

## **ANNEX 1. SURUÍ CARBON PROJECT, BRAZIL, SIA CASE STUDY**

### **SOCIAL IMPACT ASSESSMENT (SIA) WORKSHOPS 2010-11**

#### **First SIA workshop: February 16-17<sup>th</sup> 2010, Metareila Foundation, Cacoal, Rondonia**

The workshop was facilitated by Michael Richards with support from Mariana Pavana (IDESAM) and Wesley Pacheco (ACT-Brasil).

On February 16<sup>th</sup>, most of the day was spent explaining the concepts and methods of SIA to a group of about 15 Suruí, including two women and four clan leaders or chiefs. This proved very slow since several of the participants did not speak Portuguese, so that everything needed to be translated into the Suruí language, and many participants also had literacy problems so that power point presentations were of limited use. There were some long discussions and interventions in the local language.

On February 17<sup>th</sup>, the workshop focused on two key stages in the Open Standards methodology:

- (a) Identification of priority focal social issues
- (b) Development of problem trees or 'conceptual models'

In order to identify the priority focal issues, the participants focused on three questions:

- What social issues are most related to the problems of deforestation and degradation?
- What social issues could prevent the success of the REDD project?
- What social issues is the REDD project most likely to affect?

A brainstorm was held in which the participants wrote down social issues on cards. The cards were then rationalised, and a list of possible social issues were generated. Each person then selected up to five focal issues from the list. The top five focal issues were:

- A. Territorial protection
- B. Economic alternatives and food security
- C. Institutional strengthening
- D. Socio-political organisation
- E. Culture

Other potential focal issues were health, education, and infrastructure (including transport). It was decided at this workshop to focus the remaining time on the first three. Thence three working groups were formed, one for each focal issue. Each working group worked on developing a problem tree or conceptual model, resulting in three problem trees – territorial

protection (Group 1); economic alternatives and food security (Group 2); and institutional strengthening (Group 3).

### **Second SIA workshop 22-25 February 2011. Metareila Foundation, Cacoal, Rondonia**

Facilitated by Michael Richards<sup>1</sup> with support from Beto Borges (Forest Trends), Pedro Soares (IDESAM), Wesley Pacheco (ACT-Brasil) and Maria Barcelos (Metareila Foundation consultant). The workshop was attended by 20 Suruí participants including six ladies (Annex \*\*).

#### **22 February (half day)**

Since the workshop group was different to the first workshop, the first day was spent on a recap of the SIA methodology, and the products of the November 2010 workshop. There was a further discussion of the focal issues, and it was decided to add a fourth focal issue – culture – to the SIA analysis, and to merge institutional strengthening with socio-political organisation. Therefore the four revised focal issues and working groups were:

1. Territorial protection
2. Economic alternative and food security
3. Socio-political organisation (including institutional strengthening)
4. Culture

It was also observed that issues around health, education and infrastructure could be absorbed into this working group. The division of the participants into the four working groups was decided by the facilitation team.

#### **23-25 February**

Each Working Group worked through the following main stages conforming to the 'Open Standards' approach to developing theories of change.

- (a) Brainstorm on positive and negative aspects or issues associated with the focal issue
- (b) Social scenario analysis: discussion of the counterfactual situation, i.e., the situation without the project, in five and twenty years' time.
- (c) List of stakeholder groups affected in the current or without project situation, and how they are affected (NB each group was explicitly asked to include consideration of the situation of women)
- (d) Development of a 'cause and effect' problem tree or 'conceptual model' working back from an end problem through immediate or direct causes of the problem to underlying causes in cause and effect chain. Since it was a different combination of people, it was decided that it was best to start again, although groups 1, 2 and 3 were able to refer back to the equivalent problem tree developed in November 2010. Groups were also asked to identify key project entry points where it was possible to identify a specific project intervention to counter a problem (such as a training, a communications program, etc.)

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<sup>1</sup> A more experienced SIA facilitator, Oscar Maldonado, could not come due to a last-minute illness.

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- (e) Verification of problem trees by a different working group: the approach was that one or two people stayed in each working group to explain the problem tree to representatives of each of the other three working groups. The aim was that these representatives would ask questions and suggest modifications to the group's problem tree.
- (f) Development of a focal issue mission statement or objective: a statement of what the project should aim to achieve as regards the focal issue being discussed.
- (g) Development of a results chain or theory of change for the focal issue – to some extent this is the inverse of the problem tree.
- (h) Verification of the results chain in a similar way as for the problem trees (e)
- (i) Identification of the risks to achieving the most important desired results in the results chain, and any negative social impact on a stakeholder group assuming that a result is successfully achieved, and thence the corresponding measures or actions to prevent or mitigate a risk or negative impact. This exercise was carried out by a working group composed of one or two of the original group members and by at least one representative of each of the other working groups.
- (j) Verification of the final results chains including negative impacts, risks and mitigation activities on different colored cards.
- (k) Development of theory of change statements for each focal issue in the form of IF ... THEN statements based on the results chain (this exercise was rather rushed and there was only time to read out each theory of change).
- (l) A brief final plenary evaluation.

**RESULTS**

**GROUP 1. TERRITORIAL PROTECTION**

**Social reference scenario analysis:**

<b><i>Current situation – problems</i></b>	<b><i>Situation in 5 years</i></b>	<b><i>Situation in 20 years</i></b>
Many different “invaders” with different objectives (see below); agreements between invaders and Suruí ‘environmental agents’ (Suruí); sparsely populated areas are easy to invade	Deforestation resulting in decline of timber, hunting & fishing; accumulation of garbage (bottles, tins, etc.); mercury in rivers	Worsening health and food problems including due to polluted water; dried up streams affecting hunting
7th September land is close to the <i>Linha 7</i> secondary road	Same as above	Continuing invasions
Lack of control due to weak FUNAI cooperation, lack of resources especially vehicles, and Suruí environmental agents	Same as above	Same as above
Lack of communication and direction/vision of Suruí, including lack of respect for leaders	Conflicts between the Suruí Lack of unity Declining quality of life	Timber exhausted Lack of unity among Suruí Ease of invasion
Conflicts with the “Zoró” and “Cinta Larga” indigenous groups	Territorial invasion Timber shortages	Timber and nature finished

**List of affected stakeholders:**

<b><i>Stakeholder group</i></b>	<b><i>How affected?</i></b>
FUNAI	Supervision constraints: transport, staff Rise of colonist farmers and loggers Lack of support for Suruí
Suruí (in general)	Conflicts between Suruí Lack of respect for leaders Lack of unity Deforestation affecting hunting and fishing Pollution, including due to mining

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Suruí women	Less raw material and incentives for handicrafts Loss of skills Negative cultural impacts from non-indigenous contacts
Hunters (Ext.)	Continue to hunt <i>jacaré</i> , <i>mutum</i> and <i>paca</i> , but increasing scarcity
Colonist "meeiros"*	Ease of entering area to plant crops or keep cattle
Fishermen (Ext.)	Continue to catch & sell fish, but increasing scarcity Contamination with own garbage
Loggers (Ext.)	Logging out of best species ( <i>nogns</i> , <i>ipê cerejeira</i> , etc.) facilitated by agreements with insiders
Goldminers (Ext.)	Continued mining but increasing scarcity
Zoró e Cinta Larga (Ext.)	Territorial invasion causing increased timber scarcity and conflicts with Suruí

Ext. = external stakeholders

\* "Meeiros" live outside the area and rent the Suruí land for food crops or cattle grazing in exchange for a share of production.

**Focal issue problem tree: Suruí Carbon Project Annex 1, Figure 1**

**Focus group statement:**

Territorial protection guaranteed for the indigenous territory "7th of September" due to improved vigilance/control and a united Paiter Suruí People.

**Focal issue results chain: Suruí Carbon Project Annex 1, Figure 2**

**Negative impacts, risks and mitigation:**

Results	Risks (R)/ Negative Impacts (NI)	Mitigation actions	Mitigation results
Improved control and monitoring	Lack of equipment (vehicles, boats, etc.) (R)	Obtain necessary resources	Control equipment obtained
	Lack of Suruí environmental agents (R)	Training of Suruí Environmental Agents	Trained Suruí Environmental Agents
	Not enough control posts to stop entry into territory (R)	Build control posts where no villages	Control posts built
	Lack of guidance from FUNAI and environmental police (R)	Develop partnerships with FUNAI and Environmental Police	Control effective with FUNAI and Environmental Police

**Theory of change:**

IF Suruí environmental agents are trained, better FUNAI cooperation and policies are achieved, appropriate equipment is obtained, and the Suruí people become united through improved mechanisms of participation and joint decision-making,

THEN there will be better control/vigilance of the Suruí territory.

**GROUP 2. SOCIO-POLITICAL ORGANIZATION** (including institutional development, health, education and infrastructure issues)

**Reference scenario analysis:**

<b>Current situation (2008)</b>	<b>Situation in 2014</b>	<b>Situation in 2034</b>
<p>Leadership issues</p> <p>Leaders have not promoted consultation of problems and conflicts, e.g., on timber sales, religious and cultural conflicts</p> <p>Disorganised expansion of villages</p> <p>Lack of political representativeness in some recent Suruí communities</p> <p>Low female participation in governance processes</p>	<p>Disordered increase in leaders and lack of dialogue around:</p> <ul style="list-style-type: none"> <li>• Process of colonization of indigenous areas</li> <li>• Increase in “meeiros”</li> <li>• Spread of evangelicism</li> <li>• ‘Vulgarization’ of indigenous women</li> </ul> <p>Increase in levels of diabetes and obesity</p> <ul style="list-style-type: none"> <li>• Lack of alternative treatments</li> </ul> <p>Multiple use of land</p> <ul style="list-style-type: none"> <li>• Increase in conflicts with outsiders</li> </ul> <p>Attendance of non-indigenous schools</p> <ul style="list-style-type: none"> <li>• Increase in illiteracy rate</li> <li>• Increase in nepotism</li> </ul> <p>Lack of food education</p> <ul style="list-style-type: none"> <li>• Change in food consumption habits</li> <li>• Lack of discussion with national health fund</li> <li>• Lack of collective action on health issues</li> <li>• Lack of trained professionals (inc. Suruí)</li> <li>• Lack of recognition of health workers</li> <li>• Weak selection process of health workers</li> </ul> <p>Lack of land planning</p> <ul style="list-style-type: none"> <li>• Lack of a collective vision of indigenous representatives in infrastructure planning</li> <li>• Lack of an infrastructure implementation plan</li> </ul> <p>Lack of dialogue on Suruí education policy</p> <ul style="list-style-type: none"> <li>• Low confidence in indigenous schools due to poor teachers</li> <li>• Poor selection of teachers and people for training</li> </ul>	<p>Lack of political organization</p> <p>Chronic problems of drugs, alcohol, prostitution, etc.</p> <p>Land conflicts</p> <p>Reduced land area</p> <p>Hunting and fishing ended</p> <p>Loss of culture and traditions</p>

**List of affected stakeholders:**

<b>Stakeholder group</b>	<b>How affected?</b>
Old people	Undervalued
Children	Culturally weakened
Women	Unmotivated
Youth	Low expectations
Loggers	Benefited
Missionaries	Benefited
Meeiros/Hunters/fishermen	Benefited
Palm harvesters	Benefited
Colonists and invaders	Benefited

**Focal issue problem tree: Suruí Carbon Project Annex 1, Figure 3**

**Focus group statement:**

Political stability guaranteed through respecting the views of men, women, youth and old people equitably, by building confidence in collection actions, and by strengthening Suruí culture and parliamentary decision making processes.

**Focal issue results chain: Suruí Carbon Project Annex 1, Figure 4**

**Negative impacts, risks and mitigation:**

<b>Results</b>	<b>Risks (R) / Negative Impacts (NI)</b>	<b>Mitigation actions</b>	<b>Mitigation results</b>
Paiter Suruí Parliament established	Reduced dialogue between Suruí (R)	Elder’s Advisory Council to prevent friction between parliamentarians	Paiter Suruí Parliament internally strengthened
‘Ethnozoning’	Rules on use of 7 Sept territory not respected (R)	Awareness raising on importance of ‘Ethnozoning’ with participation of schools	Land use conflicts ended
Women empowered	Change of current lifestyle of Suruí families (NI)	Other wives take more responsibility	Stability of family structures
Illegal logging stopped	Elimination of logging revenue of neighbour groups and ‘adventurers’ (NI)	Awareness campaign to neighbor groups on the benefits of forest conservation	Harmonious relationship between Suruí and neighbor groups

**Theory of change:**

IF

- a Suruí parliament can be internally strengthened and specific policy committees created resulting in the implementation of health, nutrition and education policies;
- discussions with federal, state and municipal government lead to improved public policies (e.g., on respect for land rights);
- improved selection criteria are established for teachers resulting in better teaching in indigenous schools;
- improved integration of health agents contributes to improved personal hygiene, sanitary conditions, health services and nutritional quality, thereby reducing health problems;
- there is an effective campaign to improve the position of women; and,

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- academic and professional formation in strategic areas is achieved,

THEN there should be sufficient institutional capacity to achieve political stability and harmony between the Suruí, eliminate internal land disputes, and improve the public services provided to the Suruí.

**GROUP 3. ECONOMIC/LIVELIHOOD ALTERNATIVES AND FOOD SECURITY**

**Social reference scenario analysis:**

<i>Current situation (problems)</i>	<i>Situation in 5 years</i>	<i>Situation in 20 years</i>
Lack of policy incentives for farm production Lack of agricultural production infrastructure Reduction of traditional crops: cara, batata, maize, peanuts, cassava, papaya, bananas Shift in food preferences to chicken, fish, meat and other white men’s foods Lack of agricultural inputs (seed, tractors, fuel, tools, etc.) Declining use of bow & arrows Lack of right bamboo variety for arrows Influence of loggers Issues with <i>meeiros</i> Lack of agricultural and agro-forestry technical assistance	A return to the sale of timber by Suruí and associated problems; Danger of even less traditional farming methods; Increased “meeiros” and associated problems; Increased crop and livestock activities; Reduced handicraft production; Increased deforestation	Timber will have run out 90% reduction in traditional farming Increased food dependency on “whites” Almost complete loss of hunting, and use of bow and arrow 90% reduction in traditional handicrafts

**Positive things in the current situation:** production and sale of handicrafts; traditional production systems (peanuts, cara, maize and fruits) and food crops (xixa, beju, biju, quexada, etc.); fishing with spears; hunting; collecting wild fruits; production and sale of coffee (10% of people still practice this), bananas (20%), maize and Brazil nuts (70%); employment income; family grant; pension.

**List of affected stakeholders**

Suruí	Agricultural production (cash/food security) Sale of timber and income from <i>meeiros</i> Food security Economic alternatives
Madeireiros	Profitable More control needed
Meeiros	Profitable More control needed
Zoró and Cinta Larga	Conserved forest Less income

**NB. Women not included.**

**Focal issue problem tree: Suruí Carbon Project Annex 1, Figure 5**

**Focus group statement:**

Economic alternatives and food security are guaranteed by means of a participatory action plan for developing a rational household economy, and for the sustainable management of the natural resources of the 7<sup>th</sup> of September territory (50 year plan)

**Focal issue results chain: Suruí Carbon Project Annex, Figure 6**

**Negative impacts, risks and mitigation:**

<b>Results</b>	<b>Risks (R) and negative impacts (NI)</b>	<b>Mitigation actions</b>	<b>Mitigation results</b>
Certification with a Suruí 'seal'	Quality of products not good enough for niche markets (R)	1)Prevention: role of banana plantations 2)Mitigation: Sell more cheaply Resupply	Certified coffee and banana production
	Certification proves too complex and costly (R)	1)Prevention: obtain investments and technical assistance 2) Mitigation: raise tax between Suruí for certification	
	Reduced profits of middlemen (NI)	1)Prevention: negotiate with middlemen 2)Mitigation: employ middleman	
Operating ecotourism program	Vanity – those working with ecotourism would become vain and superior (R) Social/cultural influence of tourism (R) (N) Loss of interest (R)  Bad Influence  STDs (AIDS) and Measles (N)	1)Prevention: transparency of awareness raising program 1)Prevention: develop rules and awareness program 1)Prevention: good viability study 2)Mitigation: good working conditions 1)Prevention: awareness program 2)Mitigation: tourists enter indemnity contract 1)Prevention: tourist vaccination card 2)Mitigation: fund for treating diseases \$	Ecotourism program with 500 tourists per year

**Theory of change**

IF agricultural certification can be guaranteed, extractivism be made successful, traditional crops improved, and ecotourism and handicrafts made profitable,  
THEN sustainable alternative livelihoods and food security for the Paiter Surui People would be guaranteed

**GROUP 4. CULTURE**

**Social reference scenario analysis:**

**Brainstorm positive aspects:** handicraft/artisan production but on a small scale; a traditional economy is still practiced by many; the traditional language is still spoken by all; various families still use traditional medicines; songs and myths are still remembered by older people; some older people are transmitting their knowledge to their children

<b><i>Current situation (problems)</i></b>	<b><i>Situation in 5 years</i></b>	<b><i>Situation in 20 years</i></b>
<p><i>Priority problems:</i>                      Disorganised Suruí society/culture                       Lack of autonomy and pressures of non-indigenous culture causing fractured culture                       Social inequality or equity</p> <p><i>Other problems:</i>                      Little transmission of traditional knowledge                      Declining respect for elders                      Declining joyfulness/happiness                      Reduced agreement on traditional activities                      Reduced use of traditional medicine                      Erosion of traditional religious structures</p>	<p>A more disorganised society                      Traditional culture will be more eroded: few festivals, lack of handicrafts and community cooperation                      Increasing inequality</p>	<p>An almost completely disorganized society                      The traditional culture will be completely eroded (no festivals or rituals, few cultural artefacts, and lack of community cooperation)                      Large economic and social class divide between rich and poor</p>

**Focal issue problem tree: Suruí Carbon Project Annex 1, Figure 7**

**Focus group statement:**

A strengthened culture through a participatory plan of cultural strengthening that aims to achieve a balance between traditional and modern knowledge

**Focal issue results chain: Suruí Carbon Project Annex 1, Figure 8**

**Negative impacts, risks and mitigation:**

<b><i>Critical results in the results chain</i></b>	<b><i>Risk (R) or negative impact (NI)</i></b>	<b><i>Actions to reduce or mitigate risk or negative impact</i></b>	<b><i>Mitigation results</i></b>
Cultural Commission trained	Course would not happen without resources (R) Lack of interest of participants (R)	Prevention of risk: prior guarantee of financial resources	Commission members trained to inform and sensitize the community
Community information and orientation campaign undertaken	Lack of interest of community (R) Cultural commission poorly prepared (R)	Prevention of risk: well designed campaign to interest community Prevention of risk: good selection and preparation of Commission members	Community sensitised in strengthening their culture
Information and consultation flows/fora with government agencies established	Consultation with government agency didn't happen (R)	Prevention of risk: meetings calendar established with the municipal and state culture secretariats, and local discussions leading to state dialogue	Government cultural agencies persuaded to support a Suruí culture plan

**Theory of change**

IF the Cultural Commission established by the Suruí Parliament is well selected and trained, is able to inform and sensitise the community, and engages the stakeholders and state agencies in the development of a broad and participatory cultural policy,  
THEN the traditional culture of the Paiter Suruí People will be strengthened.

## **SURUI CARBON PROJECT APPENDIX 1**

**Figure 1: Territorial protection focal issue problem tree**

**Figure 2: Socio-political organization focal issue problem tree**

**Figure 3: Economic alternatives focal issue problem tree**

**Figure 4: Culture focal issue problem tree**

**Figure 5: Territorial protection focal issue results tree**

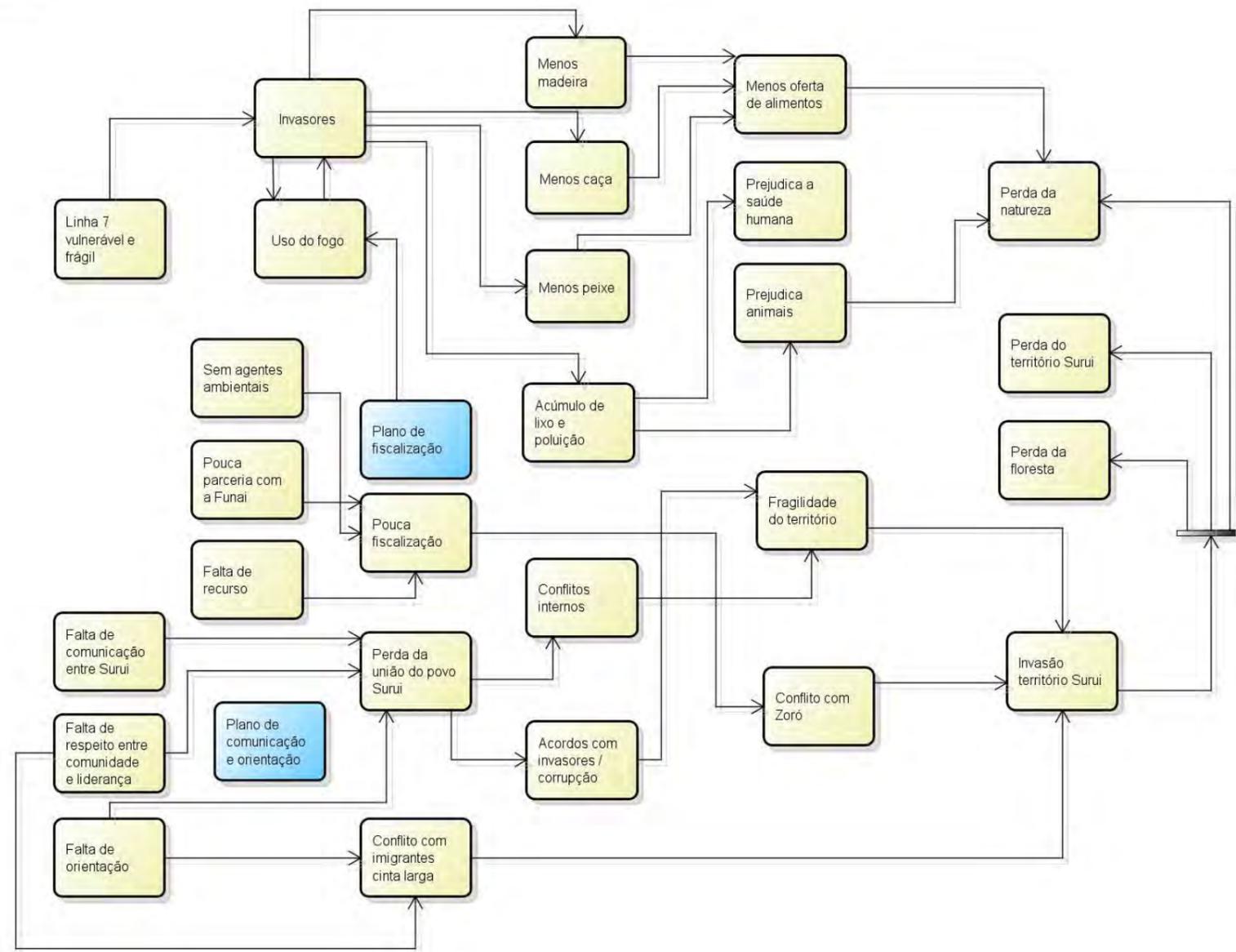
**Figure 6: Socio-political organization focal issue results tree**

**Figure 7: Economic alternatives focal issue results tree**

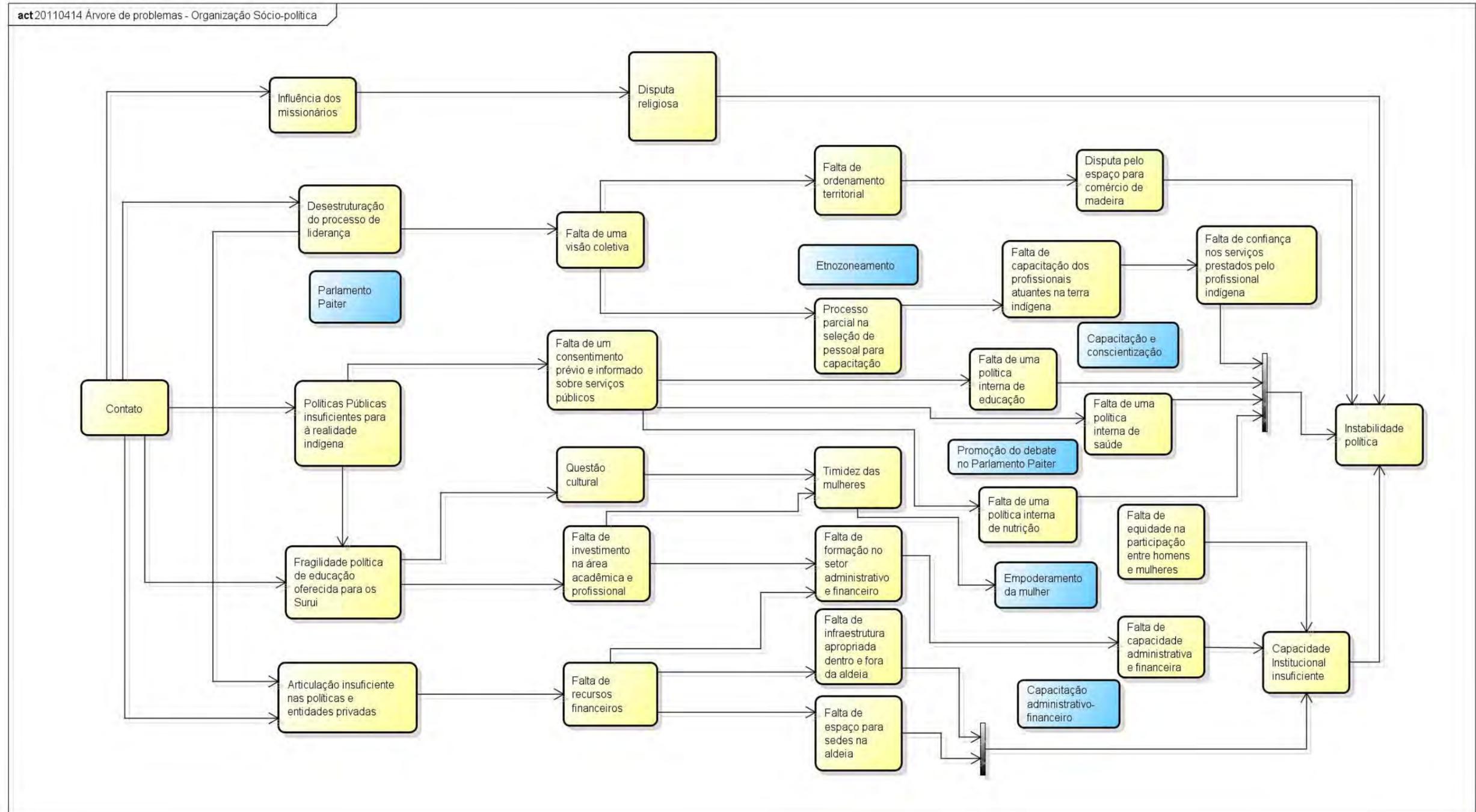
**Figure 8: Culture focal issue results tree**

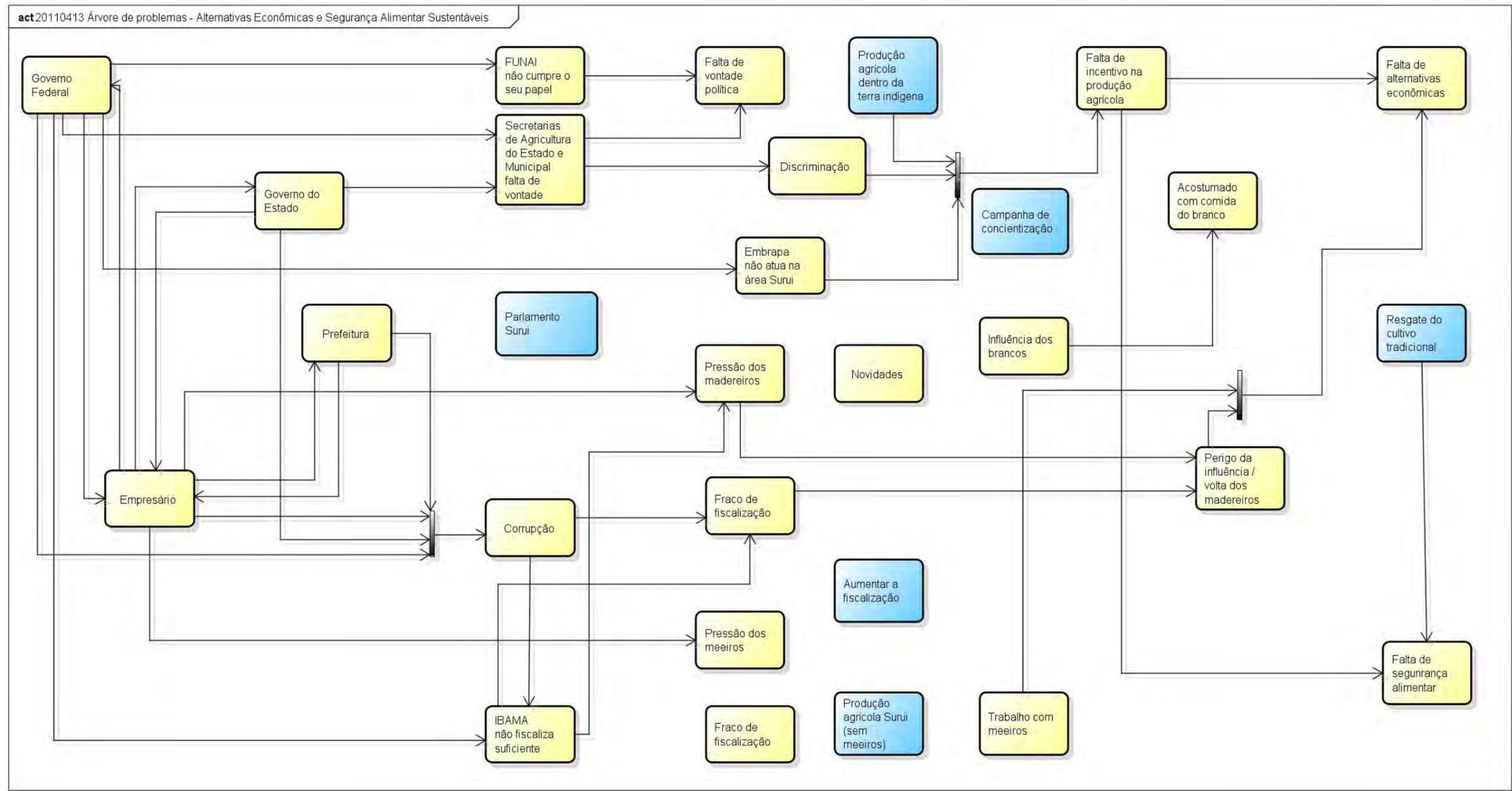


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