

REDD+ in the Yaeda Valley II

Validation Report

EPIC Sustainability



V 1.2

22.05.2018

EPIC Sustainability

Plan Vivo

Project Validation Report

Name of Reviewers: Mr A Prabu das and Dr D Siddaramu (EPIC Sustainability)

Date of Review: 13 Nov 2017 to 18 Nov 2017

Project Name: Reducing Emissions from Deforestation and Forest Degradation in the Yaeda Valley, Northern Tanzania

Project Description: The Yaeda valley REDD+ project involves the participation of native hunter-gatherer Hadzabe and pastoralist Barabaig communities in Mongo Wa Mono, Domanga and Yaeda chini villages, Mbulu District, Northern Tanzania. By working in conjunction with traditional leaders, the elected village governments and community members, Carbon Tanzania (CT) and Ujamaa Community Resource Team (UCRT), the project have created a unique community planned and operated Reduced Emissions from Deforestation and Degradation (REDD+) project in the Yaeda Valley and adjacent Gideru ridge. This REDD+ project envisages continued strengthening of land tenure, augmenting management capacity and effective local natural resource management, enhancing and diversifying local incomes, and in the process contributing to local and national environmental conservation aims and the Sustainable Development Goals (SDGs). The project aims to avoid deforestation successfully through a series of interventions including reinforcing the implementation of the approved village land use plan and associated village by-laws, improving forest conservation and management activities and addressing the primary driver of deforestation, i.e shifting agriculture.

The project "Yaeda I" which was initially registered under Plan Vivo has now expanded to include neighbouring village Yaeda Chinni covering an area of 13,283 hectares in the extension plan as "Yaeda II". The Project Yaeda I and II and the included technical specifications is approved by Plan Vivo, in the form of accepted revised PDD dated June 2016. Both Yaeda I and II village follow the same governance and land ownership structures, baseline methodology for carbon accounting, Interventions and activity based monitoring approaches. The total project area in Yaeda I and II which is now incorporated into a single Yaeda Valley REDD+ project is 34,073 hectares. In the present validation, the PDD dated May 2018 is updated to include the grievance mechanism in Sec E.3, with no changes to the rest of the sections. The validation team confirms that the present PDD dated May 2018, is materially the same as the PDD dated June 2016

List of Principal documents reviewed (including list of sites visited and individuals/groups interviewed):

- See Yaeda Valley REDD+ verification report

Visited sites: Mongo Wa Mono, Domanga and Yaeda Chini villages

List of individuals interviewed:

1. Marc Baker, Project Coordinator, Carbon Tanzania
2. David Beroff, Project Operations Manager, Carbon Tanzania
3. Issac Bryson Magambo, Yaeda valley Manager
4. Yaeda Chini Village heads and members interviewed is attached as Appendix 2

Description of field visit: The on-site assessment for the validation assignment was combined with the verification of Yaeda I and II. The on-site field inspection was carried out between 13 Nov 2017

to 18 Nov 2017, it included meetings and interviewing 80+ people from the villages of Mongo Wa Mono, Domanga and Yaeda Chini villages. The meeting was in the form of community gathering in the active presence of community heads, local village government officials and the village beneficiaries.

Validation Opinion:

The project has resolved all major CARs and minor CARs that need to be resolved at the conclusion of the validation assignment. It is the opinion of the validator that the project Yaeda II which is an extension of Yaeda I, is already approved by Plan Vivo foundation and is in accordance with the Plan Vivo-Standard 2013 requirement for validation. Both Yaeda I and II village follow the same governance and land ownership structures, baseline methodology for carbon accounting, Interventions and activity based monitoring approaches.

Table 1. Summary of major and minor Corrective Actions (Insert CAR Text)

Theme	Major CARs	Minor CARs	Observations
Governance	2	1	0
Carbon	3	1	0
Ecosystem	0	0	0
Livelihoods	1	0	1

Table 2 - Report Conformance (Delete Yes/No as appropriate)

Theme	Conformance of Draft Report	Conformance of Final Report
Governance	Yes/No	Yes/ No
Carbon	Yes/No	Yes/ No
Ecosystem	Yes/ No	Yes/ No
Livelihoods	Yes/No	Yes/ No

Theme	1. Effective and Transparent Project Governance
<i>Ensuring that the project meets requirements 3.1-3.16 of the Plan Vivo Standard (2013)</i>	
A. Requirement	1.1 Administrative capabilities Is there a legal and organizational framework in place that has the sufficient capacity and a range of skills to implement all the administrative requirements of the project? Aspects of this framework may include: <ul style="list-style-type: none"> 1.1.1 A legal entity (project coordinator) that is able to enter into sale agreements with multiple producers or producer groups for carbon services 1.1.2 Standard sale agreement templates for the provision of carbon services 1.1.3 Systems for maintaining transparent and audited financial accounts able to the secure receipt, holding and disbursement of payments to producers 1.1.4 All necessary legal permissions to carry out the intended project activities

	1.1.5 Mechanisms for participants to discuss issues associated with the design and running of the project 1.1.6 Procedures for addressing any conflicts that may arise 1.1.7 Ability to produce reports required by Plan Vivo on a regular basis and communicate regularly with Plan Vivo
B. Guidance Notes for Validators	Organizational and administrative capacity may be demonstrated through: <ul style="list-style-type: none">• A record of managing other projects - especially those involving the receipt, safeguarding and management of funds and disbursement of these to smallholders/community groups• Project staff who can explain the legal status of the organisation and its management and financial structure i.e. how funds will be held and transferred – backed up by evidence of setting up bank accounts and record-keeping systems etc.• The views of others who have worked with the organisation in the past (such as government, other project partners or other NGOs)• A visibly efficient and functioning office with all necessary staff
C. Findings (describe)	The Yaeda II under validation is an extension of Yaeda I and is now incorporated into a single project. The validation re-confirms that both Yaeda II and I follow the same governance and land ownership structures, baseline methodology for carbon accounting, Interventions and activity based monitoring approaches and no difference is observed except for the land area. Yaeda II involves the inclusion of neighbouring village Yaeda Chinni covering an area of 13,283 hectares in the extension plan as “Yaeda II”, and the total area under the unified Yaeda Valley REDD+ project now is 34,073 hectares.
D. Conformance	Yes <div><input checked="" type="checkbox"/></div> No <div><input type="checkbox"/></div> N/A <div><input type="checkbox"/></div>
E. Corrective Actions (describe)	Major CAR 01: The project coordinator to explain whether/how the following requirement of <i>Plan vivo standard 2013</i> , is met by the project:- <ul style="list-style-type: none">• <i>Requirement 3.9 states that “funds intended for PES earmarked and managed through an account established for this sole purpose, separate to the project coordinator’s general operational finances.”</i>• <i>Requirement 3.10 expects “A project budget and financial plan must be developed by the project coordinator and updated at least every three months” – what is the current frequency currently followed – please submit the evidence related to that.</i>• <i>Requirement 3.12 stipulates “Project records must be backed up regularly (at least every 3 months unless there has been no activity) and held in an independent location from the primary source, to protect against data loss” – in relation to this pls explain which is the primary source and the independent location, also explain the steps followed in data preservation.</i>
F. (Insert Project Coordinator’s Name) Response	Requirement 3.9: The project developer under contractual agreement with the implementing communities, pays funds into community designated accounts. The community decides how the funds collected from the sale of Plan Vivo Certificates should be spent to further community development needs, and to discharge their responsibilities under the contract for payments

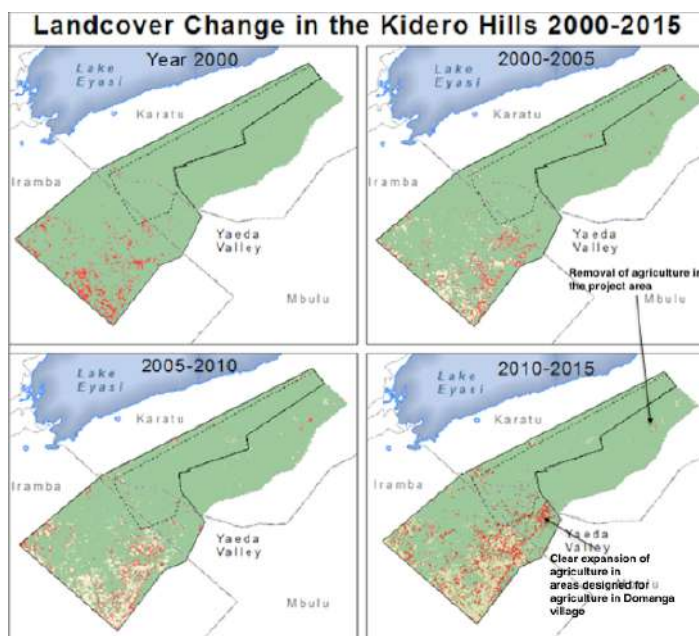
	<p>for ecosystem services. The community holds several accounts for this purpose, relating to the various destinations of the funds, such as education, health or general expenditure. These accounts are administered by authorised officers of the community in line with the laws of the Government of Tanzania (The Local Government (District Authorities) Act, 1982).</p> <p>Requirement 3.10: As per the contractual agreement between the project developer and the participating community project budgets are reviewed every six months in advance of the payment events (May and November of each calendar year). After the payments have been made the participating communities submit their plans for the use of the funds, including the pre-agreed activities such as local scout patrolling, reporting and management, and the other community mandated financial needs.</p> <p>Requirement 3.12: Carbon Tanzania operates its business utilising a Google Business account – this means that all documentation is backed up automatically to the Google Drive cloud associated with the company account. Further complete back ups of the entire company file registry are made to a company Hard Drive storage device every Friday afternoon at close of business. In addition to these two main back up facilities, each member of the Carbon Tanzania team in possession of a company computer (2 individuals) perform personal back ups of their entire computer hard drives each week to their own personal back up drives.</p>
G. Status	<p>The project coordinators response to CAR 01 is accepted by the validation team:-</p> <p>The Verification team confirms that a separate account earmarked for PES payment exists and that for the Yaeda project activity – the on-going ‘project budget and financial plan’ updation every 6 months is a better/feasible option than the PV Standard requirement of every 3 months, since the frequency aligns with the community and local government meeting schedule.</p> <p>The data management and back-up procedures followed by CT is found to be acceptable in line with the PV Standard requirement.</p> <p>In compliance</p>

A. Requirement	1.2 Technical capabilities Is the project through its staff or partners able to provide timely and good quality technical assistance to producers and/or communities in planning and implementing the productive, sustainable and economically viable forest management, silvicultural and agroforestry actions proposed for the project and for any additional livelihoods activities that are also planned?		
B. Guidance Notes for Validators	Technical capabilities may be determined through: <ul style="list-style-type: none"> Discussions with project staff who should be able to define clearly who is responsible for the provision of technical support Interviews with project staff to demonstrate that they are familiar with the content of project technical specifications e.g. species to be planted, spacing requirements, management systems and any potential issues Feedback from farmers/communities who have been supported in the past On-site evidence of project activities (possibly from other projects) that have benefited from technical support 		
C. Findings (describe)	Since the project is a REDD project, the specific requirement doesn't apply. However, in terms of technical capabilities in managing the project, following is observed. As agricultural expansion from neighbouring communities is the primary threat to the project area both in Yaeda I and II, to mitigate leakage to nearby forest areas, Carbon Tanzania will need to engage with an outside organization or develop in-house capabilities of promoting sustainable agricultural intensification practices in these communities. PDD discusses this information, but the project has not yet identified an agricultural expert, apart from FarmAfrica (agricultural specialist) whom it is said to be engaged only in July 2016 and the PDD doesn't clearly specify where it plans to target these activities.		
D. Conformance	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
E. Corrective Actions (describe)	<u>Major CAR 02:</u> Considering that the project has undergone 5-year monitoring, post the initial Plan Vivo registration for Yaeda I, and faces similar situation in Yaeda II in terms of land encroachment for agricultural activities. The project coordinator is requested to list out the activities carried out/planned in alleviating this threat with specific ref to training agriculturists in improved techniques and management. Additionally, provide information about the engagement with Farm Africa in July 2016 and its outcome along with evidence.		
F. (Insert Project Coordinator's Name) Response	Agricultural expert apart from Farm Africa An Early Situational Analysis of Agricultural Context in Yaeda Valley and Gideru Hills was conducted on behalf of Carbon Tanzania by Ekko Oosterhuis, Director of QFP Agro (www.qfp-agro.com). This is included and referenced in the PDD. Major CAR 02:		

Problem of land encroachment for agricultural activities. Request to list out the activities carried out/planned in alleviating this threat with specific ref to training agriculturists in improved techniques and management. Additionally, provide information about the engagement with FarmAfrica in July 2016 and its outcome along with evidence.

1. Alleviating the threat of land encroachment = Land use planning and enforcement

Continued enforcement of Land-use plans by the community guards has helped keep agriculture within the areas designated for agricultural area and importantly out of the reserved project area. Simultaneously our partners UCRT continue to implement land-use planning in the surrounding areas (notably in neighboring Eshkesh) around Yaeda helping mitigate land encroachment locally and stopping other encroachers before they even get to the area. UCRT has also begun physically demarcating the borders of different land-use area types with beacons around all the Yaeda Valley.



Map showing agricultural expansion limited to areas demarcated for agriculture

2. Ref to training agriculturists in improved techniques and management

Based on FarmAfrica assessment and discussions with other experts and the local community Carbon Tanzania has decided to focus its agricultural program on these areas.

- Improved technique and access to production of high-yielding sorghum varieties as well as legumes
- Training by experts on how to locally produce fertilizers to improve soil health and thus yields
- Expert training on how to produce and use locally made and safe pesticides

	<ul style="list-style-type: none"> • Great a hot-line where community members can call free of charge a qualified agricultural extension area, something unavailable locally • To create a Swahili handbook for improved agriculture in the Yaeda valley focused on the aforementioned goals and techniques • Link : ../Google Drive/1. Project dev and ops/YEADA/FarmAfrica - Agricultural assistance/CT YAEDA AG HANDBOOK.docx <p>3. Information about the engagement with FarmAfrica in July 2016 and its outcome along with evidence.</p> <p>In July 2016 Farm Africa was tasked with doing a major evaluation of potential for agricultural improvement and production in the Yaeda Valley. Ultimately the suggested actions were as follows:</p> <p>Initial efforts should probably focus on two grain crops and one legume: drought-tolerant maize, high yielding sorghum, and cow peas (or green-grams). These crop choices should be validated through discussions with farmers and adjusted to reflect local interests. Support would concentrate on four key areas:</p> <ul style="list-style-type: none"> • Establishing reliable new seed sources of crop varieties appropriate to the area • Introducing fertilizer (pesticides are a lower priority) • Providing extension services on good agricultural practices • Developing farmers' understanding of crop markets <p>Taking this into effect Carbon Tanzania began to develop its agricultural engagement strategy. Full report: ../Google Drive/1. Project dev and ops/YEADA/FarmAfrica - Agricultural assistance/Yaeda Valley Agriculture Potential Scoping Mission.docx</p> <p>This ongoing approach is documented in section A4. Of the 2016-2017 Annual Report and shown below;</p> <p>A4. Future developments</p> <p>Consolidation of the project extension in Yaeda will be the main focus of this coming year, improving the patrolling and on-site project management will continue to be our priority. We are currently working on three major project interventions and developments;</p> <p>Carbon Tanzania is currently developing a proposal to work with Farm Africa to build upon our current agricultural improvement process, a key part of enabling us to inform better land management. With the project extension incorporating Yaeda Chini, there is a growing need to professionalise agricultural extension officers, conduct a situation analysis of growing conditions and critically, attempt to improve links to market.</p> <p>Our Yaeda manager has begun the situation analysis this year with the onset of the rains so we have a baseline to work with, agricultural success varies every year which requires us to engage with the question; 'What agricultural output is likely to provide the best outcomes for land and regular marketable produce'. Our participatory analysis from the areas under makazi (agricul-</p>
--	---

	<p>ture) is on target for the second trimester of 2016 and will be reported on in the next annual report. UCRT have also made a proposal to increase rangeland health within the project area working with neighbouring pastoralist communities, the output from this is again a focus on rangeland health. All of these approaches play a role in reducing the need to impact the current project area.</p>
G. Status	<p>The explanation (Point 01: Alleviating the threat of land encroachment = Land use planning) provided by the project coordinator in response to mitigation of leakage is accepted by the verification team. During the on-site visit, and interaction with the UCRT and by visual observation it is confirmed that efforts to mitigate leakage exist in the project. Continuous engagement of neighbouring villages by UCRT was officially recognised during the site visit. It was observed that different land use plans in the project area are clearly demarcated by means of beacons, and the land use maps are displayed at the local govt offices/places of village gathering. Further, the submitted maps for the period 2000, 2000-05, 2005-10 and 2010-15 clearly supports the claim of the project activity (Map showing agricultural expansion limited to areas demarcated for agriculture).</p> <p>Since the points “2. Ref to training agriculturists in improved techniques and management 3. Information about the engagement with FarmAfrica in July 2016 and its outcome along with evidence” is an on-going activity, the verification team marks the finding CAR 02 as closed and opens Forward Action Request (FAR) 01 Minor and recommends the activities/events to be verified in the next annual reporting or in the next verification event, as appropriate.</p> <p>FAR 01 Minor: OUTSTANDING to be closed during next annual reporting period or by the next verification event.</p>
A. Requirement	<p>1.3 Social capabilities</p> <p>Is the project, through its staff or partners able to demonstrate an understanding of the social conditions of the target groups/communities and likely implications of the project for these? This might include:</p> <p>1.3.1 A demonstrated ability to select appropriate target groups through stakeholder analysis and to understand the implications of the project for specific groups e.g. poor, women, socially disadvantaged etc.</p> <p>1.3.2 Groups/communities that are well-informed about the Plan Vivo System and the nature of carbon and ecosystem services</p> <p>1.3.3 Local groups/communities that can demonstrate effective self-governance and decision-making</p> <p>1.3.4 Well-established and effective participatory relationships between producers and the project coordinator</p> <p>1.3.5 Demonstrated ability to establish land-tenure rights through engaging with producers/communities and other relevant organisations</p> <p>1.3.6 Ability to consult with and interact with producers/communities on a sustained basis through participatory ‘tools’ and methods</p> <p>1.3.7 Established system for conflict resolution</p>
B. Guidance Notes for Validators	<p>Social capabilities may be determined through:</p> <ul style="list-style-type: none"> Records/minutes/photographs of community meetings and training workshops etc. Project staff able to explain (in line with PDD) how land tenure is checked by the project Project staff and communities able to explain how communities/target

	<p>groups were selected and involved in the development of the project and in the choice of activities</p> <ul style="list-style-type: none"> • Project staff able to demonstrate that they are familiar with the communities/target groups and able to interact with them easily through meetings facilitated during the validation • Meetings held with specific target groups e.g. women, socially disadvantaged etc. 														
C. Findings (describe)	<p>The validation re-confirms that both Yaeda II and I follow the same governance and land ownership structures, baseline methodology for carbon accounting, Interventions and activity based monitoring approaches and no difference is observed except for the land area. The communities/villagers of Yaeda chinni village is familiar to the project and the project coordinator (CT) by virtue of its adjacent location to Yaeda I and having realised the benefits of the existing project. The methodology followed is similar to Yaeda I, please refer to Minor CAR 03 raised below for closure of this issue.</p>														
D. Conformance	<table border="1"> <tr> <td>Yes</td><td><input checked="" type="checkbox"/></td> <td>No</td><td><input type="checkbox"/></td> <td>N/A</td><td><input type="checkbox"/></td> </tr> </table>	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>								
Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>										
E. Corrective Actions (describe)	<p>Minor CAR 03:</p> <p>It is observed that the local community members are employed in project activities such as Village Game Scouts (VGS), Walinzi Wajadi etc and it also include women among them. Project coordinator to explain the existence of marginalised groups in the project region and whether they are given an equal opportunity to fill employment positions in the project, also specify the minimum age for employment.</p>														
F. (Insert Project Coordinator's Name) Response	<p>Carbon Tanzania uses the Sustainable Development Goals (SDGs) within it's monitoring, these goals and targets address these issues. The minimum age for employment in Tanzania is split into two categories, age 14 for normal work and age 18 for hazardous work. The work covered by the village game scouts (mainly due to the presence of wildlife in the project area) falls under the latter category. The minimum age for VGS is therefore 18. Within Yaeda, the communities as a whole choose who the project employs, however due to Carbon Tanzania's own company policy on gender equality and the needs of buyers, all training of community groups must be at least 30% female and all educational opportunities must be equal.</p> <p>Carbon Tanzanias activity plan for training/gender equality and the SDGs.</p> <p>Note: This is a requirement for buyers such as Native Energy</p> <table border="1"> <thead> <tr> <th>Activity</th><th>Outcome</th><th>Business-As-Usual (Baseline)</th><th>Target</th><th>Sustainable Development Goals (SDGs)</th><th>Date</th><th>Verification</th></tr> </thead> <tbody> <tr> <td>Activity Area 1: Education & Employment</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table>	Activity	Outcome	Business-As-Usual (Baseline)	Target	Sustainable Development Goals (SDGs)	Date	Verification	Activity Area 1: Education & Employment						
Activity	Outcome	Business-As-Usual (Baseline)	Target	Sustainable Development Goals (SDGs)	Date	Verification									
Activity Area 1: Education & Employment															

	Community Scout Apprenticeship Program (Youth Employment)	50% increase in apprentices trained over the five-year period 30% of which are female	Professional ranger training at community based conservation training centre continues: 6 in 2017 12 2018 12 2019	4 youth per year (Youth Employment)	8.5 by 2030 achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value 8.6 by 2020 substantially reduce the proportion of youth not in employment, education or training	4 youth trained by November each year (2018-2022)	Training records and certificates
	Implement SMART (Spatial Monitoring and Reporting Tool) data collection and monitoring technology SMART is a combination of software, training materials and patrolling standards used to monitor wildlife, threats, and generally make patrols more effective	All Community Scouts are patrolling and collecting data using SMART Yaeda Valley Natural Resource Management Monitoring Reporting and Verification is re-	Scouts conduct monthly patrols using low-tech paper reports as a monitoring method. This data is then manually entered into excel based database	All Community Scouts, apprentices, and management are familiar with and using SMART	4.3 by 2030 ensure equal access for all women and men to affordable quality technical, vocational and tertiary education, including university 4.4 By 2030, substantially increase the number of youth and adults who have relevant skills, including technical and vocational skills, for employment, decent jobs and entrepreneurship	Purchase of equipment, refining of platform 1 st Training by April 2018	Delivery of equipment. Development of the platform. Initial data outputs

			fined						
	Profes- sional man- age- ment train- ing for field per- sonnel	In- creas ed ca- pa- city for local Yaeda based and sourc ed team to mana ge Yaeda Pro- ject Clear un- der- standi ng of expec ted roles and re- spon- sibili- ties amon g mana ge- ment team	Traine d local man- age- ment team in place but much room for im- prove ment in higher level man- age- ment tech- niques and com- muni- cation abili- ties	Manage- ment Team (8 people, 4 male / 4 female)	4.3 by 2030 ensure equal access for all women and men to af- fordable quality tech- nical, voca- tional and tertiary edu- cation, in- cluding uni- versity 4.4 By 2030, substantially increase the number of youth and adults who have rele- vant skills, including technical and vocational skills, for employment, decent jobs and entre- preneurship	June - July (2018-2022)	Training records Docu- ment which refines roles and respon- sibilities		
G. Status	The explanation provided by CT is acceptable to the validation team, and it is inline with the on-site interaction with the village communities and observation made during the site visit. The team confirms that the PV standard 2013 requirement is in full compliance. In compliance								
A. Requirement	1.4 Monitoring and Reporting capabilities Does the project have an effective monitoring and reporting system in place that can regularly monitor progress and provide annual reports to the Plan Vivo Foundation according to the reporting schedule outlined in the PDD? 1.4.1 Accurately report progress, achievements and problems experienced 1.4.2 Transparently report sales figures and demonstrate resource allocation in the interest of target groups								
B. Guidance Notes for Validators	Monitoring and reporting systems and capabilities may be determined through: <ul style="list-style-type: none"> Staff and participating communities able to explain the monitoring system (how each of the indicators in the PDD will be monitored) Records of any monitoring already undertaken e.g. baselines or other in- 								

	formation <ul style="list-style-type: none">• Project staff showing an understanding of the importance of annual re- porting to Plan Vivo as a requirement for issuance of certificates• Demonstrated ability to produce simple reports (e.g. for other projects)		
C. Findings (de- scribe)	Since both Yaeda II and I follow the same governance and land ownership structures, baseline methodology for carbon accounting, Interventions and activity based monitoring approaches and no difference is observed except for the land area. Monitoring and reporting capabilities requirement is demonstrated to be similar to Yaeda I, thus no findings is marked.		
D. Conformance	Yes <div><input checked="" type="checkbox"/></div>	No <div><input type="checkbox"/></div>	N/A <div><input type="checkbox"/></div>
E. Corrective Ac- tions (describe)	None		
F. (Insert Project Coordinator's Name) Re- sponse	(To filled out by the Project Coordinator)		
G. Status	In compliance		

Theme	2. Carbon Benefits		
Ensuring that the project meets requirements 5.1-5.20 of the Plan Vivo Standard (2013)			
A. Requirement	2.1 Accounting methodology Have the carbon benefits been calculated using recognised carbon accounting methodologies and/or approved approaches and are the estimates of carbon uptake/storage conservative enough to take into account risks of leakage and reversibility?		
B. Guidance Notes for Validators	Check the carbon accounting methodology used including: <ul style="list-style-type: none">• The level of understanding of the methodology used amongst technical project staff• Whether all references and sources of information are available (include copies with the validation report if possible)• Whether the carbon accounting models are clear and transparent i.e. are the spreadsheets available and readily understandable? Can project staff answer and explain any technical questions about these?• Are local experts able to comment on the accounting methodology and on the sources of information used?		
C. Findings (describe)	The project Yaeda II is an extension to Yaeda I and has followed the same approach, i.e developed their own technical specification, which is reviewed by the Plan Vivo Technical Committee. The technical specifications cover the basic parts of any REDD methodology, including establishing a baseline scenario based on historical data, accurate measurement of carbon stocks that would be lost during deforestation, and plans for monitoring carbon stock changes against the baseline scenario.		
D. Conformance	Yes <div><input checked="" type="checkbox"/></div>	No <div><input type="checkbox"/></div>	N/A <div><input type="checkbox"/></div>

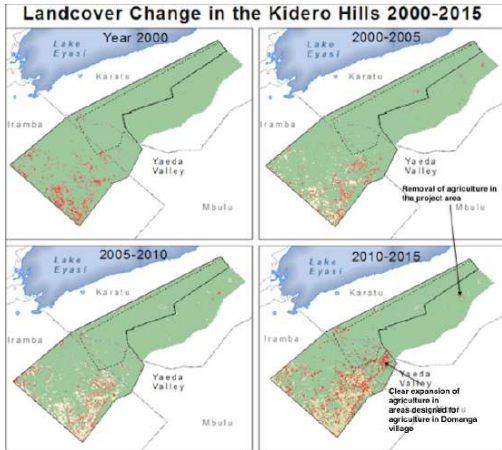
E. Corrective Actions (describe)	<p><u>Major CAR 04:</u></p> <p>PDD for Yaeda II does not contain information about the local experts comment on the carbon accounting methodology and on the sources of information used whereas it is reported for Yaeda I. In doing so, please refer to the document titled “Plan Vivo Approved Approach- Estimating Reference Emissions Levels”, dated May 2015 which requires to document the responses from local Experts.</p>
F. (Insert Project Coordinator’s Name) Response	<p>The following sentence is in section GI.4. Baseline scenario (Yaeda I) and in section GII.4. (Yaeda II). ‘The project has used the Winrock aboveground biomass (AGB) methodology⁴⁹ to calculate the existing carbon stocks in the project areas utilizing plot sampling. In preparation for carrying out the surveys, the project consulted with statistician Dr. Colin Beale, affiliated with the University of York.’</p> <p>The carbon accounting methodology used in Yaeda I & II is the same.</p>
G. Status	<p>Project technical specification only quantifies the carbon benefit resulting from the project. And the carbon accounting of the project adopt the Winrock methodology of calculating carbon above ground biomass with the assistance of ‘Nature Conservancy’. As per the validated PDD dated June 2016 and the latest updated PDD dated 18th May 2018: Aboveground biomass and belowground biomass were the only carbon pools considered when calculating the carbon benefits resulting from project interventions. The project has opted to exclude soil carbon, leaf litter, deadwood, and grass biomass. The validation team acknowledges that by not including these carbon pools in the calculations, the projected carbon benefits are conservative. Though the PDD says the soil carbon might be introduced as a carbon pool at a later date, the project has not considered soil carbon and carbon accounting is limited only to the above ground biomass at the time of this validation. The carbon accounting methodology used in Yaeda I & II is reviewed to be the same, submitted annual reports to Plan Vivo covering Yaeda II also confirms the same.</p> <p>In compliance</p>
A. Requirement	<p>2.2 Baseline</p> <p>Are the carbon benefits of the project measured against a clear and credible carbon baseline (for each project intervention)?</p>
B. Guidance Notes for Validators	<p>Check the baseline scenario in the technical specifications of the PDD:</p> <ul style="list-style-type: none"> • Check that baseline measurements have been carried out and information properly recorded • Check that the information from the baseline matches that in the PDD/Technical specifications and corresponds to the situation on the ground (by discussing with local experts and others)
C. Findings (describe)	<p>Since both Yaeda II and I follow the same governance and land ownership structures, baseline methodology for carbon accounting, Interventions and activity based monitoring approaches and no difference is observed except for the land area. However findings CAR 05 is raised for clarity of the baseline requirement inline with the PV Standard 2013 requirement.</p>

D. Conformance	Yes <input checked="checked" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
E. Corrective Actions (describe)	<p><u>Major CAR 05:</u></p> <ul style="list-style-type: none"> The project coordinator to explain how the reference region was selected or how it is similar to the project area (other than in terms of soil type) for Yaeda II. Kindly, confirm whether the guidelines contained in the document titled "Plan Vivo Approved Approach- Estimating Reference Emissions Levels", dated May 2015 are met in the baseline assessment. Submit the emission reduction calculation spreadsheet for Yaeda II 		
F. (Insert Project Coordinator's Name) Response	<p>In order to respond to this CAR, I will outline the stipulations with the Plan Vivo Approach;</p> <p><i>1.The reference area should be representative of the baseline conditions for the project intervention area in all possible ways:</i></p> <p>'The total land area of the reference region is 44,555ha, of this area, 27,799ha of <i>Acacia-Commiphora</i> woodland existed in 2000 which was then reduced to 26,011ha by 2013.' 'Recent land use change within the project area consists predominantly of conversion from <i>Acacia-Commiphora</i> woodland to a form of shifting agriculture. This land intrusion, conversion and resulting deforestation are contrary to the village by-laws, the village land use plan and national laws governing land acquisition and utilization within Tanzania⁴⁵⁴⁶⁴⁷. The encroachment originates from both inside village designated agricultural areas and outside the village of Yaeda Chini from the neighbouring villages of Endagunda but mostly from more densely populated areas to the East (Karatu District)⁴⁸. '</p> <p>2. The reference area should be geographically larger than the project intervention area and should include the project intervention area within it:</p> <p>The size of the reference region is 44,555ha, the project area is 13,283ha.</p> <p>3. The size of the reference area can vary but it should normally extend approximately 20-30 km from the project intervention area in all directions (although this may not be possible if there are significant differences in the wider forest landscape surrounding the intervention area):</p> <p>This is not possible due to conditions, to the north of the Yaeda II area is Yaeda I, already under a form of management through this project. Yaeda I was not included within the reference region.</p> <p>4. The reference area should resemble the project intervention area i.e. with similar forest types, similar drivers of deforestation (locally-driven deforestation), similar proportions of forest in different conditions, similar ownership and management regimes, similar topography etc:</p>		

	<p>This is addressed above in number 1.</p> <p>5. The reference area should be defined to exclude forests that are significantly different from the project intervention area, e.g. national parks, as these will be subject to different deforestation rates and different drivers of deforestation:</p> <p>Habitat types are very similar as evidenced by the carbon baseline for Yaeda I and II which followed the same methodology and resulted in very similar results (116tCO₂e/Ha – 117tCO₂e/ha). No protected areas exist within the reference region and Yaeda I was not included within the reference region for Yaeda II as we consider this protected.</p> <p>The reference area should exclude any areas for which planned deforestation has already occurred e.g. conversion to oil palm monocultures on an industrial scale (normally greater than about 20 ha at one site).</p> <p>N/A</p> <p>Emissions calculations for Yaeda II (also on page 40 of the PDD):</p> <table><tr><th colspan="4">Figure GII.4.3. Baseline emission calculations</th></tr><tr><td>1. Area of woodland under threat in project area</td><td>11,140</td><td>ha</td><td>Project area of 13,283ha minus the area already deforested between 2000-2013</td></tr><tr><td>2. Ha of woodland at end of 20-year crediting period without project</td><td>10,048</td><td>ha</td><td>Application of 0.49% deforestation rate, with annual loss of 54.6 ha</td></tr><tr><td>3. Loss of habitat without project over 20-year crediting period</td><td>1,092</td><td>ha</td><td>= Row 1 – Row 2</td></tr><tr><td>4. Total tCO₂e avoided during project lifetime</td><td>127,764</td><td>tCO₂e</td><td>= Row 3 x 117tCO₂e</td></tr><tr><td>5. Leakage 10% removed</td><td>114,987</td><td>tCO₂e</td><td>= Row 4 x 0.9</td></tr><tr><td>6. Risk buffer 20% removed</td><td>91,990</td><td>tCO₂e</td><td>= Row 5 x 0.8</td></tr><tr><td>7. Annual carbon benefits of project eligible for crediting</td><td>4,600</td><td>tCO₂e</td><td>= Row 6 / 20 years</td></tr></table>	Figure GII.4.3. Baseline emission calculations				1. Area of woodland under threat in project area	11,140	ha	Project area of 13,283ha minus the area already deforested between 2000-2013	2. Ha of woodland at end of 20-year crediting period without project	10,048	ha	Application of 0.49% deforestation rate, with annual loss of 54.6 ha	3. Loss of habitat without project over 20-year crediting period	1,092	ha	= Row 1 – Row 2	4. Total tCO ₂ e avoided during project lifetime	127,764	tCO ₂ e	= Row 3 x 117tCO ₂ e	5. Leakage 10% removed	114,987	tCO ₂ e	= Row 4 x 0.9	6. Risk buffer 20% removed	91,990	tCO ₂ e	= Row 5 x 0.8	7. Annual carbon benefits of project eligible for crediting	4,600	tCO ₂ e	= Row 6 / 20 years
Figure GII.4.3. Baseline emission calculations																																	
1. Area of woodland under threat in project area	11,140	ha	Project area of 13,283ha minus the area already deforested between 2000-2013																														
2. Ha of woodland at end of 20-year crediting period without project	10,048	ha	Application of 0.49% deforestation rate, with annual loss of 54.6 ha																														
3. Loss of habitat without project over 20-year crediting period	1,092	ha	= Row 1 – Row 2																														
4. Total tCO ₂ e avoided during project lifetime	127,764	tCO ₂ e	= Row 3 x 117tCO ₂ e																														
5. Leakage 10% removed	114,987	tCO ₂ e	= Row 4 x 0.9																														
6. Risk buffer 20% removed	91,990	tCO ₂ e	= Row 5 x 0.8																														
7. Annual carbon benefits of project eligible for crediting	4,600	tCO ₂ e	= Row 6 / 20 years																														
G. Status	<p>The explanation provided by CT in response to CAR 05 is acceptable to the validation team as it meets the PV Standard 2013 requirement.</p> <p>In compliance</p>																																
A. Requirement	<p>2.3 Additionality</p> <p>Are the carbon benefits additional? Would they be generated in the absence of the project? Will activities supported by the project happen without the availability of carbon finance?</p>																																
B. Guidance Notes for Validators	<p>Assess whether the project simply owes its existence to legislative decrees or to commercial land-use initiatives that are likely to be economically viable in their own right i.e. without payments for ecosystem services.</p> <p>Also, assess whether without project funding there are social, cultural, tech-</p>																																

	nical, ecological or institutional barriers that would prevent project activities from taking place.		
C. Findings (describe)	Yaeda II and I are adjacent and follow the same governance, land ownership structures, baseline methodology for carbon accounting, Interventions and activity based monitoring approaches. The conditions that would impact additionality of the project Yaeda II is very much similar to Yaeda I. The project does not owe its existence to legislative decrees or economically viable land-use initiatives, the validation confirms that the land use plan alone would not have been sufficient to prevent deforestation in the area. The region faces encroachment threats from agriculturists/pastoralists from the neighbouring villages. In the absence of carbon finance, the project area would not be adequately protected. It is likely that the project area would be poorly defended by the villagers without the efforts of the REDD project to organize and pay community members to patrol and enforce the land-use plan. Additionally, the project will provide funds from carbon finance to support the village government and district governments efforts to support the land-use plan and the compliance.		
D. Conformance	Yes <input checked="checked" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
E. Corrective Actions (describe)	None		
F. (Insert Project Coordinator's Name) Response	(Not applicable)		
G. Status	In compliance		
A. Requirement	2.4 Permanence Are potential risks to the permanence of carbon stocks identified in the project technical specifications and are effective and feasible mitigation measures included in the project design?		
B. Guidance Notes for Validators	Assess whether members of the community/producers are aware that they will enter into formal sale agreements with the project coordinator and that they therefore need to comply with the monitoring and mitigation requirements of the project. Check whether the risk buffer proposed in the PDD and technical specifications for each intervention (that will be deducted from the saleable carbon of each producer) conforms to the recommended percentages in the Plan Vivo Standard or other Plan Vivo documentation. Check with Plan Vivo if this is unclear.		
C. Findings (describe)	Yaeda II and I are adjacent and follow the same governance, land ownership structures, baseline methodology for carbon accounting, Interventions and activity based monitoring approaches etc. <u>Potential risks have been identified.</u> The village Yaeda Chinni have been given right of occupancy to the project area and they have no interest in grazing or nomadic way of agriculture related activity, therefore the risk of project reversal on the ground is low. The communities have entered into a sales agreement with the project coordinator.		

	<p>dinator and have agreed to their responsibilities in line with Plan Vivo REDD project</p> <p>The project has included a 10% risk buffer in their accounting of emissions reductions, similar to Yaeda I. thus the requirement is reviewed to be in compliance with the PV Standard 2013 requirement.</p>		
D. Conformance	Yes <input checked="checked" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
E. Corrective Actions (describe)	None		
F. (Insert Project Coordinator's Name) Response	(Not applicable)		
G. Status	<u>In compliance</u>		
A. Requirement	2.5 Leakage Have potential sources of leakage been identified and are effective and feasible mitigation measures in place for implementation		
B. Guidance Notes for Validators	Check the sources of leakage and the effectiveness of mitigation measures: <ul style="list-style-type: none"> • By discussions with local experts, the project coordinator and others. • Assess whether there is a good understanding of the importance of addressing leakage amongst project participants • Assess whether the mitigation measures proposed are really effective and likely to be implemented. Have they already started? 		
C. Findings (describe)	In this REDD project (Yaeda II which is an extension of Yaeda I), there is a strong likelihood of leakage because the primary beneficiaries of the project activities currently are not the same actors that would have caused the deforestation in the project area.		
D. Conformance	Yes <input checked="checked" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
E. Corrective Actions (describe)	<u>Major CAR 06:</u> <ul style="list-style-type: none"> • Project coordinator to explain the method of determining leakage, and how the area under leakage is arrived. • PDD (Yaeda II) dated June 2016 mentions measures to address leakage. One of them is to contract with agricultural specialist in partnership with UCRT to provide an alternative to continued land conversion, and other is to scaling up of project activities. Kindly list out the activities undertaken post June 2016. 		
F. (Insert Project Coordinator's Name) Response	Leakage in both Yaeda I and Yaeda II was determined as: 1. An area at least the size of the project area. 2. Adjacent/bordering the project area. 3. The same soil type. 4. Likely to occur due to land use planning or adjacent activities.		

	<p>1. The main strategy to engage with leakage is to ensure that agricultural activity and expansion occurs in areas designated under the land use plans. This is evident in the recent landcover change analysis (see below). Agricultural engagement is ongoing and is addressed in more detail in major CAR 02.</p> <p>Landcover Change in the Kidero Hills 2000-2015</p>  <p>2. Land use planning that facilitates the expansion of this project to neighbouring areas is evident as we have expanded this project from Yaeda I to Yaeda II. As land use plans are completed in neighbouring villages, such is the case now in Eshkesh, this project can continue to expand it's activities. Land Use Planning is now underway both to the north of this area and in adjacent villages, partly due to the revenue being received by participating communities.</p>
G. Status	<p><i>The explanation provided by the CT is acceptable to the validation team. The project should develop a clear leakage mitigation strategy that identifies the specific locations of leakage mitigation activities and a partner organization like FarmAfrica or similar with the proven technical capacity to care out the agricultural related leakage mitigation activities. Effecitive land use planning and implementation, drawing from the strengths of Yaeda I should be put in to use to alleviate the threats of leakage.</i></p> <p>In compliance</p>
A. Requirement	<p>2.6 Traceability and double-counting</p> <p>Are carbon sales from the project traceable and recorded in a database? Are the project intervention areas covered by any other projects or initiatives (including regional or national initiatives)? Are there formal mechanisms in place to avoid double counting?</p>
B. Guidance Notes for Validators	<p>Check the possibility of double counting and whether the carbon sales are traceable by:</p> <ul style="list-style-type: none"> By discussions with local experts, the project coordinator and other projects (including any national or regional level GHG coordination unit) Understanding the project system for maintaining records of carbon sales and keeping records and determining whether this is sufficiently robust and transparent (through discussions with project staff and local participants)

C. Findings (describe)	The project is tracking its carbon sales and is periodically reporting in the annual report for the submission to PV foundation. Yaeda II is an extension of Yaeda I, and the land area of both of them are clearly demarcated and is now unified into a single project. Further, the sale of PVCs are getting registered at the time of verification to ensure that there is no double counting.		
D. Conformance	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
E. Corrective Actions (describe)	("None")		
F. (Insert Project Coordinator's Name) Response	(Not applicable)		
G. Status	<u>In compliance</u>		
A. Requirement	2.7 Monitoring Does the project have a monitoring plan in place? Is it being implemented and does it seem to be an effective system for monitoring the continued delivery of the ecosystem services? Does the project coordinator prescribe and record corrective actions where monitoring targets are not met and are these effectively followed up in subsequent monitoring?		
B. Guidance Notes for Validators	Check whether the monitoring plan is effective and likely to be fully implemented: <ul style="list-style-type: none"> Assess the level of understanding of project staff and participating communities of the monitoring system and ensure that there are responsibilities for monitoring are matched by sufficient capacity Are the selected indicators (covering all aspects of monitoring) SMART? I.e. Specific, Measurable, Achievable, Relevant and Time-bound? Do the selected indicators properly measure impacts of the project or are they only able to measure inputs/activities? Are communities effectively involved in monitoring and do they understand their role? 		
C. Findings (describe)	Yaeda II and I are adjacent and follow the same governance, land ownership structures, baseline methodology for carbon accounting, Interventions and activity based monitoring approaches etc. please refer to Minor CAR 07 below for complete resolution of this requirement.		
D. Conformance	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
E. Corrective Actions (describe)	<u>Minor CAR 07:</u> The project plans to rely on community guards to map the locations of incursions into the project area and leakage belt, in relation to that kindly explain the following:- <ul style="list-style-type: none"> The usage of annual satellite imagery in monitoring Initial validation mentions the usage of UAV helicopter for monitoring 		

	purpose, but no such information is reported in the PDD		
F. (Insert Project Coordinator's Name) Response	Both of these methods were dropped post validation, the first version of the PDD for Yaeda I (2012) does not include the UAV (it is now illegal to use a UAV or drone in Tanzania). Subsequent versions of the PDD (2015 and 2016) do not include these methods but instead use activity based monitoring developed in conjunction with the Plan Vivo Technical committee and then used in Yaeda I and II (PDD 2016 – where the structure of the PDD was changed to meet the updated standard and incorporated Yaeda II). This is reported in the Plan Vivo Annual Report (2013-2014).		
G. Status	In compliance		
A. Requirement	2.8 Plan Vivos Are the <i>plan vivos</i> (or land management plans) clear, appropriate and consistent with approved technical specifications for the project? Will the implementation of the plans cause producers' overall agricultural production or revenue potential to become unsustainable or unviable?		
B. Guidance Notes for Validators	Where small-holder farmers have prepared individual <i>plan vivos</i> , check a sample of these on the ground (in the company of the farmer) to determine whether they have really been prepared by the farmer and what the farmer expects to be the results of implementation. For community-projects managing a common (forest) resource, check the management plan for the forest area and assess the extent to which target groups within the community have been involved in preparing it (especially women and disadvantaged groups) and the extent to which its future impacts have been discussed and agreed.		
C. Findings (describe)	This project does not involve individual Plan Vivo's. The land-use planning process that led to awarding the Yaeda Chini village the right of occupancy to the project, was participatory and approved by a majority of community members.		
D. Conformance	Yes <input checked="checked" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
E. Corrective Actions (describe)	None		
F. (Insert Project Coordinator's Name) Response	(To be filled out by the Project Coordinator)		
G. Status	In compliance		

Theme	3. Ecosystem benefits		
<i>Ensuring that the project meets requirements 2.1-2.4 of the Plan Vivo Standard (2013)</i>			
A. Requirement	3.1 Planting native and naturalised species Are the planting activities of the project restricted to native and naturalised species? If naturalised species are being used are they invasive and what effects will they have on biodiversity? Have the species been selected because they will have clear livelihoods benefits?		
B. Guidance Notes for Validators	Check this using a number of sources: <ul style="list-style-type: none"> • Visual observations of local tree-growing practices • Discussions with communities and project staff • Discussions with local experts (forestry and biodiversity experts) • Published information (refer to this in the validation report if used) 		
C. Findings (describe)	No planting of exotic species is planned as part of the project activities.		
D. Conformance	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
E. Corrective Actions (describe)	None		
F. (Insert Project Coordinator's Name) Response	(Not applicable)		
G. Status	<u>In compliance</u>		
A. Requirement	3.2 Ecological impacts Have the wider ecological impacts of the project been identified and considered including impacts on local and regional biodiversity and impacts on watersheds?		
B. Guidance Notes for Validators	Check this using a number of sources: <ul style="list-style-type: none"> • Visual observations of the environment in the project area • Discussions with communities and project staff • Discussions with local experts (environmental experts) • Published information (refer to this in the validation report if used) 		
C. Findings (describe)	The ecological impacts within the project area is expected to be positive. The project has established a system to monitor the ecological status of the project area using the community forest guards to record the status of ecological indicators, and this information is defined in the PDD.		
D. Conformance	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
E. Corrective Actions (describe)	None		
F. (Insert Pro-	(Not applicable)		

ject Coordinator's Name) Response	
G. Status	<u>In compliance</u>

Theme	4. Livelihood Benefits		
<i>Ensuring that the project meets requirements 4.1-4.14, 7.1-7.5 and 8.1-8.10 of the Plan Vivo Standard (2013)</i>			
A. Requirement	4.1 Community-led planning		
	Has the project has undergone a producer/community-led planning process aimed at identifying and defining sustainable land-use activities that serve the community's needs and priorities?		
B. Guidance Notes for Validators	Assess this by discussions with project staff and communities and by looking at any records of the planning process. It may be useful to conduct a time-line exercise with communities to understand the planning process that has taken place.		
C. Findings (describe)	Meeting minutes and field interview confirm that a substantial number of Yaeda Chinni village members were involved in the land use planning meetings. The land-use planning process for village land is by law participatory and the project has produced the necessary documentation, though the meeting minutes.		
D. Conformance	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
E. Corrective Actions (describe)	None		
F. (Insert Project Coordinator's Name) Response	(not applicable)		
G. Status	<u>In compliance</u>		
A. Requirement	4.2 Socio-economic impact assessment/monitoring plan		
	Is there a robust socio-economic impact assessment and monitoring plan in place that can measure changes against the baseline scenario?		
B. Guidance Notes for Validators	Discuss with project staff and communities to understand how the baseline assessment was conducted and how the socio-economic monitoring plan developed out of this. Assess in particular: <ul style="list-style-type: none"> Whether the livelihoods indicators can effectively monitoring 		

	<p>socio-economic changes taking place</p> <ul style="list-style-type: none"> The extent to which women, disadvantaged people and other social groups have been involved project processes and whether the selected indicators will enable impacts on them to be determined Whether any groups in the community are likely to be adversely affected by the project and whether there are any mitigation measures in place to address this 		
C. Findings (describe)	<p>The project coordinators make frequent visits to the project area, have dedicated project manager at Yaeda Chinni village who is from the same village, and have involved community members in the planning, provided training on some aspects of project management, and will continue to involve community members in project activities and training opportunities.</p>		
D. Conformance	<p>Yes <input checked="checked" type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
E. Corrective Actions (describe)	<p><u>Major CAR 08:</u> The PDD is silent on grievance mechanism, section E.3 of the PDD template requires information on the 'community-based grievance and grievance recording system', pls refer to Plan vivo standard 4.13 & 4.14.</p>		
F. (Insert Project Coordinator's Name) Response	<p>Carbon Tanzania includes community level grievance within its contracts (producer agreements) as shown below. Carbon Tanzania also has a company grievance policy which includes all community members. Carbon Tanzania is happy to either include the company policy within the next annual report or add to the PDD as a revision.</p> <p>1. Grievance within contract.</p> <p>2.3 Dispute resolution In the event of any dispute that may arise between the parties in relation to this contract, all parties will meet to discuss how to resolve the dispute. If one party remains unsatisfied or if the parties fail to reach an agreement, they will refer their dispute to the Appeal and Complaints Committee. The Committee will be constituted of the following people:</p> <ol style="list-style-type: none"> A representative or representatives of Ujamaa Community Resource Team (UCRT) A representative from Carbon Tanzania. An elected representative from each of the villages participating in the avoided deforestation programme. A representative of Jamii ya Hadzabe from each of the villages participating in the avoided deforestation programme. Two persons of appropriate qualifications and expertise chosen by both parties to represent them. <p>Either party has the right to bring a dispute to court after exhausting the processes above.</p> <p>2. Company Grievance Policy;</p>		



GRIEVANCE POLICY for employees, partners and community members

1. Introduction

As a network organisation, Carbon Tanzania (CT) and its employees work with partner organisations, community members operating with the project areas and government personal. Carbon Tanzania (CT) understands that on occasions, employees, community members or personal from partner organisations may want to raise a grievance related against an employee or director of CT. Equally an employee of CT may want to raise a complaint against another employee or director of CT. Whilst community groups can raise a complaint or grievance against CT through the mechanism within their contract, a procedure must exist to allow individuals to raise a complaint or grievance against an individual working for or on behalf of CT. This policy is to encourage communication between affected individuals to ensure that problems arising during the course of employment or project operations can be expressed and quickly resolved. Most grievances will be resolved through informal discussions with directors. Employees are therefore expected to approach one of the directors with any concerns they have related to their employment or any complaint they have against them.

Affected persons raising a grievance should be able to do so without fear of victimisation. All those involved in a grievance have a duty to act honestly and without malice to anyone else. Individuals raising complaints maliciously will be subject to disciplinary action. All cases will be dealt with in a non-discriminatory and consistent way. The investigating officer and the chair of the grievance hearing will be responsible for ensuring this.

The affected person has the right to be accompanied by a work colleague, friend or witness during all stages of the procedure. CT may vary its grievance policy and/or grievance procedure guide, where it is appropriate to do so, and in order to comply with its statutory duty.

2. Definition of a grievance

A grievance is a concern made by an affected person about an action which CT has taken, or is contemplating taking, in relation to their work.

Grievances can relate to:

- terms and conditions of employment or working relationship
- health and safety
- difficult working relationships
- bullying and harassment
- new working practices
- working environment
- discrimination/unfair treatment

	<p>3. In Scope Grievance Policy applies to all employees. This policy also applies to a grievance raised by two or more employees.</p> <p>4. Out of Scope The Grievance Policy does not apply in the following cases:</p> <ul style="list-style-type: none"> • Where alternative appeal processes exist. • Where the affected person has not submitted their grievance following legislative requirements. • Where the case has already been heard and there is no new evidence. • If the matter relates to a collective dispute. A collective dispute should be raised formally in writing to the CT management team. • Where the matter relates to the application of conditions of service laid down by national agreements <p>5. Principles Grievances will be handled as quickly and fairly as possible and informal grievances will be resolved by the management team. Timescales specified will apply unless varied by agreement between both parties.</p> <p>6. Informal Procedure Affected persons should discuss their concerns in the first instance with a director. If they are unable to approach their director, then they can informally approach another member of the management team. The director will seek to resolve the grievance on an informal basis, taking advice if necessary from other parties. The director and affected person will work together to resolve the problem. Once resolved, the director will make a note of the outcome on the employee's file. If a grievance cannot be resolved via informal discussions, the formal procedure may then be used.</p> <p>7. Formal Procedure</p> <p>7.1 Statement of Grievance An affected person who wishes to raise a formal grievance should put their grievance formally, in writing without unreasonable delay, to a director specifying the nature of their grievance. In the case of an affected person lacking the means to write a letter, a telephone call to one of the directors should be made.</p> <p>Where the grievance is about the director, the grievance should be forwarded direct to Another member of the management team. The affected person should indicate, as part of their formal written statement, what solution they are seeking.</p> <p>7.2 Investigation An investigation will be undertaken. The appointment of an investigating officer should ensure they can act impartially and have no conflict of interest.</p>
--	--

	<p>7.3 Grievance Hearing</p> <p>Hearings may be conducted by either the director, except in cases where the director is the:</p> <ul style="list-style-type: none"> ● Investigating Officer ● Witness to the investigation ● Subject of the complaint <p>When a hearing must be conducted by a member of the management team. The director will write to the affected person with a date for a hearing, normally within 10 working days, of the investigation being completed. If the grievance raised is against the director the management team will arrange for an independent party to meet to hear grievance. If the director has been the investigating officer the matter will be referred to the management team. The affected person should take all reasonable steps to attend the Grievance Hearing.</p> <p>CT Directors contact details:</p> <p>Marc Baker +255 784 448761 marc@carbontanzania.com Jo Anderson +255 758 267 205 jo@carbontanzania.com</p>
G. Status	<p>The project coordinator has updated the PDD dated 18 May 2018 in response to CAR 08 Major. The grievance mechanism which is detailed in the PES agreement is now included in Sec E.3 of the updated PDD as well. Upto the current verification period since the registration of the project under PV, no disputes have been reported which required the intervention of Appeal and Complaints Committee. Interaction with the village members, UCRT and local govt officials confirms the same. The project participant discusses the running of the project in their periodical meeting and the 'minutes of the meeting', which is a kind of official document in the host country, records such activities. The verification team has accessed the copies of the minutes of the meeting for the conformance.</p> <p>In compliance</p>
A. Requirement	<p>4.3 Sale agreements and payments</p> <p>Does the project have clear procedures for entering into sale agreements with producers/communities based on saleable carbon from <i>plan vivos</i>? Does the project have an effective and transparent process for the timely administration and recording of payments to producers?</p>
B. Guidance Notes for Validators	<p>Check the systems that are being proposed by the project and make an assessment of whether these are fully functional already or whether they can be made functional when required? Are communities/producers aware of the system and do they understand it? Are documents and materials readily available to producers/communities?</p>
C. Findings (describe)	<p>Yaeda II and I are adjacent and follow the same governance, land ownership structures, baseline methodology for carbon accounting, Interventions and activity based monitoring approaches. The unified project Yaeda I and II is run by the same entity i.e CT adopting the same structure.</p>

D. Conformance	Yes <input checked="checked" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
E. Corrective Actions (describe)	<p>Obs 09:</p> <p>The community members/village is well informed about the carbon sales, revenue due to the project and the sharing mechanism (at least 60% to the producer) in place. During the interaction with the community members, it is evident that they are aware of the carbon sold in a particular year, but they are not aware for what price it is sold. This issue was also reported during the initial validation of Yaeda I, the project coordinator and the community members are expected to share the information to bring out transparency and to gain confidence with each other.</p>		
F. (Insert Project Coordinator's Name) Response	<p>In May and November each year Carbon Tanzania, communities and village/ward government hold meetings in which we explain how much carbon has been sold and how much it was sold for. The communities and village government then go ahead and plan how that money will be used. As we sell to a variety of buyers for between 7 to 12 USD/tonne, we admit this can create some confusion. This issue was identified in our socio-economic baseline and addressed through improved communication. In 2018-19 Carbon Tanzania is going to trial direct cash transfers (DHTs)(see above table in Minor CAR, Page 10 of this document) where we will aim to digitise sales information and link it directly to payments at a household level.</p>		
G. Status	In compliance		
A. Requirement	<p>4.4 Benefit sharing and equity</p> <p>Will the project have livelihoods benefits for the local community? Are these benefits likely to accrue to all community members and/or are benefits targeted at particular groups within the community? What other actions is the project taking to ensure that disadvantaged groups e.g. women, landless households, poor people will benefit from sales of Plan Vivo certificates?</p>		
B. Guidance Notes for Validators	<p>Whilst there may be livelihoods benefits resulting from the project aspects of benefit sharing are critical to ensure that benefits are equitably shared. This can be assessed by:</p> <ul style="list-style-type: none"> • Checking whether a local stakeholder/well-being analysis has been conducted to identify socio-economic groupings in the communities • Assessing the level of governance of local groups (are issues of equity and benefit sharing discussed during meetings?) • Discuss with a small sample of households from different socio-economic groups to determine their level of understanding of the benefits they are likely to get from the project. 		
C. Findings (describe)	<p>Yaeda II and I are adjacent and follow the same governance, land ownership structures, baseline methodology for carbon accounting, Interventions and activity based monitoring approaches. The unified project Yaeda I and II is run by the same entity i.e CT adopting the same structure.</p>		
D. Conformance	Yes <input checked="checked" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
E. Corrective Ac-	None		

tions (de- scribe)	
F. (Insert Project Coordinator's Name) Re- sponse	(To be filled out by the Project Coordinator)
G. Status	<u>In compliance</u>

Table 3. Site Visit Itinerary
Audit Plan

Days	Activity performed
Day 1	<p>Audit team opening meeting with CT project team</p> <p>Document Review and Project Staff Interviews:</p> <ul style="list-style-type: none"> • Baseline activities, maps; • Ownership/tenure, landowner MOU documents (e.g. contracts etc); • Legality and compliance; • Project activities and its implementation as per the validated PDD
Day 2 to 4	<p><u>Activities performed cover villages of Mongo Wa Mono, Domanga and Yaeda Chini</u></p> <ul style="list-style-type: none"> • Project area (REDD) site visit and data collection – related to presence of wild life species, land encroachment, boundary marking, tasks performed by VGS staff etc • Interaction with the village heads, community members and carbon payment beneficiaries, VGS and local government official etc • Meeting with Ujamaa Community Resource Team (UCRT)
Day 5	<ul style="list-style-type: none"> • Accounting staff – interview and document review related to financial sustainability and payments to beneficiaries; • Meet technical staff re forest management plan, inventory and analysis, carbon calculations, biodiversity monitoring; • Review of monitoring related documents and interview eg maps, GIS imagery etc • Review record keeping, database management <p>Closing meeting with the CT project team: Discussion of preliminary audit related findings</p>

The Validator: (Insert Validator's Name)

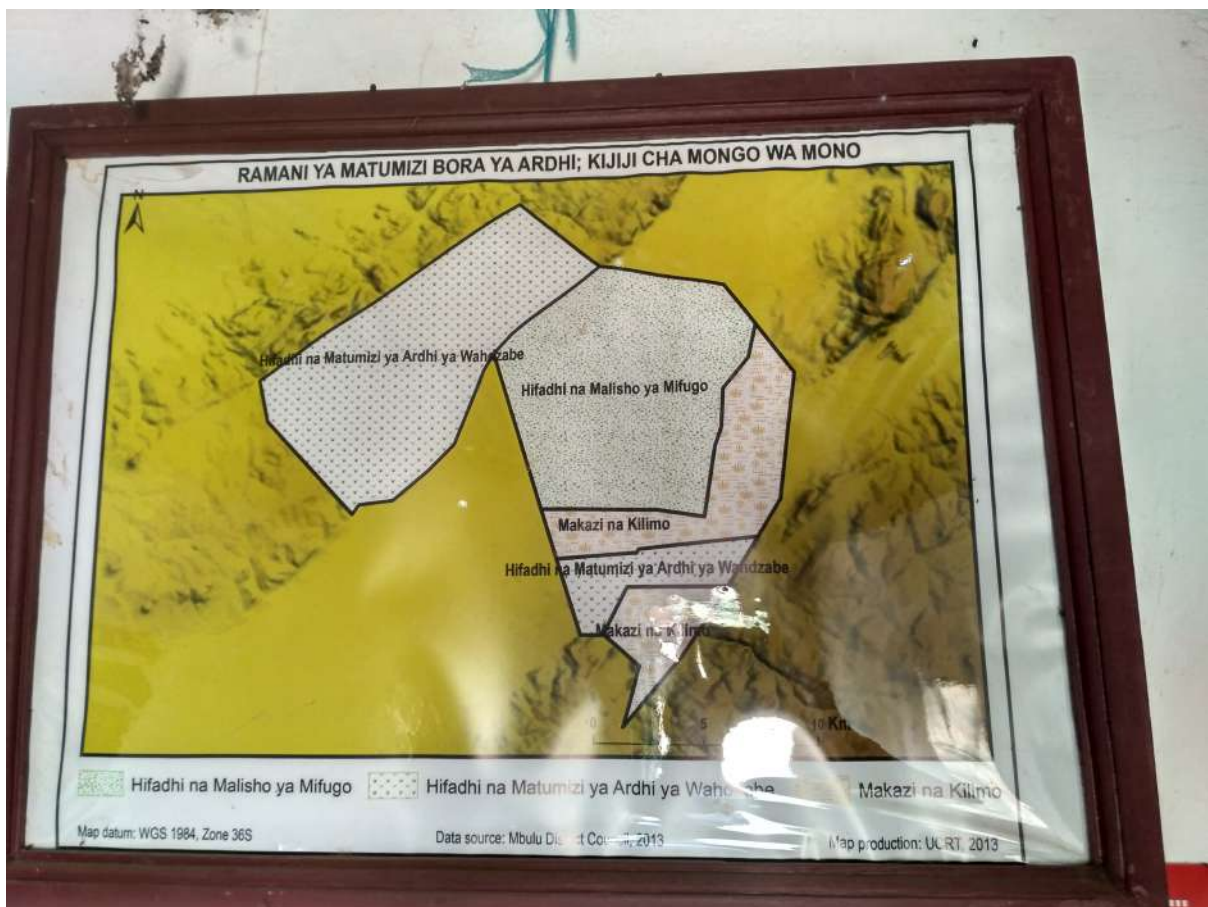
Signature:Mr A PRABU DAS (Lead Auditor)
Dr D SIDDARAMU (Auditor)

Validation Final report Date: 21 May 2018

APPENDIX 1 -THE SITE VISIT PHOTOGRAPHS AND MAPS









APPENDIX 2 List of Participants:-

①

	Details	
ISACK BRISON	Pr. Manag Director C Ltd. Project Operations manager	SGR HOL HOL HOL
	VED NCO MO	
MANISHA MANUP	HADZABE	HOL
ABASS MATHWA	HADZABE	HOL
MBAZO SANTI	HADZABE	HOL
SALIM JOSEPH	HADZABE	SALIM JOSEPH
ISSA GIMBI	HADZABE	HOL
MATTHIAS SELLA	HADZABE	HOL
STEPHANO GIMBI	LAI	SMALAPA
SUMARIL MAKURU	HADZABE	HOL
WAZIL HAMIS	HADZABE	HOL
MOSHI KSA	HADZABE	HOL
KIMBU MATHWA	HADZABE	HOL
SAMSON MATHWA	HADZABE	HOL
MOSHI RICHARD	HADZABE	HOL
	HADZABE	HOL
MALISA MATHWA	HADZABE	HOL
ASIKANDA MATHWA	HADZABE	HOL
GOD MELCK	HADZABE	HOL
	HADZABE	HOL
EMANUEL ALIUMBA		
MUKU MAKURU		
SAMUEL ZAKAYO	HADZABE	HOL
MUKU MATHWA	HADZABE	HOL

venmet-

(2)

REDD Yaeda Valley

Details		
	Position	Signature
DIMAY SENGUEN	HADZABE	
GIMBI SINA	HADZABE	
HOUNSI LOKO	HADZABE	FFC
ORIGINEL TURANG	HADZABE	
MATHIAS OTURO	HADZABE	
ABRABE MANGABA	HADZABE	
SALAWIL PHILPO	HADZABE	
MADUBU MATHIA	HADZABE	Nothing
Juma GAMBOY	HADZABE	Nothing
SWAMEL MATHIA	HADZABE	SWAM
MALANZA NAWAUM	HADZABE	
FRYECTA GUKUKA	HADZABE	Gukukwa
YOMANA ALON	HADZABE	Alon
MALANZA SWAMEL	HADZABE	
SAYA NAWATAY	HADZABE	
RICHARD NAWATAY	HADZABE	
JANUAK HASAN	HADZABE	Januak
IMPANWA NIKOZI	I	
MELKIZADEH MARKO	I	
THOMAS MADARA	TH	
JUMMANA MAKUKA	HADZABE	
ABEL - MAKUKA	HADZABE	
ABU MAGANBA	II	
SYMON C. ENDEK	I	
MOSES SIGILGI		Sigilgi
HANNIS	II	
GIMBI STEPHANO	II	
KIRISTIAN GERESU	II	

15/11/2017

Validation / Verification / Request Deviation

REDD+ Yaeda.

Village DOMANGA.

Activity area	Details	Signature
CL	Designation/Company	
David Bera	Project Operations Mgr.	
MARC BAUER	DIRECTOR - CARBON TANZ	
NANDE CHALEA	MWENYEKILI KIJITILI DOMANGA	
RUBEN MATHIA	MWENYEKILI KIJITILI DOMANGA	
DANIEL GUAD		
	Director Carbon Tanzania	
	MJUMBE WTA HADZABE	
ISH	GE THE A VALLEY	
ZAB NANGE	MJ BE H DZA	
ROGATH SAFAD	MJUMBE - HADZABE	
GERSON MATE	MJ BE HADZABE	
M. L. CHARLES		
MARCO MUSA		
CHARLES MATHIA		
SIGWAZI LOHESA		
FR. RA. RICHARDS		
MEMBE L		
MARTHA SALI		
ANJELA MATHIA		
ESTER IAR		
MWANGAZA MPAMBA		
AL. NE		
RAHEL AKAYO		
RAHEL MATULLU		
HELIHA PETRO		

[illegible]

16/11/27

Validation Verification/ Request for Deviation

REDD+ Y DA

Details		
Dragon I Magembe	Designation / Company MHE ADEWA	Signal
NELSON NANTU	WED	Signal
DANIEL G. DASHHAKI	W. EDUCATION	Signal
	REC OR CARBON TANZANIA	Signal
PETER A. RINGO	Project OPS Manager	Signal
PAUL TINDIHO	HEAD MASTER YABACHINI School	Signal
ISA K BRYSON	M/KUNA Y/CLUB	Signal
	T-MANAGER YAFEDIA VALLEY	Signal
J	M A B WALENIZUWA JATI	Signal
YVES NAFAL	CHINI	Signal

40

APPENDIX 3 Reference list

1. Maps of project area – Land Use Planning, By laws
2. Maps of leakage – satellite imagery (Land cover Change 2000, 2000-05, 2005-10 and 2010-15)
3. Proof of land tenure
4. MoU with project partners – i) The Nature Conservancy and ii) The UCRT
5. Forest inventory data
6. CT and Village/communities contract
7. Records of payments – Payment receipts and Payment minutes of meeting
8. Bio diversity database
9. Community meeting records, payment meeting protocols
10. Records of community design – socio economic baseline results, community participation – photos and minutes
11. Local government letters related to the project activity
12. Carbon accounting calculation spread sheet
13. Remote sensing – Ground Sat images, Yaeda Landcover Change Analysis based on satellite imagery
14. Project monitoring database
15. Yaeda Project manager reports
16. Records of grievance mechanism
17. Financial records – bank statements, annual financial statements, accountant records and project costs
18. Training records – Monitoring protocols, Mammals monitoring, Financial training etc
19. Legal documents – Annual Return receipts, Certificate of Incorporation, Arusha City council approval etc
20. Tanzania Forest policy, The Forest Act – 2002, Community Based Forest Management Guidelines from MINISTRY OF NATURAL RESOURCES AND TOURISM, Tanzania
21. Annual reports of years 2012, 2013, 2014, 2015, 2016 (ending 31 Jan 2017)
22. Project PDD and referred appendixes
23. Project Technical specifications
24. Contract between CT and Yaeda Chini village
25. CVs and credentials of the project coordinators
26. Business plan and revenue projections