting and joint monitoring</p> <p>Methodology Community meetings, meetings with leaders, suggestion boxes in safe and accessible locations, focus group discussions, in depth discussions with the directly affected. Programme website, Stakeholder maps (need to be verified on site), Site visits of programme staff incl. "townhall"-meetings, Media (editorial part and classifies), Hotline (ideas/feedback and grievances), Workshops, Billboards and road signs</p>	MoUs Minutes of Meetings Consent agreements Grievance logs	Monthly during planning and construction phase As and when necessary during operation phase	PMU/LGAs

4.2 Stakeholder Engagement Process

The value additional stakeholder engagement brings forth in terms of better decision outcomes depends to a significant extent on how well the consultation process has been planned, organized and executed. Under the aegis of the PMU (ESM-officer) the following steps will be followed in the planning and implementation of specific stakeholder engagement or consultation plans:

- a. Defining the objective of the consultation: This is the why aspect which needs to be answered a priori. This means the facilitators (LGA officers) need to be very clear about the programme, and the key messages and promises to the stakeholders. It's also important to define the specific results which are expected out of the consultation (consent, buy-in).
- b. The PMU needs to identify and create a database of possible stakeholders: that might have a stake in the project or issue under consideration. The process needs to be refined by characterizing and ranking them in terms of their relevance, interest, influence etc. Short list participants for invitation on that basis of the screening exercise. This addresses the "who aspect" (who will take part).
- c. It's necessary to define the issues to be discussed: This is the crux of the consultation. Stakeholders have been invited and come to the meeting to learn (and influence) about what is going to happen, why it is happening, how it is going to affect them, to voice their fears, concerns, and contributions etc. The principles outlined in the above section need to be taken into consideration i.e. inclusiveness, transparency, integrity, etc. This addresses "the what aspect". Also here it is important to clearly work out ahead of time and prepare the information requirements for the consultation.
- d. It's further important for the PMU to work out the communication and dissemination arrangements: Stakeholder consultation is in many ways about sharing accurate information - about providing information and receiving feedback and disseminating and reporting results. Here decision has to be made about the type of medium to be used is appropriate for the stakeholders - Forums, billboards, local TV, radio, web related low barrier formats, written communication materials, etc. This aspect also includes a monitoring exercise - to follow and report what happened to or with the stakeholder inputs.
- e. Facilitators (LGA officers) also need to arrange the appropriate venue and time: This is about logistics, how long and where the consultation is to take (limiting transaction costs for participating beneficiaries), including determining the required resources, human as well as financial - budgeting, identifying the right persons to organize the consultation. This takes care of the "when" and "where" aspects.
- f. The PMU in collaboration with the facilitators (LGA officers) also needs to keep in mind how the consultation is to happen: Who is going to do the facilitation? Does the consultation require expert persons and resources? Does the consultation require third party participation? How records are to be kept? How is the consultation to be documented? These and related questions need to be answered very concretely. This will take care of the "how" aspect of the consultation.

4.3 Incorporation of Views of Vulnerable Groups

4.3.1 Definition and identification of vulnerable groups

Generally, the entire population in the Simiyu region could be categorized as vulnerable due to the prevailing high levels of poverty, weather dependent livelihoods and the very poor access to basic services. However, in the context of this project the definition of vulnerable groups will be limited to women, youth.

4.3.2 Women

Most economic active women (84%) work in the agricultural sector with only little access to land. Nearly three-quarters of all agricultural landholders are men. Women only own smaller plots and have restricted access to new technologies, training, extension advice, credit and other financial services. Women e.g. irrigate their plot mainly by flooding and bucket, without any mechanical irrigation systems. Furthermore, women are still discriminated due to traditional practices and customary law. Married women can access land through their husband, facing problems when they are getting divorced or widowed. Rural women play a key role in supporting their households by managing, additionally to their farming activities, all household chores, including processing food crops, providing water and firewood, and caring for the elderly and the sick.

The programme will make sure that women will disproportionately benefit from the programme's activities. They will be especially targeted in action field 2 (climate resilient cropping).

In order to achieve this programme activities have to take into account the specific situation of women headed households. For example, women might have an additional burden if project activities are required in addition to domestic tasks. The various limitations women enjoy (time constraints, land, inputs) have to be taken into account when projects were designed in detail.

The programme will finance measures that will enable women and the youth to have better access to land, finance, information and decision making. These are:

1. Access to land
 - A quota for women (25%) in farmer/irrigators' organisations, as part of the project financing criteria;
 - Environmental and social screening – including gender aspects;
 - Secured access to land through issuance of Certified of Customary Right of Occupancy.
 2. Access to finance
 - Establish saving accounts to promote long term investments;
 - Contest and financial awards to create awareness and promote entrepreneurship.
 3. Access to information
 - Farmer field schools offering training and information, possibly specific classes for women;
 - Knowledge network offering tailor-made information to officers and farmers;
 - Equipment to have reliable access to web-based information.
 4. Access to decision making
 - Women will have a mandatory representation of 25% in farmers' or irrigators' organisation ensuring access to information and voting rights regarding the programme's activities and performance.
-

Whether a project/activity affects women and youth should be appraised as part of the general E&S screening.

4.3.3 Youth

With regard to the youth it has to be determined whether the programme's activities contribute to youth employment creation and what kind of activities motivate young people to participate. In order to have tailor-made measures in place, women and the youth need be consulted (if needed in separate formats) and involved at an early stage of project development especially at the village level.

To ensure that the views of the vulnerable groups are taken into consideration in the planning of the various measures of the programme, the results of the consultations on village level have to be used as an input into the ESMP as well as for the selection of programme activities. All issues raised have to be summarized in the ESMP, and stakeholders should review it in order to ensure that the recommendations there are well captured.

It is further recommended that in all stages of the programme development, opinions of women be sought for purposes of gathering their input into key issues like location of small dams or location of farmer field schools.

Mobilisation of vulnerable groups can be through informal discussions at village level or through formal discussions with community based women associations or NGOs supporting those vulnerable groups. Key informant interviews with extension workers at ward level could also be useful.

4.4 Incorporation of Proceedings into Management Decisions

The results from the consultations and information sharing meetings will be shared with the programme organisation (PMU, Steering Committee) as background information to facilitate decision making from an informed point of view. The expressed views of the target groups will be used as basis or foundation upon which interventions will be developed or refined.

As noted in the feasibility study of the programme, the composition of the PMU personnel includes an environmental and social management expert. ESM explicitly includes all issues related to stakeholder engagement.

During programme inception, planning documents (operational annual and overall work plan), technical guidelines (participatory planning and appraisal), and management systems (monitoring and evaluation including safeguards, indicators, complaints mechanisms, ESMF) will be prepared or specified.

While preparing them, the PMU has to pay particular attention to consider and incorporate gender aspects, and has to:

- Ensure that project goals, objectives, processes, and activities are gender-sensitive and meet the needs and priorities of both community women and men;
- Identify constraints to women's participation and developing strategies to minimize or eliminate them;
- Make adequate staff and budget provisions for women's as well as men's involvement, including plans for hiring women staff;
- Develop a strategy for staff hiring and training in gender analysis (if staff have not yet been trained) and identify community training needs related to women's involvement;
- Where the programme utilizes village committees, ensure that a measure's design provides for their constitution in a gender-sensitive manner, which may be the case if women are tradition-

- ally in charge of one of the proposed activities, such as fuel wood collection; and
- Ensure that both women and men are equally involved in key project decisions, such as the choice of technology, service levels, arrangements for operation and maintenance.

4.5 Timetable

The following table attempts to give indicative deadlines within which the SEP activities should be completed if it is to be effective. In the absence of clear project timelines, it has been assumed that the programme will commence in 2017.

Table 2: Timetable for stakeholder engagement activities

No.	Activity	Project Phase	Timeline	Responsibility	Location
1	Submission of ESMF report to GCF	Planning	September 2016	MoWI	Dar es Salaam
2	Publication of ESMF on KfW Website	Planning	September 2016	MoWI / District and Town Councils	Frankfurt
3	Establishment of the Programme Steering Committee	Planning	2017		
4	Establishment of PMU	Inception	2017	MoWI	Simyu Region (Bariadi)
5	Appointment of EMSF Officer	Inception	2017	PMU	Bariadi
6	Mobilisation of District Authorities (LGAs)	Inception	2017	MoWI/SWSSA (Community Liaison Unit)/Consultants	Busega, Bariadi, Itilima
7	Identification and training of LGA officers being in charge of community mobilisation	Inception	2017	PMU/Consultants	LGA offices
8	Identification of stakeholders. Creation of stakeholder database	Inception	2017	PMU (inputs from LGAs)	PMU office
9	Community mobilisation and sensitisation	Inception	Jan-Feb 2017	PMU and LGAs	Villages
10	Periodic stakeholder update meetings and press releases	Implementation	Mid 2017-2020	PMU and LGAs	Districts
11	Feedback to communities	Implementation	2017-2020	LGAs	Wards and villages
12	Monthly grievance resolution sessions	Implementation	2017-2020	PMU, affected LGAs	Districts and villages
13	Quarterly monitoring of the Implementation of agreed upon strategies	Implementation	2017-2020	LGAs	Districts

14	Periodic reporting	Implementation	2017-2020	PMU & LGAs	Districts and Region
----	--------------------	----------------	-----------	------------	----------------------

4.6 Resources and Responsibilities

The successful implementation of the SEP is also an integral part of the ESMF. The PMU will have to hire an EMSF officer. The EMSF officer will oversee, guide and coordinate the overall stakeholder involvement process. The LGA implementation officers will maintain close relationships with all stakeholders including the directly affected communities through their leadership and elected representatives. The EMSF officer will be part of the project management team for purposes of ensuring that community related issues are given due consideration when taking management decisions. In addition to external stakeholders the EMSF officer will closely collaborate with the project internal managers for purposes of consensus on the procedures to follow and ensuring that all disseminate consistent information and adopt uniform approaches.

Given the spatial scope of the project, the EMSF officer will require support from lower local levels (LGAs).

4.6.1 Responsibilities

The responsibilities of the EMSF officer and the LGA officers in the districts will include but not limited to the following:

- Official representative of the programme to the project stakeholders;
- Liaison with all programme stakeholders;
- Responsibility for all the programme public relations and communications to all the stakeholders including the communities;
- Dissemination of information about the grievance mechanisms to all affected communities
- Mediation between the project and the community;
- Identification of local NGOs or CBOs for potential operational partnerships and collaboration with reference to implementation of sensitisation and mobilisation campaigns;
- Together with the other members of the PMU and the respective district officers planning addressing community related issues;
- Periodically updating management on community affairs and their possible dynamics
- Monitoring the effectiveness of the grievance resolution system;
- Ensuring that community health and safety issues are prioritized as part of the ESMF; and
- Reporting on all the community related activities including community health and safety initiatives, stakeholder participation and grievance handling as part of the ESMF monitoring and reporting

4.6.2 Costs

With the PMU designating one staff member as ESMF officer and the Implementation Consultant having long term presence and a pool of short term consultant to mobilise, there is sufficient expertise within the programme to handle respective stakeholder management tasks. Since stakeholder involvement is a constituent part of the participatory programme approach (working closely with farmers) it cannot be separated from core programme activities. Independent reviews can be financed out of the person-months allocated to the Implementation Consultant, or from contingencies.

5. Grievance Mechanism

Given the low impact of the programme it is not very probable that people will become negatively impacted by the programme. Any negative impact, however, needs to be mitigated promptly in order to avoid unnecessary tensions and conflicts. The strategy to be adopted will promote involvement of the lowest level authorities since they are easily accessible to the people. The strategy will also include a combination of the legal requirements and socially/customarily acceptable practices. Handling of grievances will be the joint responsibility of PMU or its authorized representative and the LGAs.

The objectives of the grievance resolution mechanism will be:

- To create a mechanism through which affected people can communicate their dissatisfaction or grievances;
- To create a mechanism through which the project will be able to pick-up all the complaints;
- To create a mechanism through which the project will systematically, promptly and exhaustively respond to peoples' complaints; and
- To create avenues through which affected people and the program can come together in order to solve problems and handle issues arising.

Generally we distinguish between two kind of grievances:

- A. Grievances which are not specific to the programme like land disputes. For this kind of grievances mechanisms are already in place. (Grievance Redress System)
- B. Complaints and grievances directly related to program implementation which can directly be addressed by the program management. (Complaints handling)

A designated person in the PMU (or in RAS) should be assigned as the grievance manager. All grievances need to be recorded properly. If problems cannot be solved at the programme level the grievance manager must ensure that appropriate follow-up takes place and is also documented.

Websites and printed material produced to enhance the programme's visibility should also present the grievance mechanism and contact details (phone number, address, responsible person).

In order to keep track of stakeholder involvement, questions related to this topic should be part of the annual E & S reporting of the programme and each related project. In order to obtain a clear and realistic picture it is recommended to follow a participatory monitoring approach (see below).

5.1 Grievance Redress System (land and property)

Some communities already have their own community based systems for grievance redress. These structures are within the sub-village (hamlet) structure, through the sub-village leadership and council of elders. The justification for the involvement of the sub-village leadership is the vast knowledge they have in regard to land ownership and their closeness to the affected households.

However, not all cases will be resolved within the traditional system, so other higher authorities should be involved to follow up on the unresolved cases.

It is worth noting that priority will be given to all possible community based approaches and efforts will be made to ensure that complaints are resolved at that level. The judicial system will be used as a last resort.

The proposed grievance redress system will only target cases involving the programme and the communities involved. The guiding principles to be followed during grievance resolution will in-

clude but not limited to the following: fairness, respect of human rights, compliance with national regulations, consistency with standards, equality, transparency honesty and respect for each other among others.

Although the programmes will try to avoid any activities on disputed lands, land issues can not entirely be excluded. In those cases we recommend to following redress mechanism a five level procedure as illustrated in Figure 1.

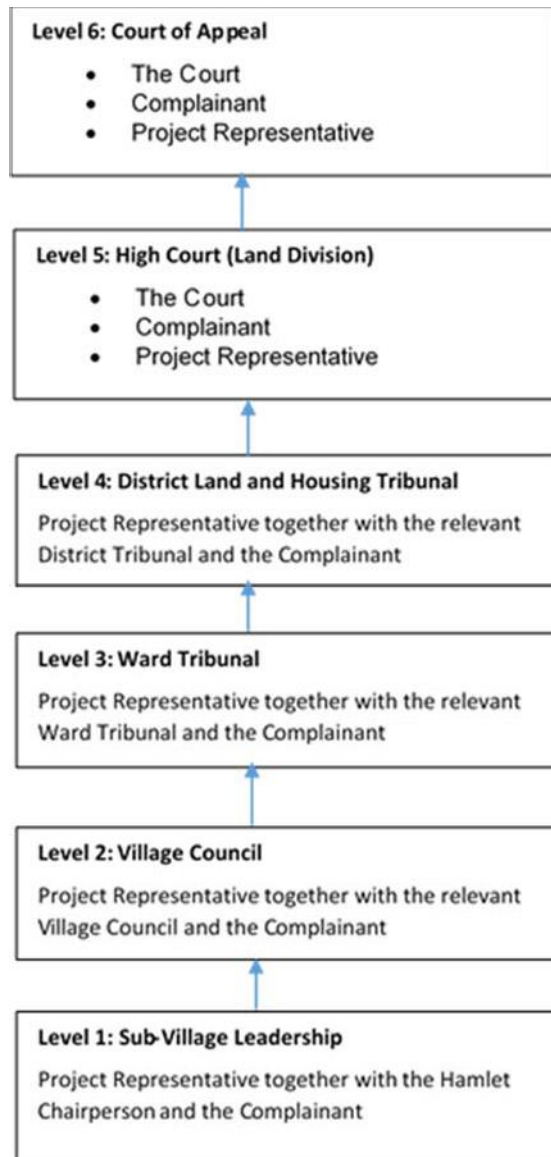


Figure 1: Grievance redress system (land and property issues).

Level 1: Sub-Village Leadership – affected people will be expected to submit their complaints in writing on standard forms or orally to the LAG directly or through their sub-village leader. The claimants will be assisted by the village leadership to put their complaints and claims in writing. At this level, received complaints will be registered, investigated and resolved by the LGA officer, together with the sub-village leader and the complainant. A final decision on the way forward will be communicated to the complainant directly. In situations where both parties agree, the case will be closed at this level. Complaints at this level will mainly but not exclusively revolve around identification of rightful owners of property and confirmation of boundaries between households.

Level 2: Village Council - All cases that cannot be resolved at the first level will be referred to the Village Council. In situations where both parties agree, the case will be closed at this level. Complaints at this level will mainly revolve around identification of rightful owners of property and confirmation of boundaries between households.

Level 3: Ward Tribunal - All cases that will not be satisfactorily resolved by the village council will be forwarded to the Ward Tribunal. It should however be noted that the ward tribunal can only resolve cases of up to 3 million shillings worth. Cases with higher value will be forwarded directly from the village councils to the district tribunals. Village authorities will be encouraged to witness the process.

Level 4: District Land and Housing Tribunal - All cases that may not have been satisfactorily resolved by the Ward Tribunal or cases beyond the Ward Tribunals capacity to handle will be forwarded to the District Land and Housing Tribunal if they are land related, and not exceeding 50 million shillings. All complaints accruing out of the compensation value, payment process will be resolved at this level

Level 5: High Court (Land Division) - All cases that will not be satisfactorily resolved by the District Land and housing Tribunal will be referred to the high court.

Level 6: Court of Appeal – Claimants dissatisfied by the resolution of the high court will have a right to appeal in the court of appeal.

5.2 Complaints Handling Process (Programme Management and Implementation)

Grievances related to programme implementation should be resolved within the programme implementation structure.

All affected stakeholders will be expected to submit their complaints to either of the following collection points (corresponding to level 1 above):

- Sub-village leader
- LGA officer/PMU

All received written or oral complaints will be registered in the PMU's database by the LGA officer. After registration, the grievance will be assessed and forwarded to the relevant office. The concerned officers will then investigate the validity of the grievance and plan the way forward. A fact-finding mission will be conducted together with the complainant, sub-village leader and a PMU officer (ESM). Proposals on how the grievance can be resolved will be discussed and the complainant will be advised accordingly.

Upon acceptance by the complainant and the actual implementation of the remedy actions, the complaint will be signed off as resolved. In situations where it will be difficult to reach a consensus the case will be forwarded to higher authorities for further mediation. Figure 26 below illustrates the process of complaints handling.

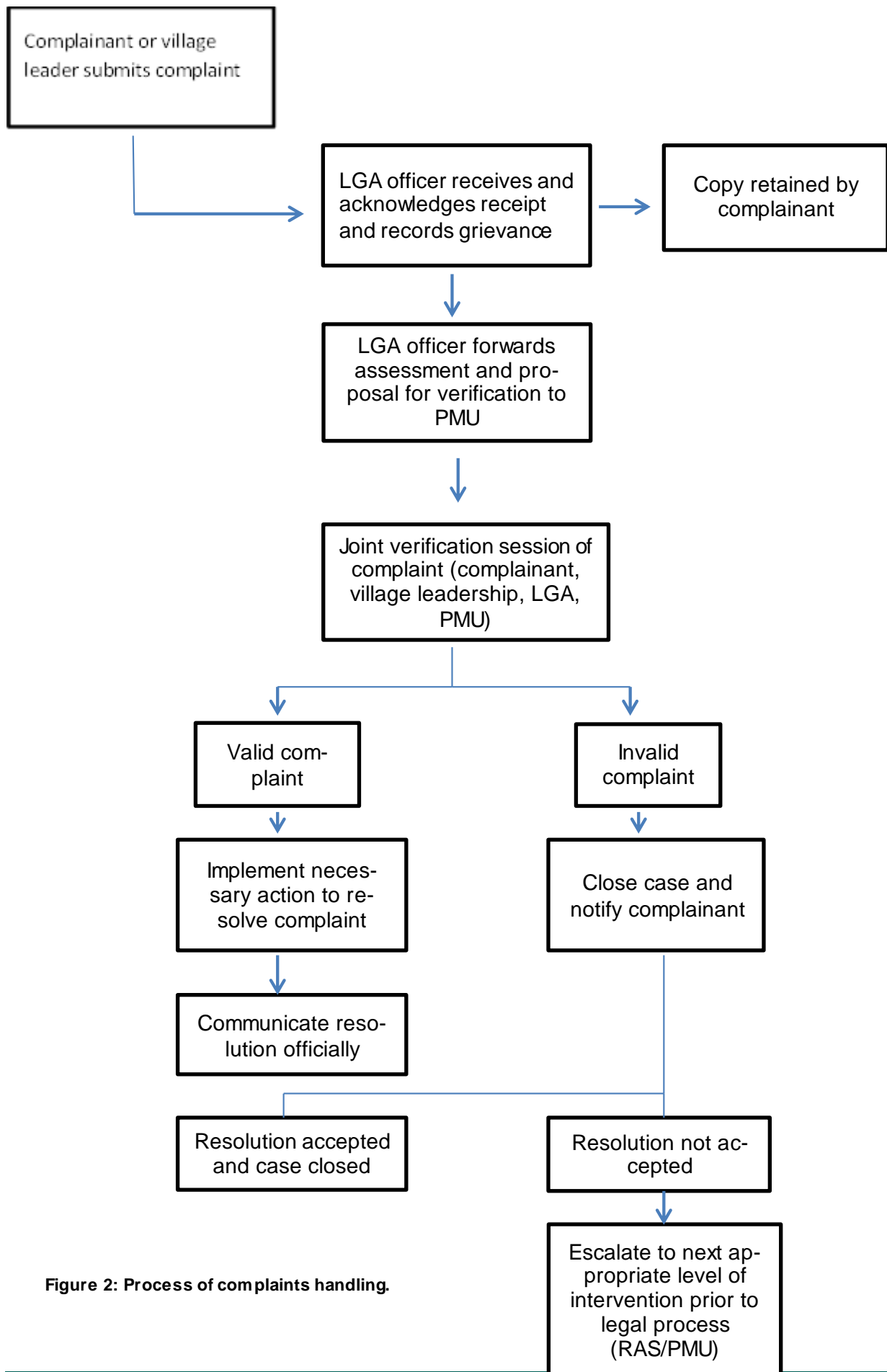


Figure 2: Process of complaints handling.

6. Participatory Monitoring and Evaluation

Assessing what has worked and what didn't helps communities, agencies and civil society leaders to reflect on these experiences while designing future activities. Inclusive and participatory monitoring and evaluation is also necessary to minimise misconceptions and misunderstandings about the programme and maintain a positive perception about the programme and projects.

Monitoring will be a joint effort from the PMU and the beneficiaries of the programme to assess to what extent impacts have incurred as planned and the effectiveness of mitigation measures. The monitoring of **stakeholder engagement** and the related successes and failures are also part of this exercise. The design of the monitoring and reporting procedures needs to be prepared in parallel with the preparation of the first annual work plan for the programme.

Field monitoring will verify:

- i) the biophysical and socio-economic impacts of the programme;
- ii) implementation of the mitigation measures on the projects;
- iii) positive and negative environmental and social impacts (if any) taking place in the project area including unplanned and unpredicted impacts; and
- iv) compliance and effectiveness of the **SEP** and the ESMF (which relate to each other) and application of the recommended standards including stakeholder engagement and implementation of the grievances/complaints mechanism

Independent annual reviews of the project and the implementation of the ESMF will be conducted at the end of each year. The compliance assessment and performance review reports will be produced independently from the PMU and will be used as a monitoring and review tool to track ESMF results. In the review process, the PMU and district authorities will play the lead role in coordinating the process with key stakeholders.