

# Mission Report

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## Conceptual Framework for Community-based Forest Management in Quang Binh Province

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**March 2005**

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## ABBREVIATIONS

ACO	Agriculture and Cadastral Office
ADB	Asian Development Bank
CDP	Commune Development Plan
CFM	Community-forest management
CFMB	Commune Forest Management Board
CFMP	Community-forest management planning
CLIP	Central Region Livelihood Improvement Project
CPC	Commune People's Committee
DARD	Agriculture and Cadastral Department
DFD	Department of Forest Development
DPC	District People's Committee
FIPI	Forest Inventory and Planning Institute
FLA	Forest Land Allocation
FLUP	Forest Land Use Planning
FPD	Forest Protection Department
FPDR	Forest Protection and Development Regulations
FPU	Forest Protection Unit
ICCO	International Child's Care Organisation
IFSP	Integrated Food Security Project Quang Binh
NTFP	Non-timber forest product
NWG-CFM	National Working Group on Community Forest Management
PFMB	Protection Forest Management Board
PFRA	Participatory Forest Resource Assessment
RDDL	Rural Development Dak Lak
SFDP Song Da	Sustainable Forestry Development Project Song Da
SFE	State Forest Enterprise
SMNR-CV	Sustainable Management of Natural Resources in Central Vietnam
TOT	Training of Trainers
VDP	Village Development Plan
VMB	Village Management Board
VND	Vietnam Dong

## 1 INTRODUCTION

Based on the achievements of the “Integrated Food Security Program” (IFSP) which was supported by GTZ from 1996 to 2002 in the pilot districts of Minh Hoa and Tuyen Hoa of Quang Binh province, the follow-up project “Sustainable Management of Natural Resources in Central Vietnam” (SMNR-CV) pursues the overall goal of improving the living conditions of the local population in the mountains areas of the project region, in accordance with a stabilization of the ecology. The project purpose and the intended impact of the project is focused on capacity building, namely that the stakeholders in the project region are able and effectively manage their natural resources in a sustainable way.

The general implementation strategy is to consolidate the outputs of the IFSP in the fields of i) community-based village and commune development planning (VDP), ii) the application of appropriate farming systems, iii) community-based forest management (CBFM), and iv) the promotion of alternative income opportunities from the marketing and processing of agricultural and non-timber forest products (NTFP). Incorporating the lessons learnt from other donor financed projects, notably those supported by GTZ, the methods and models tested and adapted to local conditions by the SMNR-CV are to be disseminated, depending on the demand expressed by stakeholders in neighbouring provinces in Central Vietnam.

In the forestry sector, the IFSP had mainly focused on realizing the preconditions of CBFM; i.e. participatory land use planning and allocation of barren and forest land (LUP-LA) of a total of over 40,000 ha to more than 11,000 private households. The follow-up activities on Forest Protection Regulations (FPR) and community-based Forestry Management Plans (FMP) had only started in 2001-2002, when the IFSP came to an end. The assessment of these activities and the future strategy is documented in the “Conceptual Framework for community-based forestry development in Central Vietnam” (Apel and Wode 2002<sup>1</sup>).

Since SMNR-CV is focussing on respective follow-up activities in the forestry sector, the objective of the mission was the elaboration of a revised implementation strategy for the forestry-related activities of the SMNR-CV project, in close collaboration with project staff, partners and target groups. Based on previous work of the IFSP, activities implemented by the SMNR-CV, as well as experiences from other projects, detailed recommendations had to be documented on how to achieve the intended impact of Result No.3 (forestry) in terms of nature, timing, and M&E of specific activities.

The Terms of Reference, as well as the detailed mission itinerary of the short-term consultancy are presented in Annexes 1 and 2, respectively. The list of persons met can be found in Annex 3.

The consultant wishes to express his gratitude to Dr. Hans-Jürgen Wiemer, Chief Technical Advisor, as well as the Project Director, Mr. Than Ngoc Lan for their friendly support and helpful comments. Special thanks to Mr. Nguyen Van Hop, Mr. Vu Van Manh, forestry experts, and Mrs. Marianne Meijboom, expert for forestry and natural resource management of SMNR-CV, who accompanied the mission at all times and made valuable

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<sup>1</sup> Apel, U. and Wode, B. 2002. Conceptual Framework for community-based forest development in Central Vietnam. Short-term consultancy on behalf of IFSP.

contributions to the outcomes presented in the following report. In this regard, the consultant also wishes to thank respective members of the SMNR-CV technical support-team, as well as all officials from province, districts, and communes, for their support.

## 2 FINDINGS AND RECOMMENDATIONS

### 2.1 Forest land allocation

#### *Findings*

Based on the support by the former Integrated Food Security Project (IFSP), over 40,000 ha of forestland have been allocated in 16 communes of Minh Hoa and Tuyen Hoa districts. ICCO allocated 3400 ha to 3 communes in Minh Hoa. Especially considering the political situation at the time when uncertainty about the decision to allocate forest land to local stakeholders persisted, forest land allocation of such a large scale was very progressive. In accordance to the legislation at that time, respective forest land has been allocated to individual households<sup>2</sup>, ensuring an equitable distribution among village communities. As a result, households commonly received small and narrow strips, generally reaching from the foothill until the ridge of the mountain, and in some cases even two or three smaller pieces of forest land in various locations. Despite the intention of equitableness, consequences for forest management have not been taken into consideration during the process of forest land allocation. While households are in most cases able to identify the boundaries of allocated barren land, demarcation of the allocated forests is not clear. In some cases it was not possible to link the individual compartments of allocated forest land displayed on the land use map with the respective compartment contained in the red book certificate, as reference numbers were either stated twice on the map or were simply missing. In other words, respective households were neither able to identify their respective piece of allocated forest land on the map, nor in the field.

As stated in the “*Report on the results of the survey on forest land conflicts in Tuyen Hoa and Minh Hoa*”<sup>3</sup> very few conflicts exist following the forest land allocation process, mostly where individual households did not receive the forest land they had already cultivated. The fact that the total share of prevailing land use conflicts lies well below 1%<sup>4</sup>, however, is not representative of the estimated inherent conflict potential concerning the specific situation of forest land allocation. At the moment, conflicts about allocated natural forests simply do not exist due to the “open access situation”, resulting from the inability of forest owners to identify the boundaries of their allocated forest. However, even in case that respective boundaries of individual plots of natural forest could be distinguished, it is doubtful that households endue over sufficient resources to manage and protect their forests individually.

When asked about practical considerations about forest management, including the workload associated with the demarcation of individual plot boundaries in natural forests or the elaboration of management plans for

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<sup>2</sup> Only since the revision of the Land Law by the National Assembly in November 2003, which became effective in July 2004, the definition of land users was broadend to include village communities.

<sup>3</sup> *Report on the results of the survey on forest land conflicts in Tuyen Hoa and Minh Hoa*, prepared by Nguyen Van Hop on behalf of SMNR-CV.

<sup>4</sup> The total number of 49 land conflicts was reported in respective communes of both districts, for a total of about 11.000 households that received forest land.

each single plot, it became apparent that households are not informed about the implications of forest land allocation and practical options of forest management<sup>5</sup>.

All of the red-book certificates reviewed in the course of the field trip<sup>6</sup> did merely contain the name of the husband, whereas with regard to gender-equality the name of both, husband and wife should be mentioned<sup>7</sup>. Due to the unavailability of respective data at the districts, it could not be assessed to which extent this is representative with regard to all communes or merely confined to four communes, where forest land allocation has been implemented initially by IFSP.

### *Recommendations*

It is recommended to allocate the remaining natural forests of Thanh Thach and Hoa Phuc communes to groups of households. In Thanh Thach commune where no forest land has been allocated yet, it is suggested to allocate the nearby barren land to individual households (as more intensive management and investment is usually applied), while remaining natural forests should be allocated to groups of households to enable adequate protection and management. Since practical experiences with forest land allocation in Quang Binh are confined to individual households, it is recommended to provide comprehensive guidance throughout the entire process. Furthermore, precise documentation and elaboration of guidelines are valuable contributions concerning forest land allocation in other districts and provinces.

Regarding the situation of gender-equality in the red-book certificates it should be evaluated whether respective findings are restricted to communes where initial forest land allocation took place, or if further communes are affected. Respective red-book certificates should be rewritten to include the names of both, husband and wife of the household. However, the explicit consent of the current landowner as stated in red book certificate (i.e. the husband) is a precondition. The identification of suitable ways to encourage the current landowner to permit the rewriting of red book certificates should therefore be the conducted as a first step.

Concerning the specific situation where natural and regenerating forests have been labelled as “forests for protection” in the red book certificates, it is recommended to clarify the facts, informing forest land owners about their specific rights, options, and responsibilities regarding the management of allocated forest land<sup>8</sup>.

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<sup>5</sup> Even in cases where households have been informed about the implications of forest land ownership at time of land allocation, no follow-up activities in forest management have been carried out (apart from the elaboration of forest-use guidelines) due to the completion of the IFSP.

<sup>6</sup> Refer to chapter 5.1 for a list of communes visited.

<sup>7</sup> The Cadastral Department has been in charge of the respective forest land allocation which has been implemented on behalf of the IFSP. Gender-equality of forest land allocation represented an important provision of the respective contract.

<sup>8</sup> Representatives from the Agriculture and Cadastral Office in Minh Hoa district stated that the current labeling of forests as “forests for protection” frequently

## 2.2 Forest Protection and Development Regulations

### *Findings*

The former IFSP project supported participatory establishment of FPDRs in almost all of its communes in Minh Hoa and Tuyen Hoa. However, since forest protection staff has been remunerated for each individual set of forest protection regulations developed without monitoring during the establishment process, superficial implementation was frequently the result. In some villages it was stated that protection regulations have been established in one-day commune meetings, just having been handed over to the villages. However, in other villages people said that they have established the regulations themselves and submitted them to commune for revision against the law<sup>9</sup>. The biggest drawback about the lack of enforcement of forest protection regulations, as consistently stated by villagers interviewed, is the current inability to distinguish the individual plots of allocated natural forest. However, as stated in the previous chapter on forest land allocation, even in case that individual plot boundaries are clearly demarcated it is doubtful that individual households endue over sufficient capacities for the protection of natural forests<sup>10</sup>.

Current FPDRs do not cover forest land that remained unallocated (for example the limestone forests). This reduces the ability to protect respective areas considerably and bears a high risk of illegal and uncontrolled exploitation.

In a meeting with the vice-director of the FPU in Tuyen Hoa it was revealed that the possibility of rewarding villagers for reporting violations with up to 15% of the total amount fined (and even up to 30% of the respective amount in case a violation case report has been compiled), has been ceased by the Ministry of Finance since beginning of 2005. Furthermore, the claim of direct compensation from the violator by villagers is not permitted, due to the current lack of a legal foundation<sup>11</sup>.

### *Recommendations*

Besides supporting villages that do not yet endue over FPDR in the participatory establishment, a revision of already established FPDR should be undertaken. It has to be ensured that respective regulations cover the entire forest land area belonging to the respective village, that representatives of forest land receiving and non-receiving households

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leads to misunderstanding by forest land owners about the potential to develop and sustainably manage the resource.

<sup>9</sup> As for example independently stated by villagers of Kien Trinh and Si villages of Hoa Phuc Commune.

<sup>10</sup> Refer to Chapter 2.4 for practical suggestions about forest protection and management with regard to the given context.

<sup>11</sup> Although Decree No. 139/2004/ND-CP does not foresee the delegation of authority to claim compensations from violators to the village head, some provinces have issued resolutions permitting the like. Dak Lak province is one prominent example, having issued Resolution No. 15/2002/NG-HDND in July 2002, permitting the village head to directly claim compensations from respective violators of up to 50.000 VND per case. This right is important as it provides villagers with additional incentives to protect their forest resources.

participate in the process, as well as that existing FPDR are adopted to recent changes of local and legal conditions. Based on former experiences<sup>12</sup>, it is furthermore recommended to monitor the process of FPDR establishment/revision, as well as the outcome to ensure that quality standards are being fulfilled.

Existing guidelines provided by IFSP should be updated to incorporate recent legal changes, and transformed into a training manual. It is furthermore recommended to submit the guidelines and respective training manual to the FPD to get approval prior to initiation of the establishment/revision process, in order to facilitate the subsequent approval of FPDR by the FPU.

Following the process of establishment/revision, it is recommended to setup signboards in every village, providing visible means for outsiders coming to the village forests. Moreover, in order to ensure that the entire village community is aware of the regulations, it is recommended to issue leaflets containing the main facts of respective regulations and to distribute them to amongst the entire village community.

### **2.3 Feasibility of afforestations and private tree nurseries**

#### *Findings*

In all of the communes visited, villagers were eagerly afforesting allocated barren land and areas covered by natural regeneration and shrubs (I<sub>A</sub> to I<sub>C</sub>, according to the Vietnamese forest land-use classification). The latter is frequently cleared and burned prior to afforestation. In general, only three species are planted, namely *Eucalyptus sp.*, *Acacia auriculiformis* and *Acacia mangium*. While *Acacia auriculiformis* can be grown in rotations of about 30 years, providing some valuable timber for furniture, *Acacia mangium* has to be utilized in short-rotations (e.g. after 5-7 years), due to the frequent occurrence of centre-rot. Respective timber is used for the production of paper and pulp. Villagers are provided with *Acacia* seedlings free of charge by the province, pursuing a strategy to assist local communities in the establishment of short-rotation plantations for livelihood improvement<sup>13</sup>. Besides provision of seedling material, no technical trainings are offered<sup>14</sup>, resulting in poor quality of afforestations. *Eucalyptus sp.* is an exotic tree species in Vietnam and not promoted by the province, but privately planted by villagers. Seedlings are purchased at a low price from nurseries located in Quang Trai district. If grown in short-rotation, timber is sold to the provincial paper factory.

The local demand for seedlings seems to be rather high and despite the provision of *Acacia* seedlings by the province, some households have started to set up their own private tree-nurseries, propagating *Acacia* and

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<sup>12</sup> Refer to Apel and Wode (2002).

<sup>13</sup> It was stated that the province is contracting State Forest Enterprises for the provision of seedling material.

<sup>14</sup> Some villagers received a small leaflet containing some basic information on afforestation in conjunction with the seedling material. However, respective leaflets are not sufficient to guarantee the quality of afforestations.

Eucalyptus<sup>15</sup>. The quality of respective private nurseries is similar to that of the afforestations as no technical training on nursery establishment is provided by the local extension service. Interviewed nursery owners stated that the demand for seedlings is currently surpassing the capacities of the provincial program, meaning that they are able to sell their seedlings to other households.

### *Recommendations*

Given the apparently high demand of tree-seedlings for afforestations of allocated bare land, it is recommended to conduct a pre-feasibility study to estimate the potential for private tree-nurseries. Besides the villagers' demand and marketing potential of various tree species, the study should evaluate current legal procedures associated with the establishment of private commercial tree-nurseries<sup>16</sup>. In case that the establishment of private tree nurseries is found feasible, further technical inputs will be required to determine suitable tree species<sup>17</sup>. Given the fact that currently only three species are planted and that *Acacia mangium* and *Eucalyptus sp.* are not representing long-term options<sup>18</sup>, diversification of species (and thus products) should be envisaged<sup>19</sup>. A diversification of species used for afforestation is also contributing towards reducing future risks, as the price for roundwood is expected to be rather stable or even increase in the medium- to long-run.

In order to enhance the quality of afforestations, supporting local people to get higher returns from their investments, technical trainings should be provided, covering both, the management of private tree-nurseries as well as afforestation and tending.

## **2.4 Natural Forest Management**

### *Findings*

Methodologies and concepts for the management of natural forests by local communities are currently lacking, which is also reflected in the respective red book certificates, where the allocated natural and regenerating forests

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<sup>15</sup> One example is Ha Lao village of Thuan Hoa commune where villagers afforested about 4 ha with 15,000 seedlings of *Acacia auriculiformis* in an own initiative.

<sup>16</sup> A certificate of seedling-quality is needed if seedlings are to be sold.

<sup>17</sup> Experience in propagation and afforestation of local tree species can be obtained from the KfW 4 project.

<sup>18</sup> Eucalyptus should at best be planted to overcome immediate shortages of timber-supply. Due to ecological constraints (especially considering rapidly declining soil fertility), as well as an expected plummeting of prices for pulp- and paper, it is not recommended to plant it on larger scales. Especially clearing and burning of regenerating forest areas for afforestation with Eucalyptus should be counteracted.

<sup>19</sup> Potential species comprise inter alia *Peltophorum tonkinesis*, *Canarium album*, and *Chukrassia tabularis*.

(classes II<sub>A</sub>, II<sub>B</sub>, III<sub>A1-A3</sub>) have been labelled as ‘forest for protection’<sup>20</sup>. In meetings with representatives of FPU of Minh Hoa and Tuyen Hoa, as well as the Northern Quang Binh Company, it was stated that the respective forest land is less critical protection forest. According to the Vietnamese forestland use classification, the latter is classified as forest combining protection and production functions, which reinforces the recognition that protection forest can be utilised according to management plans<sup>21</sup>. Most recent developments at national level point in the direction that less critical protection forests are going to be reclassified into production forests<sup>22</sup>.

The current lack of methodologies and tools for natural forest management is furthermore reflected by a rather conservative attitude of government officials, frequently referring to the legal framework when asked about issues related to forest management by local stakeholders.

### *Recommendations*

Given the convenient situation that over 11,000 households have received forest land under the former IFSP, as well as the current lack of methodologies and concepts for natural forest management, it is recommended to support forest land owners with the participatory elaboration, as well as practical implementation of forest management plans. Given the situation of forest land allocation to individual households, demarcation of each compartment located within natural forest does not represent a practicable option<sup>23</sup>, while the elaboration of management plans for each compartment is whether practicable nor sensible. In this context, especially considering forests located further away from settlement areas, formation of user-groups might represent a suitable option, depending on the respective local context.

Considering that the majority of allocated forest land is degraded<sup>24</sup> (refer to Annex 4 for details), support in forest management planning and practical implementation is furthermore justified in order to facilitate forest development and long-term sustainable management by local stakeholders.

Considering that approaches of natural forest management by local stakeholders represent an innovation in Quang Binh province, advice is given to collaborate closely with officials from province, districts, and

<sup>20</sup> According to the Vietnamese system of forestland use classification, protection forest is termed ‘*rung phong ho*’. The term stated in the red books is ‘*bao ve*’ – protection, is rather addressing management than denoting forestland use.

<sup>21</sup> Refer to Apel, U. and Wode, B. 2002.

<sup>22</sup> An interview with Mr. Nguyen Thanh Binh, Director of FIPI in Quang Binh revealed, that DARD has recently requested FIPI to reclassify the forestland use in Quang Binh province.

<sup>23</sup> Especially regarding the laborious clearance of dense underbrush frequently associated with regenerating forest stands and the opportunity costs associated with maintenance. Refer to Chapter 5.1.3 (Formation of user groups) for details.

<sup>24</sup> No exact figures about the status of the allocated forest land could be obtained. However, it is estimated that about a quarter is in a degraded state (class III<sub>A1</sub> with a standing stock of 30-80 m<sup>3</sup>), while the remaining three quarters are classified as bare land (ranging from class I<sub>A</sub>, grassland, to class I<sub>C</sub>, scattered natural regeneration).

communes, informing them well in advance about planned activities and proceedings with CBFM.

The provincial forestry strategy for the time frame from 2006 until 2010 is elaborated by DARD and FIPI, and will be finalized by the end of this year. Given that the project successfully introduces methodologies for participatory elaboration and implementation of forest management plans by local stakeholders in Quang Binh province, positive impacts on the provincial forestry strategy can be expected. In this regard, the project is advised to closely collaborate with other environmental projects in the province (refer to Chapter 3 for details).

## **2.5 Revision of forestry-related indicators of the PPM**

Part of the short-term mission consisted in the review of forestry-related indicators of the project planning matrix. Regarding indicator 2 of the project purpose, namely that “three years after completion of land use planning and land allocation, the forest cover in at least 75% of the project communes is at least 10% higher than before”, the following can be noted:

Given that the average forest cover in both districts is already around 70% (well above the average forest cover of Vietnam), an increase of additional 10% could only be achieved via intensive efforts of afforestation, probably including fertile agriculture land. The latter would counteract the interests of local stakeholders. Moreover, based on experiences made in SFDP Song Da, monitoring of forest cover is not only a laborious and expensive undertaking, but might also be impossible due to the accuracy of available mapping material<sup>25</sup>. Thus, it is recommended to discard or amend the indicator. One possible option might be to monitor qualitative changes in existing forests instead. Since measurable qualitative changes in natural forests usually occur over decades, respective efforts should focus on allocated forest land that is currently in a regenerating stage (areas classified as  $I_C$ , according to the Vietnamese land-use classification). Regarding respective forest land areas, sample plots have to be selected systematically and for the sake of convenience located with the help of GPS-receivers<sup>26</sup>. Within the sample plots, information such as species, abundance of natural regeneration, diameters at breast height for all trees above 1,3 m height, and canopy cover should be recorded. An indicator for the quantification of an improvement of forest condition in respective sample-plots should be a basic index-value, especially considering the time needed for data-analysis and the significance of results. A respective index-

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<sup>25</sup> SFDP Song Da engaged a PhD student on the respective monitoring of forest cover in the project area. Aerial photographs displaying respective forest land areas before and after the project intervention were analysed. However, since the standard error was larger than the resulting increase of forest cover, the respective result was not meaningful.

<sup>26</sup> In order to avoid that local stakeholders know about the location of sample plots, respective boundaries are not marked, but the specific coordinates are recorded for consecutive measurements.

value could for example contain thresholds for the potential of natural regeneration, as exemplarily presented in Annex 5.

### 3 ROLE OF RELEVANT ORGANISATIONS AND PROJECTS

In the following, a brief overview is given about the various organizations, projects and programs, relevant in regard to forest management in Quang Binh. The assessment is based on a number of meetings held in the course of the short-term assignment.

#### Northern Quang Binh Company

Placed under direct authority of the Provincial Peoples' Committee, Northern Quang Binh Company is the governing body of six State Forest Enterprises and three Protection Forest Management Boards (PFMB) in Northern Quang Binh. In Minh Hoa and Tuyen Hoa districts, it is responsible for the management of the entire forest areas, which has not been allocated to individual households. Besides commercial forestry and supervision of PFMBs, the company is engaged with the implementation of the program 661 (refer to the description of state forest enterprises for details). Some experiences seem to exist with the propagation and afforestation of native tree species<sup>27</sup>, however, since the shift of state forest enterprises to business enterprises, no such species are planted anymore as the focus has been shifted towards the generation of short-term profits.

#### State Forest Enterprises

Following Decision 187<sup>28</sup> by the Prime Minister, issued in September 1999, State Forest Enterprises (SFE) are transformed into business enterprises. Despite commercial forestry, SFE are executive agents for the program 661<sup>29</sup>. Yen River Protection Forest and Rau Nam River Protection Forest are under the management of Tuyen Hoa and Minh Hoa SFE respectively. In areas covered by the program 661, collaboration between SFE and local people is confined to the mere contracting of the latter for afforestation and protection. As far as afforestation is concerned, households are getting compensated for labour, whereas for protection contracts an amount of 40.000 VND per ha and year is paid<sup>30</sup>. However, households do not have the right to harvest any forest products apart from NTFP<sup>31</sup>. The total area

<sup>27</sup> Propagation of respective seedling-material has been contracted to a sub-enterprise, in charge of collecting seeds from the forests and cultivating them in a local nursery.

<sup>28</sup> Decision No.187/1999/QD-TTg, issued by the Prime Minister on the 16<sup>th</sup> September, 1999. Decision on renovation of the organization and management mechanism of State Forest Enterprises.

<sup>29</sup> Decision 661/QD-TTg, issued on the 29/07/1998 in replacement of program 327. Commonly referred to as the "5 million ha afforestation program" or simply "program 661". The new program represents Vietnam's forest policy until the year 2010.

<sup>30</sup> The remaining 10.000 VND per ha and year are deducted by the SFE as a service charge.

<sup>31</sup> Permission from DARD is needed for the harvesting of Rattan in respective protection forest areas. The approval process seems to be rather complicated and no further information about this could be obtained by the SFE.

for afforestation, financed by 661 seems to be rather limited, as in 2004 merely 40 ha have been afforested in Minh Hoa, and 70 ha in Tuyen Hoa<sup>32</sup>.

A representative of Minh Hoa State Forests Enterprise furthermore reported that households have been provided with seedlings and compensation payments for their labour, required for the establishment of plantations on their own land. Respective products will be shared between the household and the SFE, in accordance to the quality of respective afforestations<sup>33</sup>.

Furthermore, SFE provide seedlings for the implementation of the provincial strategy on establishment of short-rotation plantations for livelihood improvement, with respective contracts being made well in advance (refer to Chapter 2.3 for details).

### Protection Forest Management Boards

Protection Forest Management Boards (PFMB) are responsible for the management of contiguous areas of protection forest larger than 5000 ha, with the main objective to prevent illegal exploitation. Minh Hoa, Trong Hoa, Dan Hoa, and Hoa Son communes (Minh Hoa district) are sharing border with Laos, which is why their entire forest land area has been classified as protection forest, placed under the management of Minh Hoa PFMB. In Tuyen Hoa, Thanh Lam PFMB extends over the north-western parts of Lam Hoa, Thanh Hoa, and Huong Hoa communes.

Harvesting of timber for own consumption by local communities is not permitted in respective protection forest areas. Merely the utilisation of NTFP and collection of deadwood are granted. Similar to the management applied by SFE, households are contracted either for protection<sup>34</sup> or for afforestation. The latter is depending on the decision by DARD, with a maximum amount of 1,750,000 VND per ha paid in the first year as compensation for planting and maintenance. Protection contracts are usually issued for a 5-year period, with the option of renewal in case of adequate protection, or proposal by the PFMB to take the forest area into production in case of suitable forest condition.

### NTFP-project

The NTFP-project is operating in three communes of Tuyen Hoa district, namely Kim Hoa, Nam Hoa, and Dong Hoa. The main focus is to assist local people in the cultivation of Rattan, medicinal plants for own consumption, as well as bamboo (Luong). Local trainers provide technical trainings. Other activities comprise apiculture and the production of baskets and furniture from bamboo.

Regarding Rattan, one household in each project village has been assisted to set up a nursery and the project will buy the first seedlings and distribute

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<sup>32</sup> Figures are according to the data provided by the DFD.

<sup>33</sup> At best, households will be allowed to keep 50% of the harvestable timber. Thus, despite the initial investment, the risk remains with the household.

<sup>34</sup> Same cost-norms apply as stated under SFE.

them to eleven households for cultivation in each village. Moreover, the project intends to set up Rattan nurseries from seeds<sup>35</sup>.

#### Central Region Livelihood Improvement (CLIP)

The ADB-financed CLIP is operating in four provinces, namely Quang Binh, Quang Tri, Hue , and Kontum. The project has 5 main components, namely income generation, food security, institutional strengthening, local capacity building, and project management. Capacities for activities directly related to forestry are rather limited, as current efforts in Minh Hoa and Tuyen Hoa districts are focussed on the allocation of additional forest land. Despite the recognition of the importance to support local communities in forest management, it is rather doubtful that the project will be engaged in respective activities over the next years, due to current budget restrictions and the primary objective of planned forest land allocation. Regarding the latter, CLIP intends to allocate forest land to groups of households or the entire village community in case that respective case studies and guidelines are available.

#### Phong Nha - Ke Bang Forest Garden Project

The Project is implemented by Fauna & Flora International (FFI) and Phong Nha - Ke Bang National Park in six buffer-zone communities, located in four communes<sup>36</sup>. The project aims to provide knowledge, techniques and technology to establish forest gardens that are mimicking to natural forest structure with desired species composition. Besides conserving biodiversity, and ensuring that the functions of the ecological landscape and habitat in the communities are preserved, respective forest gardens will also be designed to meet the economic demand of respective local communities. At present, the project is determining suitable tree-species in terms of ecology and income generation, also planning to set up local tree-nurseries for the propagation of indigenous species. Especially the latter, as well as experiences made with enrichment plantings constitute possibilities for future collaboration between FFI and SMNR-CV.

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<sup>35</sup>One household visited in Ha Lao village of Thuan Hoa commune has successfully set up a Rattan nursery in 1999 with the support from the IFSP. Propagation is done from seeds in the local home garden. Demand by other villagers for Rattan seedlings seems to be very high.

<sup>36</sup> Hung Trach, Son Trach, and Xuan Trach communes of Bo Trach district, as well as in Thuong Hoa commune of Minh Hoa district.

## 4 EVALUATION OF THE CONCEPTUAL FRAMEWORK FOR COMMUNITY-BASED FORESTRY DEVELOPMENT

Main objective of the short-term assignment consisted in the evaluation of the conceptual framework for community-based forestry development, elaborated by Wode and Apel in 2002<sup>37</sup> on behalf of the former IFSP project. Based on the evaluation, project interventions for upland conditions, lowland conditions, as well as the buffer zone of the Phong Nha National Park had to be elaborated. Major changes of the forestry-related legal framework since 2002, with special reference to community based forest management, are summarised in Annex 6.

The term **upland condition** refers to areas dominated by ethnic minority population (Chut and Bru-Van Kieu as the two main groups living near the Laotian border) where agricultural production is mainly based on slash-and-brun cultivation on sloping land, contributing to high deforestation rate in these areas. Respective conditions are encountered predominantly in three communes of Minh Hoa district, namely Trong Hoa, Dan Hoa, and Hoa Son. Due to the fact that respective communes are so-called “border communes” (sharing their western border with Laos), the entire forest land area has been legally classified as protection forests, placed under the management authority of Minh Hoa Protection Forest Management Board. The management of protection forests by PFMBs has two main implications<sup>38</sup>:

- 1) Forest management by local people is restricted to the mere harvesting of NTFPs and the collection of fuelwood<sup>39</sup>, neglecting the effective demand for timber;
- 2) Lack of forest land ownership has negative implications for the incentive of local people to invest labour in the development and sustainable management of respective forest land areas, due to the prevailing uncertainty about future benefits.

Respective implications limit the options of forestry-related project interventions (Result No 3 of the PPM) in all three communes substantially. Considering that the socio-economic conditions of resident ethnic minority groups did not change substantially since 2002, priority is still given to agricultural production and low interest and capacity exists in forestry development<sup>40</sup>. Underlying causes for ongoing forest degradation are insufficient food security and rural poverty. Further project support should therefore focus on the development of more productive and ecologically sustainable agricultural systems and (Result No 2), as well as the creation of income opportunities from the processing and marketing of non-timber forest products (Result No 4). Regarding the latter, a market analysis and development study (MA&D) should be carried out.

<sup>37</sup> Apel, U. and Wode, B. 2002. Conceptual Framework for community-based forest development in Central Vietnam. On behalf of the IFSP.

<sup>38</sup> Refer to Chapter 3 for further details about PFMB.

<sup>39</sup> Harvesting of living trees is not permitted, merely the collection of deadwood.

<sup>40</sup> As stated in Apel and Wode (2002).

The term **lowland condition** denotes areas dominated by ethnic Kinh population, where irrigated agriculture with permanent land-use rights and individual management of natural resources prevails<sup>41</sup>. The respective **smallholder forest management concept**, proposed by Apel and Wode (2002) has been modified and complemented based on the findings and recommendations presented in Chapter 2 and experiences made in SFDP Song Da, RDDL, and ADB-FSP, since 2002. The proposed smallholder forest management concept has furthermore been renamed to **community-based forest management concept**, due to the commonly made experience that management and protection of natural forests located further away from settlement areas can only be achieved effectively by groups of households or the entire community. The term community-based management is hereafter understood as forest management by user-groups, representing a suitable option for the management of natural forests in the context of forest land allocation to individual households.

Although being located in Bo Trach district, the **buffer zone** of Phong Nha National park extents into Thuong Hoa commune, located in the eastern part of Minh Hoa district. The respective commune also belongs to the project area of FFI with a forestry concept and guidelines for practical implementation<sup>42</sup> developed most recently by an international forestry consultant on behalf of FFI. Due to temporal constraints, specific tasks could not be elaborated in the course of this short-term assignment. It is therefore recommended that the existing approach is taken over and amendments made using existing guidelines and training material of the SMNR-CV.

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<sup>41</sup> Apel and Wode (2002).

<sup>42</sup> Wode, B. 2005. FFI - Community Forest Development Planning Session Material. Forthcoming.

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## 5 CONCEPT FOR COMMUNITY-BASED FOREST MANAGEMENT

### 5.1 Organizational and Technical Procedures

The proposed forestry concept mainly draws on experiences made with community-based forest management in SFDP-Song Da, ADB-FSP, and RDDL. The special situation of forest land allocation to individual households, however, made substantial changes of the technical and organisational structure inevitable, with the formation of user-groups representing one of its key-components. Main procedures of the concept follow the “Matrix on Establishment of CBFM Pilot Schemes in 2003 – 2004”, as developed by the National Working Group for Community Forestry Management and are therefore in line with national level forest policy development (refer to Annex 7).

The **technical and organizational procedures** proposed for the establishment of CBFM are presented and described in detail in the following chapters. The concept consists of a sequence of nine steps, which are explained in the following chapters.

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*Step 1: Application for communes*

*Step 2: Assessment of prevailing conflicts based on forest land allocation and facilitation of conflict resolution*

*Step 3: Formation of forest user-groups*

*Step 4: Establishment/revision of forest protection and development regulations*

*Step 5: Long-term forest development and utilisation vision*

*Step 6: Participatory forest resource assessment*

*Step 7: Elaboration of community forest management plans*

*Step 8: Determination of responsibilities and tasks of the commune in the process of community based forest management*

*Step 9: Monitoring and evaluation*

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#### 5.1.1 Application for communes

Community based forest management cannot be imposed upon a community but has to be requested by its members. In order to create self-interest and a sense-of-ownership in the decision-making process of forest management, people have to be adequately informed about medium- and long-term benefits, as well as available options.

Communities are requested to submit an application for the approval of a **CBFM permit, which will be prepared by the Commune People Committee (CPC) and submitted to the District People Committee (DPC)**. The chairman of the PC at district level is responsible for the

appraisal and approval of the CBFM permit. Furthermore, the Agriculture and Cadastral Office and the Forest Protection Unit are consulted for the process of appraisal and approval.

To facilitate this process a meeting in the respective commune has to be organized in which the objectives, specific tasks, and benefits of a CBFM model are introduced to representatives of the commune and the potential villages.

Especially long-term benefits and rights, which may be out of the planning horizon of stakeholders, have to be revealed in detail. Based on this meeting the village representatives then pass the information on to their villages and support them during the decision-making process. Leaflets can serve as reminder, provide guidance and ensure that all information is conveyed during the dissemination in village meetings.

Communes that express their interest in applying for a CBFM permit are requested to submit an application for approval. The application format has to be prepared in a standard format as guidance for the CPC. The application is then submitted to the DPC for approval. The Agriculture and Cadastral Office and the Forest Protection Unit are consulted to verify the data provided and the suitability of the commune.

In the process of appraisal and approval, the Chairman of the DPC has to ensure that necessary supporting systems are provided with respective budgets out of local and national government programs or projects, i.e. donor contributions or NGOs.

#### **5.1.2 Assessment of existing and potential conflicts based on forest land allocation and facilitation of conflict resolution**

Before commencing CBFM it is essential that conflicts with land allocation are assessed and necessary steps taken to settle respective conflicts. Potential sources of conflict comprise, amongst others, unclarity about village or commune boundaries, as well as inadequate consideration of the entire village community in the process of FLA. Prevailing conflicts are likely to manifest in later stages of the CBFM process, particularly when forest protection regulations are adequately enforced. It is therefore **inevitable to settle existing conflicts before proceeding with CBFM.**

Apart from initial assessments at commune level, prevailing conflicts are identified in village meetings where the suitability of form of forest land allocation is assessed. A frequent source of conflict is represented by households who have not been adequately considered in the process of land allocation and as a result did not receive forest land. As stated above, conflicts are likely to manifest only when forest protection regulations are enforced and non-forest receiving households finally realise that they have lost access to formerly managed forest areas. Other sources of potential conflict are unclarity of boundaries between neighbouring villages and/or communes.

Once prevailing conflicts have been identified, the project should take a facilitating and mediating role in conflict resolution, encouraging conflicting parties to come together to solve respective conflicts. Information has to be

passed on to higher authorities for handling, whenever conflicting parties are unable to reach consent.

Depending on the actual type and extent of conflicts encountered, the time needed for this step might be weeks or even months.

### **5.1.3 Formation of forest user-groups**

Since natural forests have been divided into small compartments to ensure equity of forest land distribution amongst the inhabitants of a hamlet, practical considerations regarding forest management and protection arise. The first concern appeals to the high workload, required for demarcation and maintenance of respective compartments in natural forests. Especially in secondary forests with dense and vigorously proliferating underbrush, liberation of individual plot boundaries has to be carried out at regular intervals.

Compartment design has been chosen to ensure equity of site-conditions contained within each compartment. Apart from the fact that some households have received two or three smaller compartments, the latter are usually of long and narrow shape<sup>43</sup>, commonly extending from the foothill to the ridge. The narrow shape of compartments and the average height of trees to be harvested for construction purposes of around 20 to 30 meters, constitute a high probability that harvested trees will fall into neighbouring compartments<sup>44</sup>, damaging the remaining stand.

Despite the suitability of individual management and protection of forest land located in the vicinity of settlements, where more intensive management practices are usually carried out<sup>45</sup>, it seems to be rather doubtful that households endue over sufficient resources to adequately protect the individually owned compartments located further away from the hamlets. Respective forest areas are frequently stocked by natural forests, which have been exploited to differing extents. Furthermore, as frequently revealed in interviews, households do frequently not feel responsible for protecting of neighbouring forest compartments from illegal exploitation by outsiders.

Last but not least the high administrative workload associated with the elaboration, approval, and monitoring of management plans for every individually owned compartment have to be taken into consideration.

Despite these practical implications for forest management and protection, a strong prepossession towards individual responsibility over forest land seems to exist with Kinh people. However, such prepossessions are based on the fact that no practical experiences have been made with forest management in small compartments so far, which is mainly due to the fact that no follow-up activities have been conducted after the allocation of forest land.

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<sup>43</sup> Hoa Hop Commune represents a prominent example, where forest land has been distributed in strips of 10 to 20 meter width and 1 to 2 km length.

<sup>44</sup> Especially considering the fact that trees are to be felled along contour lines to avoid uncontrolled slipping.

<sup>45</sup> For example afforestation or cultivation of allocated bare land.

The first step in the formation of forest user groups is therefore to **adequately inform** forest land owners about the practical implications of forest management. It is crucial that people get an understanding about the fact that **allocation, management, and protection of forest land can have different functions**. The present land use map, displaying specific ownership and forest status as a result of the FLA process should be used to facilitate the exercise. Based on this map, the village forest has to be divided into forest blocks<sup>46</sup> prior to initiating discussions about the formation of user groups.

Meanwhile it is of equal importance that the village community identifies **suitable mechanisms** for sharing of responsibilities and benefits within and between user-groups. Furthermore, modalities for distribution of timber to households that did not receive forest land have to be identified and agreed upon. It is suggested to organize a meeting with the village head and key-farmers for discussion and elaboration of various options, which can then be evaluated in a village plenary meeting, leading to the selection of **standard procedures**, valid for the entire village community<sup>47</sup>. Based on this, villagers should be able to form forest user-groups for the management and protection of allocated natural forests. Since the forest area of each user-group represents the unit for forest management planning it is suggested that the final number of user-groups per village does not exceed 10, with each user-group consisting of at least 5 households (preferably more). The ideal scenario is represented by a situation where user-groups are established in accordance to existing forest blocks, normally representing the unit of forest inventory and management planning.

#### 5.1.4 Establishment/revision of forest protection and development regulations

Handing over of responsibilities of sustainable forest management and protection to local stakeholders requires the devolution of respective legal rights. Consequently, a legal framework for community-based forest law has to be developed to enable local people to regulate and enforce the access rights and restrictions of a resource base that can easily be encroached by outsiders or even community members, especially considering forest resources located in some distance to the settlement area.

In order to provide the legal environment for communities to enforce their forest tenure rights village level **Forest Protection and Development Regulations** (FPDR) have to be put into place as stipulated in Circular 56/1999/TT-BNN-KL. However, the approach as stipulated by law does not

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<sup>46</sup> Forest blocks are defined as areas of similar forest type, forest structure, and management. They usually resemble units of forest inventory and management planning.

<sup>47</sup> Since this will be the first time for participants to elaborate and agree upon regulations for sharing of responsibilities and benefits, it is recommended to clarify that respective regulations will be subject to internal revision and adoption as soon as first practical experiences have been made by the villagers (active learning process).

point out the necessity of participation, frequently resulting in a list of prohibitions forced upon a community, only causing counterproductive effects. Therefore, it is important that communities themselves formulate their own regulations suitable for their local conditions and specific needs.

FPDR aim at improving the capacity of stakeholders to analyze their forest resources and traditional regulations, adopting the forest regulations that will best respond to stakeholders and government forest management needs and interests. Strengthening people's capacities in managing and protecting their forest according to regulations developed by them and approved by the relevant authorities is considered crucial in self-enforcement and for a socially accepted forest management. Involving local stakeholders in the decision-making process further facilitates a rapport of trust and exchange of information with local authorities.

The process of formulating FPDR includes village meetings in which community members share their ideas and opinions on the purpose of the FPDR and agree upon what they would like to achieve with them. FPDR have to comprise specific information about (a) areas grouped according to specific purposes, (b) benefits and punishment, (c) hunting and grazing regulations and (d) fire prevention as a result of joint discussions during two to four half-day village meetings.

**FPDR have to cover the entire village forest area**, as unregulated areas are likely to be used as open access resources, prone to encroachment and/or illegal exploitation. If FPDR are already on place, it is strongly recommended to assess whether the degree of participation in the development process and the awareness and acceptance by local people. One main indicator to be assessed is whether areas under specific management (forest for firewood exploitation, protected graveyard forest, watershed forest etc.) are explicitly mentioned in the regulations with local names and whether farmers can identify the mentioned areas in the field. Often regulations are only blueprints that were just handed over during a meeting without giving villagers a chance to incorporate their aspirations and needs.

Once FPDR have been developed and agreed upon by all community members, they are submitted by the village leader to the commune authorities, and from the commune to the district authorities for approval. The result of the approval is a **legal binding document to enforce land use rights** and to consult higher-level administration for support in handling of violation cases that cannot be solved by the village alone.

At village level, farmers themselves are responsible to ensure that regulations designed by them are followed. This is one of the main reasons why participation of community members' in the design process is of crucial importance. In the process of implementing and enforcing FPDRs, local people are getting familiar with their rights and responsibilities as well as the fines applied in case of violations. Leaflets containing the main important issues represent a cost-effective tool for informing the entire village community about their specific set of FPDR.

Forest protection groups are formed among villagers to ensure compliance with the FPDR. The formation of protection groups further reduces opportunity costs when several households co-operate to jointly protect their forest resources.

Apart from the obligations of only protecting forest resources the regulations should provide further opportunities for local people to enjoy benefits from timber and non-timber forest products.

FPDR can only be an effective tool if villagers' awareness is kept alive after the development. This can be facilitated by frequently reflecting on the ongoing implementation during village meetings and **regular monitoring and evaluation (M&E)** to be conducted on an annual basis.

The M&E exercise combines **external monitoring** by supportive agencies like Forest Protection Units (FPU) with **internal monitoring** carried out by the community to increase awareness of stakeholders and to assess the need for adjustment or further external support based on the demand of the villagers. During the M&E process the **development process, present knowledge** of FPDR, as well as the **standard of implementation** are assessed.

#### 5.1.5 Long-term forest development and utilisation vision

Specific ownership and forest status have been defined and delineated on a present land use map as a result of the FLA process, which should be available at the village. The formation of user-groups has resulted in the identification of units for forest management planning (refer to Chapter 5.1.3). Based on this, representatives of each user-group have to further identify the future production aim for their specific forest area. This long-term vision should clearly define desired species, species composition, and minimum harvestable diameters required for the final products.

As the potential of natural forest stands differs in terms of species distribution, productivity and functions, the management system applied has to be tailored accordingly to ensure maximized benefits in the long term. Only if the management system applied is consistent with a management goal defined from the very early stages counter-productive interventions can be avoided over the whole production period. In other words a clear vision of the desired forest structure that can provide the desired tangible and non-tangible forest functions and products has to be established before carrying out any silvicultural management regime.

The process is facilitated by reflecting on the currently **available resources** (distribution of valuable timber species and non-timber forest products species) and **site conditions** (soil fertility as an indicator for forest growth potential) during a short walk in the respective forest patch<sup>48</sup>. In order to enable forest owners to gain insides about the forest structure, species composition, and relevant impacts (such as grazing, fire, weeds), basis for the identification of suitable management options, a **participatory stand description** is made for each forest area under the management of a user-

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<sup>48</sup> A forest block represents the conventional unit of forest management planning, being a forest area of similar forest structure, species composition, and management regime. However, in the context of forest management by user-groups, the forest area, which is under the management of the latter, is considered as the unit for management planning. This necessitates the elaboration of long-term forest management goals separately for each forest area under the management of a user-group.

group. By defining the products desired from respective species and appropriate minimum harvestable diameters, a clear future forest structure can be drawn. The differences between the present stage and the desired future structure will then define the management regime to be applied.

Facilitating this planning through a participative approach helps local people to understand why and how management decisions are made and ensures that their demand and expectations are incorporated in the results. It is assumed that forest users who have the opportunity to express their needs and incorporate their local knowledge into the process have an increased sense of ownership and are willing to take over management responsibilities in the long run. This independent follow-up forms a crucial factor to achieve the desired long-term goal.

Therefore, increasing people's participation in the decision-making process to identify and agree on a suitable management goal is considered the principal mechanism available to facilitate sustainable use of natural resources, thereby linking forest utilisation with effective forest protection.

#### **5.1.6 Participatory forest resource assessment**

The main objective of participatory forest resource assessment (PFRA) is to evaluate the forest resources and to supply information for forest management and planning purposes. Resource assessments in form of **forest inventories** are carried out on a sample base at specific intervals and varying intensity depending on the size of the forest area and the type and accuracy of data needed. PFRA is only required for areas where existing production forest<sup>49</sup> has been handed over to local people and silvicultural interventions like thinning or harvesting can be carried out within the next 5 years. Consequently, no inventory is required for forest land of the type I<sub>A</sub>, I<sub>B</sub>, and I<sub>C</sub> according to the Vietnamese forest land classification.

In order to apply the PFRA methodology, adequate ideal models for respective forest types have to be developed prior to the implementation. The aim is to develop ideal models or standards of a forest structure under sustainable management, which can be compared against the real forest structure in order to reveal quantifiable options and/or constraints for future forest management. Following the National Workshop on Community Forest Management<sup>50</sup>, the NWG-CFM has proposed to collaborate with the Trust Fund for the elaboration of ideal forest models for all seven agro-ecological zones of Vietnam.

In the context of community forestry development in Vietnam appropriate methods to assess forest resources have to be based on simple

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<sup>49</sup> Even though allocated regenerating and natural forests have frequently been termed "forests for protection" in red-book certificates, respective areas are less critical protection forests. Thus, management according to approved management plans is rendered possible (refer to Chapter 2.4 for details)

<sup>50</sup> National Workshop on Institutional and Regulatory Framework for Community Forest Management in Vietnam, organized by the National Working Group on Community Forest Management, Hanoi, 30<sup>th</sup> of November 2004.

participatory resource assessment rather than on inventories of scientific accuracy. A scientific inventory is likely to produce a set of data that local people would find extremely difficult to interpret. If forest users were not properly involved in the resource assessment, they would not have a sense of ownership over the results and thus be unwilling to follow a management plan developed from that data. Consequently, simplicity of guidelines is important to ensure that understanding, enforcement, and monitoring of forest management planning is within the capacity of the forest user group. Full participation by local forest users must be ensured during the entire process, making use of simple but effective techniques of forest inventory and subsequent data analysis.

Resource assessment should be undertaken as a joint activity involving the commune forest management board as technical resource person, extension worker as facilitator and local forest users. Participation during the entire process will (i) support stakeholders to gain confidence in the techniques which will enable them to independently carry out future resource assessments (ii) reduce the workload of the involved agencies like Forest Protection Units and (ii) establish mutual trust and exchange of information between Forest Protection staff and local stakeholder.

First field experiences from other provinces in Vietnam<sup>51</sup> confirmed sufficient capacity and a high interest of forest users in the process, and often villagers themselves emphasized the need for reliable data for improved forest management.

PFRA, including data collection, data aggregation, and analysis is carried out for each area of forest under the management of a user-group, using simple tools like measurement tapes and ropes for plot demarcation. Main characteristics of the PFRA are that no tree heights are measured and no volumes are calculated. Off-take levels are quantified by defining the number of trees per diameter-class as practicable criteria for implementation and monitoring, well within the capacity of farmers and supportive staff.

Following the completion of forest inventory, the data collected has to be aggregated, analyzed, and stored in an inventory database for future yield determination and regulation. As this task requires some basic mathematic skills and simple tools like pocket calculators, support of trained technicians or extension workers is needed. However, the forest users are actively involved during the whole process. Experiences gained so far indicate that the method is a suitable tool in the context of community forestry, simple enough to be readily understood and applicable by the rural population.

During repeated inventories over a period of time essential knowledge on growth dynamics will be gained to further refine and adjust the silvicultural management in an iterative process.

The new law on forest development and protection<sup>52</sup> stipulates forest resource assessment in a 5-years cycle for all forest stands where harvesting of timber is carried out.

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<sup>51</sup> For example from Dak Lak (RDDL), Gia Lai and Thanh Hoa (ADB-FSP), as well as Son La and Lai Chau (SFDP Song Da).

<sup>52</sup> The law has been passed by the National Assembly on the 10<sup>th</sup> of November 2004 and will be enacted on the 1<sup>st</sup> of April 2005.

### 5.1.7 Elaboration of community forest management plans

Based on the data acquired during resource assessment and forest land allocation, Community Forest Management Plans (CFMP) are elaborated during meetings in the village. The planning requires careful thought about what is intended or has to be expected and involves the co-ordination of all activities to achieve the desired long-term management goal. **CFMP represent the foundation of a well-managed forest.**

Management plans are working documents and should be available for and used by everyone who has a decision-making role. The plans should comprise silvicultural interventions including quantified off-take levels based on the inventory results, options for stand improvement and afforestation including financial arrangements, and clear responsibilities. CFMPs have to further document and justify the choice of the selected silvicultural system to ensure that all management levels have a clear understanding of what they are doing and why. The purpose is not only to set out approved management objectives but also to communicate these objectives to the stakeholders who are concerned with the implementation of the plan.

**CFMPs** are the main **monitoring and planning tool** for forest users, relevant agencies, and the project.

During the planning process forestry activities of each forest user-group are identified and quantified in order to balance the supply and demand ratio of the village forest resources. The supply situation is assessed by comparing the actual situation as obtained during the PFRA with an ideal model or standard developed for the specific forest type. In case of insufficient resources of a specific forest product, possible solutions are discussed to raise future supply.

This leads to long-term five year CFMPs, which are submitted by the village leader to the commune authorities, and from the commune to district authorities for approval. After approval the ACO in charge of the commune feeds the approved plan back to the village management board.

Legal approval is an important step to ensure that commitments made (including utilisation rights for villagers) are implemented and enforced. It links the CFMP as developed during participatory planning based on field level data with a set of binding standards developed at a higher level.

After approval has been granted, the long-term five year CFMPs are broken down into annual work plans (AWP) to gradually achieve the long-term management goals. The AWP is a written tabular form listing particular activities to be carried out for a one-year period and assigns clear responsibilities and duties to the respective forest owners.

The plans are further incorporated into the Village and Commune Development Plans (VDP&CDP) to ensure that forestry is developed within the framework of rural development. Since CDP is accepted and supported by the local government institutions the incorporation also ensures that community forest management planning becomes an internal element in the local institutional environment.

It has to be emphasized again that FPDRs have to be effectively applied and enforced as a precondition for any planned forest management. Only if forest resources are well protected by the community, a forest management

plan can be effectively implemented and enforced, thus emphasizing the mutual link between these two methodologies.

#### **5.1.8 Determination of responsibilities and tasks of the commune in the process of community based forest management**

The commune represents the first legal entity in the hierarchy between village and higher administrative levels and has therefore a special role in the process of CBFM.

Internally, the commune should have a steering function concerning the supervision of timber distribution, ensuring that the harvested timber is distributed effectively between villages with surplus and those with shortage. Regarding the latter, the commune should furthermore ensure that fair cost-norms are applied, which have been identified and agreed upon by representatives of all villages.

Externally, the commune has the task to provide the FPU with relevant information regarding timeframe, location and quantity of trees in various diameter-classes to be harvested. To be able to achieve this, forest user-groups make harvesting proposals for their forest blocks regarding respective 'management periods' (for example intervals of three months). The annual allowable cuts<sup>53</sup> have therefore to be balanced with the number of trees that are proposed to be harvested, which should be the task of the village management board. Once the VMB has approved and aggregated the harvesting approvals of all forest user-groups in the village (which should be at an appointed date, for example two weeks prior to the respective management period), the proposals are submitted to the commune authorities, in charge of informing the FPU. Respective proposals comprise the location of the respective forest block, name of the user-group, as well as the respective amount of trees in certain diameter-classes to be harvested.

Once harvested timber can be sold commercially<sup>54</sup>, the commune will furthermore become responsible for calculation and collection of taxes for benefit sharing. However, considering the current condition of the majority of allocated forest land, considerable time will be needed before households can start to harvest timber commercially.

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<sup>53</sup> The amount of timber that can be harvested from production forest blocks (as determined via forest inventories) stated in the 5-year management plan is broken down into so-called annual allowable cuts during the process of formulation of annual work plans.

<sup>54</sup> Due to current unclarities about the practical implementation of benefit sharing according to Decision 178/2011/QD-TTg and Joint Circular No. 80/2003/TTLT/BNN-BTC it is recommended that for the time being forest management plans are only used for harvesting of timber needed for own consumption until more practical implementation guidelines have been issued.

### 5.1.9 Monitoring and evaluation

In the course of the implementation, monitoring has to be carried out at various levels, in order to assess the progress of tasks assigned for each of the parties involved:

- At the **village level**, monitoring should be carried out in a participatory way, meaning that stakeholders take over tasks and responsibilities in assessing their own progress towards the defined planning goal. In this process the community itself analyses information that they have determined as important (e.g. number of forest violation cases, effectiveness of grazing regulations or impact of silvicultural measures like thinning, enrichment planting or harvesting).
- At the **commune and district level**, commune and district staff monitors the fulfilment of reporting and approval procedures (timber harvest application form or tax and benefit sharing arrangements) and the effectiveness of training measures conducted at village and commune level.
- At the **province level** the project together with relevant provincial agencies carry out evaluations on a random basis at all levels involved to assess the need for adjustment of the introduced CBFM scheme or the need for further capacity building or additional financial support. Monitoring at the provincial level can provide valuable information for adjustment of the provincial forest policy framework and the provincial forestry strategy.

A mid-term evaluation has to be carried out at the end of the first phase (refer to Chapter 6.2) to evaluate the validity and feasibility of the technical, organizational, administrative and financial arrangements developed, allowing for necessary amendments and further adoption of introduced methodologies to the local context if required.

## 5.2 Administrative Procedures

Community forestry cannot be sustainable if it is developed outside the legal forest policy framework and outside existing administrative structures. As stated earlier, main procedures of the proposed concept are in line with national level forest policy development (refer to Annex 7). Legal approval of the CBFM process has to be given by the province in order to provide a supportive legal framework for piloting CBFM.

This commitment has to be further communicated to government staff in charge of the pilot communes to give them an unambiguous role in support of the process. Involving relevant agencies and field staff in the piloting process will furthermore provide valuable data on workload, involved costs and required capacity building when considering up-scaling of the concept outside the pilot communes. Direct involvement also ensures that capacity building will focus straight on relevant agencies at district and commune level rather than limiting these efforts on training of mediating staff from projects or training institutions.

Developing and testing the CBFM concept in a close dialogue with provincial agencies further ensures that the developed concept will be a joined outcome shaped in accordance to the demand and capacity of the provincial forestry sector.

Considering the scale and ambitions of the project, planning to assist communes in two districts with the participatory elaboration of forest management plans, institutionalization is seen to be very favorable, but the decision solely remains with the province<sup>55</sup>. On the recently held 'National Workshop on Institutional and Regulatory Framework for Community Forest Management in Vietnam'<sup>56</sup>, important issues related to community forest management have been discussed, in particular standards for forest resource inventories, forest management planning, and harvesting, as well as respective organisational responsibilities and benefit sharing. It is expected that the proceedings of the national workshop will influence current policies at all administrative levels related to community forestry.

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<sup>55</sup> Dak Lak province represents a positive example, with a concept for community forestry already successfully tested and respective provincial guidelines currently in preparation.

<sup>56</sup> Organized by the National Working Group on Community Forest Management in Hanoi, 30<sup>th</sup> of November 2004.

## 6 PROPOSAL FOR IMPLEMENTATION OF CBFM IN QUANG BINH PROVINCE

Considering indicator 2 of result 3 in the project planning matrix, namely the participatory elaboration of community-based forest management plans in at least 40% of selected project communes by the end of 2005, it is recommended to adopt a large-scale training campaign.

With regard to the total number of communes and the limited number of project and district staff, as well as the time needed for initial adoption and refinement of available methodologies and training material<sup>57</sup>, it is recommended to divide the campaign into several rounds, with each round consisting of a training of trainers and further support in the implementation of respective technical measures. One commune in each district has been selected for the initial round, which is seen as sufficient for the introduction and testing of new methodologies. Following this, three communes in each district are included in the second round and four communes in each district during every consecutive round.

A ranking of communes has been elaborated for the two initial rounds, covering the annual work plan for 2005. The ranking of communes and the implementation steps of the proposed initial round, containing a rough indication of respective time periods, are presented in the following chapters.

### 6.1 Selection and ranking of communes in the project area

Given the total number of 36 communes located within the project districts of Tuyen Hoa and Minh Hoa, and the limited time available for field assessment, a pre-selection had to be accomplished. The following set of criteria for pre-selection has been deployed:

- **Forest land allocation** – ownership over forest land is important to ensure that local people benefit from forest management, creating incentives for long-term investments. Thus, an important pre-requisite of CBFMP is that forest land has been allocated to the inhabitants of respective villages.
- **Conflict situation** – prevailing conflicts about forest land and forest resources within a village community, between villages, as well as between communes can substantially hamper the implementation of CBFMP, in some cases even render it impossible. Communes where respective conflicts are evident, or became apparent during the field assessments have therefore been deferred from the first and second round of the training campaign, allowing for some time for conflict resolution. Respective communes are for example Thach Hoa and

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<sup>57</sup> Existing training material can be obtained from various development projects, such as IFSP, FFI, ADB-FSP, SFDP Song-Da, and RDDL.

Nam Hoa, located in Tuyen Hoa district, where the commune boundary has not been set according to local customs.

- **Accessibility** – given the fact that the initial implementation of CBFMP in both districts constitutes a somewhat laborious and time-consuming process, as respective methodologies have to be tested and adopted to the local context, easy accessibility was determined to be of importance especially regarding the first round of the proposed training campaign. Moreover, areas that are easily accessible and still endue over forest resources in reasonable condition are more prone to illegal logging by outsiders.
- **Administration** – coherent areas of protection forest larger than 5000 ha are placed under the authority of so-called protection forest management boards (PFMB), in charge of all forestry-related activities. However, as revealed during interviews with the Northern Quang Binh Company and Minh Hoa PFMB, PFMB seem to be rather precautious, not permitting local people to manage respective forest areas apart from the harvesting of NTFP and the collection of deadwood (refer to Chapter 3 for details). Considering this situation, respective communes with larger areas under the management of PFMB have not been selected for the initial implementation of CBFMP. Respective communes are Trong Hoa, Dan Hoa, and Hoa Son (refer to Chapter 4).
- **Status of Forest Resource** – in order to elaborate and test a comprehensive approach of CBFMP, considering the various forest-specific situations that are encountered within both districts, communes enduing over forests in various conditions are selected in priority.

Based on these criteria, four communes in both districts were selected for an assessment of the forestry-related situation, regarding the potential for implementation of CBFMP (refer to Table 1). One commune in each district, namely Thanh Thach and Hoa Phuc, were visited to furthermore assess the suitability of project support for forest land allocation, as requested by both districts. The ranking of communes is presented in Table 1.

A meeting with the CPC of each commune was held prior to field visits to assess the forest-related situation, generally consisting of interviews with villagers and overall assessment of the forest resource.

**Table 1: Pre-selection and ranking of communes**

District:	Tuyen Hoa	Minh Hoa
Communes <sup>1</sup> :	(1) Dong Hoa	(1) Hoa Hop
	(2) Thanh Thach*	(2) Hoa Tien
	(2) Thuan Hoa	(2) Hoa Phuc*
	(2) Huong Hoa	(2) Yen Hoa

<sup>1</sup> Communes are listed according to their relative suitability for the introduction of CBFM, with the number in brackets indicating the respective round of the training campaign.

\* Communes marked with an asterix have been selected to additionally assess their suitability for forest land allocation, as requested by the districts.

## **6.2 Description of measures required for the implementation of CBFMP**

Specific tasks and activities required for the implementation of the initial round of the proposed training campaign are described in the following paragraphs. Respective activities have been integrated into the projects' Quarterly Working Plan and Annual Operational Plan<sup>58</sup>, covering a total time period from February 2005 until March 2006 (refer to Annex 8 and 9).

### **Provincial CBFM-Workshop**

Participatory establishment of community forest management plans as targeted by the project will be the first of its kind in Quang Binh Province. As frequently encountered during the field assessments, current efforts of community forestry seem to be confined to the mere protection of existing forest resources and afforestation of allocated bare- and shrub-land, whereas concepts and methods for assisting local people with the development and sustainable utilisation of their natural forests seem to be absent. Therefore, it is essential to get consent from representatives of province, districts, and communes, about planned activities and the preliminary selection of communes. The workshop should include representatives of PPC, DARD, and DFD. Furthermore, representatives of both districts and both communes where the initial implementation is scheduled should be present, including staff from ACO, FPU, DPC, and CPC.

### **Application for communes**

Following the consent about planned activities and selected communes, meetings at commune and village level have to be held to provide the affected population with sufficient information to consider applying for a CBFM permit. Logistical guidance concerning the application process is given in Annex 10. An indication about the total time needed for completion of the approval process is provided in the quarterly working plan (Annex 8). As no standard format has been developed so far the project is requested to take over this responsibility (a proposed application form is provided in Annex 11).

The application should describe the below listed information:

- Name of commune, participating villages, status of Forest Land Allocation, total forest land area, brief description of forest status and forest land classification (protection, special-use, production forest) and intended management.
- Organizations, institutions and key persons involved in the formulation process.
- Minutes of Meeting of respective meetings in participating village(s).
- Request letter for granting of CBFM permit and provision for required supporting systems.
- Signatures of village head and village level organizations.

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<sup>58</sup> Due to the nature of longer-term planning, not all measures contained within the Annual Operational Plan could be indicated with respective timeframes. This has to be achieved once implementation has proceeded further and more accurate data is available.

### **Assessment of existing and potential conflicts based on forest land allocation and facilitation of conflict resolution**

Prior to initiating CBFM it is essential that conflicts with land allocation are assessed and necessary steps are taken to settle respective conflicts. Since conflict assessment represented a crucial and decisive factor for the selection of communes (refer to Chapter 6.1 for details), this step has already been implemented for the communes selected for the first two rounds of the proposed training campaign. However, following the establishment of CBFM-plans in the eight pre-selected communes, conflict assessment and resolution should be carried out for remaining communes prior to the initiation of CBFMP. Since the time needed is depending to a great extent on the nature of the conflicts encountered, it is hardly possible to indicate respective time periods.

### **Formation of Forest User-Groups and Establishment/Revision of Forest Protection and Development Regulations**

Following the application process and determination of villages to be included in the CBFMP-process, the first step is to establish forest user-groups, prior to the revision or establishment of FPDR. For reasons of practicality it is suggested to integrate both steps into one training-unit. Logistical guidance for the planning is given in Annex 10 (refer to Steps 3 and 4). In most villages, the establishment of FPDR dates back more than a year, which is the reason why a revision should be undertaken to adopt respective FPDR to recent changes of the legal framework and the village environment. Since the FPU is mainly responsible for the establishment of FPDR it is recommended that respective staff is trained in the methodology. After an initial commune meeting where all village heads and the commune administration are informed about the implementation schedule, a TOT will be conducted in the first village of Dong Hoa commune. The last day of this training is used to assist villagers in a plenary meeting where the revised regulations are amended and approved by representatives of all households. Following this, trainees will facilitate the revision of FPDR in the second village while project staff takes a supporting role. Subsequently, three field teams (each consisting of 2 FPU staff, supported by the technical field team) will continue to independently establish/revise FPDR in remaining villages, while project staff initiates a similar TOT-scheme in Hoa Hop commune. Concluding the whole process in both communes, commune meetings are organised in which the FPDR documents are aggregated and submitted to the DPC for approval. The total timeframe of the training unit should take around 3 weeks. Concluding the establishment/revision of FPDR, signboards have to be installed at the main village path to the forest.

### **Community-Based Forest Management Planning**

Once villages have elaborated/revised their specific sets of FPDR, the next step is to assist them in the process of forest development and management planning. The same principle applies as for the training on forest user group formation and FPDR establishment, with the difference that representatives of FPD, DFD, and ACO should attend the TOT. This is

important since the approaches introduced are new in the context of community-based forest management in Quang Binh. Following the TOT, practical training will be conducted in the second week, comprising staff of the FPU and ACO<sup>59</sup>, as well as cadastral and forestry staff, and extension worker of the commune. Ideally, four field-teams should be set up for implementation of the fieldwork. Project staff will initiate the same process in Hoa Hop commune, as soon as the field-teams in Minh Hoa are able to operate independently. Following the fieldwork, all teams have to be assisted by project staff for the participatory elaboration of forest management plans. Concluding the elaboration of management plans time is needed for the preparation of official documents, which are aggregated in a commune meeting comprising the authorities of the commune, and all village heads. During this meeting, the role of the commune in the CBFM process is discussed and specific tasks and responsibilities are determined (refer to Annex 12 for suggestions about a practical follow-up of CBFMP). Respective documents are then submitted to the DPC<sup>60</sup> for approval. Logistical guidance for the planning is given in Annex 11 (Steps 5 to 8).

Compared to the establishment/revision of FPDR, solely conducted in village meetings, it is much more difficult to provide exact figures about the time required for participatory elaboration of forest management plans. The latter greatly depends on the total size of allocated forest land, the status of the forest resource, as well as its relative location to the village. Therefore, an average time period of two weeks per village has been assumed as basis for the estimation of the total time needed in both communes. The total time needed for the completion of this training unit is thus around 10 weeks, with a tentative time schedule presented in Annex 9.

### **Support the implementation of approved Forest Management Plans**

Following the approval of forest management plans by the DPC, implementation of respective measures represents the next step.

With regard to practical forest management, capacity building of local stakeholders is crucial to ensure that measures contained within the management plans can be implemented adequately. Given the high workload associated with respective measures, it is essential to include respective staff of district and commune in the trainings, building up sufficient local capacities to take over the task.

As far as stand improvement is concerned, respective measures include enrichment planting, identification and marking of target trees, liberation thinning, pruning, and weeding. Considering the improvement of afforestation techniques, respective trainings on nursery establishment, maintenance, as well as planting and tending have to be conducted. This might also comprise the introduction of indigenous tree-species, in case that a diversification of species for afforestation and/or enrichment of

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<sup>59</sup> Despite the fact that the Agriculture and Cadastral Office generally has very limited personnel it is crucial to include them in the TOT and practical training as they play a supporting role to the DPC in the approval process of respective forest management plans.

<sup>60</sup> According to the new law on forest protection and development, the DPC is entitled to approve respective forest management plans.

degraded stands is desired. Regarding the harvesting of timber<sup>61</sup>, marking of trees (selective harvesting), improvement of felling techniques (directional felling), as well as post-harvest assessment of damages to the remaining stand represent essential follow-up measures.

Respective support in the implementation of forest management plans represents an ongoing process and project staff is advised to undertake periodical monitoring of the progress made by villagers and supporting staff of commune and district.

### **Mid-Term Evaluation**

Concluding the introduction of community-forest management planning, as well as first experiences with regard to the practical implementation of forest management plans in Dong Hoa and Hoa Hop communes, a thorough evaluation has to be carried out. Considering the total time needed for the approval of forest management plans and the initial support needed for the implementation, the evaluation should take place about 3 months after the conclusion of the elaboration process (refer to Annex 9 for details). As a result of the evaluation process, the suitability of introduced methodologies and tools, as well as necessary amendments and required follow-up measures, are identified, comprising an assessment of the general acceptance of respective methodologies. It is recommended to involve representatives from FPD, DARD, DFD, as well as FPU, ACO, and the commune in the course of the evaluation.

Following the evaluation, respective methodologies and training material should be revised, aiming to provide CBFM-guidelines for use in the province. The time needed for the entire evaluation process is around 4 weeks.

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<sup>61</sup> According to the results of participatory forest resources assessment and data analysis, as quantified in the management plan.

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## **ANNEX 1      Terms of Reference**

### **TERMS OF REFERENCE**

#### **Short-term Assignment of International Consultant on Forestry, January 2005**

##### **Background**

Based on the achievements of the “Integrated Food Security Program” (IFSP) which was supported by GTZ from 1996 to 2002 in the pilot districts of Minh Hoa and Tuyen Hoa of Quang Binh province, the follow-up project “Sustainable Management of Natural Resources in Central Vietnam” (SMNR-CV) pursues the overall goal of improving the living conditions of the local population in the mountains areas of the project region, in accordance with a stabilization of the ecology. The project purpose and the intended impact of the project is focused on capacity building, namely that the stakeholders in the project region are able and effectively manage their natural resources in a sustainable way.

The general implementation strategy is to consolidate the outputs of the IFSP in the fields of i) community-based village and commune development planning (VDP), ii) the application of appropriate farming systems, iii) community-based forest management (CBFM), and iv) the promotion of alternative income opportunities from the marketing and processing of agricultural and non-timber forest products (NTFP). Incorporating the lessons learnt from other donor financed projects, notably those supported by GTZ, the methods and models tested and adapted to local conditions by the SMNR-CV are to disseminated, depending on the demand expressed by stakeholders in neighboring provinces in Central Vietnam.

In the forestry sector, the IFSP had mainly focused on realizing the preconditions of CBFM; i.e. the participatory land use planning and allocation of barren and forest land (LUP-LA) of a total of over 40,000 ha to more than 11,000 private households. The follow-up activities on Forest Protection Regulations (FPR) and community-based Forestry Management Plans (FMP) had only started in 2001-2002, when the IFSP came to an end. The assessment of these activities and the future strategy is documented in the “Conceptual Framework for community-based forestry development in Central Vietnam” (by U. Apel and B. Wode, May 2002). Similar and more up-to date documents are available from other projects.

The SMNR-CV will focus – in the forestry sector – on these follow-up activities. During its first months after inception in April 2004, it has realized a comprehensive appraisal of the current situation of forestry in the pilot districts in Quang Binh. What is needed is a revision of its strategy, and detailed recommendations on its implementation.

##### **Objective**

The objective of the mission is to elaborate – in collaboration with the project staff, partners and target groups – a revised implementation strategy for the forestry-related activities of the SMNR-CV project. Based on the previous work of the IFSP and the activities so far of the SMNR-CV as well as on experiences from other projects, the consultant will documents detailed recommendations on how to achieve the intended impact of Result No.3 (forestry) in terms of nature, timing and M&E of specific activities.

## Results

The expected results of the assignment are not necessarily limited to the following points:

1. The “Conceptual Framework for community-based forestry development in Central Vietnam” (IFSP, 2002) is revised, up-dated and adapted to the changed framework conditions (new laws on land and forestry, other) and to the specific needs of SMNR-CV.
2. Specific project interventions are elaborated for up-land conditions (minority communes at the Lao border), low-land conditions as well as for the area in the buffer zone of the Phong Nha national park. Recommendations will take the form of a short term work plan (Jan.- to March 2005) and a mid-term Operational Plan (April 2005 to March 2006).
3. Links to the other project results are elaborated (e.g. Res. No.2: the integration of agro-forestry into farming systems; Res. No. 4: the use of Non-timber forest products);
4. The usefulness of private tree-nurseries and of forestry or agro-forestry demonstration plots is described, including a rough indication of their cost-benefit ratios.
5. Forestry-related indicators of the Planning matrix (PPM) are revised, if necessary amended by sub-indicators and respective methods for data collection.
6. Based on an assessment of training needs, a mid-term training plan (April 2005 to March 2006). for partners and target groups is elaborated, specifying the training content, and – as far as possible – the methodology of the training modules.
7. Based on the results of meetings with partners and representatives of State-owned Forest enterprises (SFE) and with representatives of other projects, the options for co-operation with these organizations and projects, notably the ADB-financed CLIP, the FFI, and the up-coming KfW-GTZ project are described, and respective activities integrated into the plans.
8. The main points of draft report on the assignment are presented and discussed with partners and project staff.

## Outputs

The consultants will provide a report in English not exceeding 15 pages. Detailed work plan, operational plan and training plan are parts of the Annexes. – The report will be translated into Vietnamese language by project staff.

## Time Frame

In total 1 month, including 2 days of preparation, 4 days of international and domestic travel and 4 days of final editing of the report. The field mission in Quang of 21 calendar days is intended to start on January 10, 2005. Deadline for the submission (by e-mail) of the final report is February 21, 2005.

## Remarks

Depending on the outcomes of the present assignment, a follow-up mission is envisaged for early 2006.

## Annex 2: Mission Itinerary

6.2.1	DAY AND DATE	6.2.2	LOCATION AND TASK
Mon,	10.01.05		Travel from Germany to Vietnam.
Tue,	11.01.05		Arrival in Hanoi. Travel to Dong Hoi.
Wed,	12.01.05		Arrival in Dong Hoi. Meeting with CTA Dr. Wiemer and project staff for the clarification of expected results of the short-term consultancy. Meeting with project director Mr. Than Ngoc Lan.
Thu,	13.01.05		Meeting with CTA Dr. Wiemer and project staff for discussion and preparation of activity schedule of short-term mission. Review of legal documents to assess recent policy changes affecting community-based forest management.
Fri,	14.01.05		Finalization of detailed activity schedule for short-term mission, including a preliminary selection of project communes for field visits. Review of project related literature.
Sat,	15.01.05		Documentation of major changes of forestry-related policies and laws with special reference to community-based forest management.
Sun,	16.01.05		Meeting with Dr. Wode for discussion and clarification of proposed framework for community-based forest development in Central Vietnam, as well as concepts for buffer-zone management in Phong Nha National Park.
Mon,	17.01.05		Preparation of field trip. Meeting at Forest Protection Department. Meeting at Forest Department Sub-Department.
Tue,	18.01.05		Travel to Tuyen Hoa District. Meeting with Head of SMNR-CV Technical Support Team. Meeting at Agriculture and Cadastral Department. Meeting at Forest Protection Unit. Meeting with NTFP-Projct.
Wed,	19.01.05		Meeting at CPC Dong Hoa. Field visit Dong Hoa and Dai Son and Dong Phu villages. Meeting at CPC Thuan Hoa. Field visit Ha Lao village.
Thu,	20.01.05		Meeting at CPC Huong Hoa. Field visit Ton Duc 4 village. Meeting with PFMB Northern Quang Binh. Meeting at CPC Thanh Thach.
Fri,	21.01.05		Travel to Minh Hoa District. Meeting at DPC with staff from DARD-ACO. Meeting at State Forest Enterprise Min Hoa. Meeting at Forest Protection Unit Minh Hoa.
Sat,	22.01.05		Meeting at CPC Yen Hoa. Field visit Yen Bich village. Meeting at CPC Hoa Hop. Field visit of Village 5.
Sun,	23.01.05		Meeting at CPC Hoa Phuc. Field visit Kien Trinh and Si villages. Meeting at CPC Hoa Tien. Field visit of Villages 5 and 7.

Mon,	24.01.05	De-briefing meeting about field-trip. Prioritization of communes for project intervention.
Tue,	25.01.05	Meeting with project staff for discussion of operational plan in 2005. Meeting with representatives of Quang Binh Northern Company.
Wed,	26.01.05	Meeting with representatives of Agriculture and Forest Inventory Planning Center (Sub-Fipi). Discussions with forestry-group of SMNR-CV. Adoption of the conceptual steps of CBFMP in RDDDL to the context of SMNR-CV. Meeting with representatives of ADB financed Central Region Livelihood Improvement Programme (CLIP).
Thu,	27.01.05	Elaboration of short-term workplan for the 1 <sup>st</sup> quarter of 2005 and mid-term operational plan from April 2005 until March 2006.
Fri,	28.01.05	Report writing.
Sat,	29.01.05	Report writing.
Sun,	30.01.05	Report writing.
Mon,	31.01.05	Preparation of workshop. Discussion of final results with project staff.
Tue,	01.02.05	Presentation of results and discussion of working plan in final workshop with project staff and district representatives.
Wed,	02.02.05	Travel to Dak Lak.
Fri,	04.02.05	Report writing.
Sat,	05.02.05	Report writing.
Son,	06.02.05	Report writing.
Mon,	07.02.05	Report writing.
Tue,	08.02.05	Report writing.
Wed,	09.02.05	Report writing.

### 6.2.2.1.1 ANNEX 3: LIST OF PERSONS MET

Dr. Hans-Jürgen Wiemer	Chief Technical Advisor SMNR-CV
Mr. Than Ngoc Lan	Director SMNR-CV
Mr. Nguyen Van Hop	National Forestry Expert SMNR-CV
Mr. Nguyen Huu Tien	National Coordinator KfW3 Project
Mr. Vu Van Manh	National forestry expert SMNR-CV
Mrs. Marianne Meijboom	Expert for Natural Resource Management DED/SMNR-CV
Dr. Björn Wode	International Expert for Community-Based Forest Management
Mr. Trinh Thanh Long	Manager Phong Nha – Ke Bang Forest Garden Project, FFI Quang Binh
Mr. Nguyen Duy Luong	Technical Staff Phong Nha – Ke Bang Forest Garden Project FFI Quang Binh
Mr. Nguyen Viet Nhung	Director of Forest Protection Department Quang Binh
Mr. Phung Van Bang	Director of Forest Protection Division (Forest Protection Department)
Mr. Tran Dinh Hao	Director of Forest Development Sub-Department
Mr. Tran Xuan Hao	Vice-Director of Forest Development Sub-Department
Mr. Que	Director of Planning Bureau (Forest Development Sub-Department)
Mr. Phuong	Technical Staff of Forest Development Sub-Department
Mr. Vo Thanh Giang	Coordinator NTFP-Project Tuyen Hoa
Mrs. Han Tuyet Mai	Assistant Coordinator NTFP-Project Tuyen Hoa
Ms. Nguyen Thi Kim Anh	Technical Staff NTFP-Project Tuyen Hoa, Member of SMNR-CV Field Team.
Mr. Tan Nguyen Minh	Director of Agriculture and Cadastral Division Tuyen Hoa, Head of Technical Support Team SMNR-CV
Mr. Nguyen Xuan Que	Vice-Director of Forest Protection Unit Tuyen Hoa
Mr. Doan Dai The	Chairman Commune People's Committee Dong Hoa
Mr. Nguyen Tien Nam	Vice- Chairman Commune People's Committee Dong Hoa
Mr. Nguyen Duc Thien	Chairman of Farmers' Union Dong Hoa and member of the SMNR-CV Field Team
Mr. Nguyen Van Hung	Village-Head Dong Phu village (Dong Hoa commune)
Mr. Toan Van Thanh	Village-Head Dong Phu village (Dong Hoa commune)
Mr. Phung Ngoc Anh	Chairman Tach Hoa commune
Mr. Doan Van Que	Cadastral Staff Tach Hoa commune
Mr. Toan Van Han	Member of People's Committee Tach Hoa commune
Mr. Nguyen Huu Tuong	Agriculture and Forestry Staff Huong Hoa commune
Mr. Pham Hong Kham	Communist Party Secretary Huong Hoa commune
Mr. Nguyen Thanh Tran	Village Head Ton Duc 4 village / Huong Hoa commune
Mr. Dinh Thi Thanh	Key-farmer Ton Duc 4 village / Huong Hoa commune
Mr. Truong Dinh Dai	Vice-Director Protection Forest Management Board Northern Quang Binh
Mr. Nguyen Van Long	Director of Agriculture and Cadastral Office Minh Hoa District
Mr. Truong Anh Hung	Vice-Director of Agriculture and Cadastral Office Minh Hoa District
Mr. Nguyen Dinh Xuan	Staff of Agriculture and Cadastral Office Minh Hoa District
Mr. Ngo Thien Dinh	Head of Technical Bureau State Forest Enterprise Minh Hoa
Mr. Dinh Xuan Duc	Vice-Director Forest Protection Unit Minh Hoa
Mr. Truong Quy Quyen	Head of Technical Bureau Forest Protection Unit Minh Hoa
Mr. Cao Tien Tang	Chairman Commune People's Committee Yen Hoa
Mr. Dinh Thi Phu	Vice-Chairman Commune People's Committee Yen Hoa
Mr. Dinh Quoc Hoi	Cadastral Officer Yen Hoa Commune
Mr. Dinh Thanh Hai	Chairman Commune People's Committee Hoa Hop
Mr. Dinh Thanh Ai	Communist Party Secretary Hoa Hop Commune
Mr. Dinh Xuan Hanh	Cadastral Officer Hoa Hop Commune

Mr. Dinh Tan Co	Chairman Commune People's Committee Hoa Phuc
Mr. Cao Ba Dong	Member of the People's Council of Hoa Phuc Commune
Mr. Duh Thanh Tan	Cadastral Officer Hoa Phuc Commune
Mr. Dinh Chien Tang	Chairman Hoa Tien Commune
Mr. Cao Khac Minh	Cadastral Officer Hoa Tien Commune SMNRCV Field Staff of Tuyen Hoa und Minh Hoa !!!
Mr. Hoan Van Tang	Vice-Director Northern Quang Binh Company
Mr. Dinh Van Cam	Head of Technical Bureau Northern Quang Binh Company
Mrs. Nguyen Thu Hong	Technical Staff Northern Quang Binh Company, responsible for activities related to Program 661
Mr. Nguyen Thanh Binh	Director of Agriculture and Forest Inventory and Planning Center of Quang Binh (Sub-FIPI)
Mr. Pham Thanh Trung	Head of Technical Bureau of Agriculture and Forest Inventory and Planning Center of Quang Binh (Sub-FIPI)
Mr. Le Man	Director ADB-Central Region Livelihood Improvement (CLIP)
Mrs. Vo Thi Thu Huong	Interpreter ADB-Central Region Livelihood Improvement (CLIP)

## ANNEX 4: Data about forest resources, land use planning and land allocation in the project area

District/commune	Total area of natural land (ha)	Area of forest land	Land with forest	Natural forest	Planted forest	Barren land	Other land	Forest coverage (%)	Total area of allocated land/forest	To Household				To Organization			LUP			
										Allocated area	HHs allocated	Redbook delivered	Redbook not delivered yet	Total Area Allocated	Number of organization allocated	Redbook delivered	Redbook not delivered yet	Unallocated area	Implemented	Not implemented
<b>Whole project area</b>	<b>255946,8</b>	<b>232505,2</b>	<b>182958,4</b>	<b>181277,5</b>	<b>1680,9</b>	<b>49207,5</b>	<b>23037,5</b>	<b>70,8</b>	<b>83249,3</b>	<b>56871,9</b>	<b>12653</b>	<b>11908</b>	<b>745</b>	<b>26377</b>	<b>48</b>	<b>6</b>	<b>41</b>	<b>151621,6</b>	<b>28</b>	<b>8</b>
<b>Minh Hoa</b>	<b>141006,3</b>	<b>130732,6</b>	<b>103172,2</b>	<b>102175,9</b>	<b>996,3</b>	<b>27560,4</b>	<b>10273,7</b>	<b>72,5</b>	<b>21808,8</b>	<b>16497,3</b>	<b>4800</b>	<b>4055</b>	<b>745</b>	<b>5311,5</b>	<b>39</b>	<b>0</b>	<b>39</b>	<b>108925</b>	<b>12</b>	<b>4</b>
Xuan Hoa	3848	3727,4	2813,7	2699,6	114,1	913,7	120,6	70,2	2464,19	2185,73	484	484	0	278,46	12	0	12	1263	1	
Minh Hoa	3396	2699,5	1603,6	1581,4	22,2	1095,9	696,5	46,6	1203,53	996,8	624	624	0	206,76	3	0	3	1496	1	
Thuong Hoa	34626	33927,4	33208,1	33208,1	0	719,3	698,6	95,9	0	0	0	0	0	0	0	0	0	33927		1
Yen Hoa	3494	2474,6	1368	1287,9	80,1	1106,6	1019,4	36,9	1944	1110	650	650	0	834	3	0	3	531	1	
Hoa Phuc	3130	2979	2404,9	2404,9	0	574,1	151	76,8	876,2	800,5	77	77	0	75,7	2	0	2	2103	1	
Trung Hoa	9440	7532	7245,9	6657,3	588,6	286,1	1908	70,5	3596,4	1714,9	635	635	0	1881,5	6	0	6	3936	1	
Quy Hoa	717,05	456,67	146,75	138,15	8,6	309,92	260,38	19,3	186,98	186,98	88	0	88	0	0	0	0	270	1	
Quy Dat	757,95	349,53	145,45	138,15	7,3	204,08	408,42	18,2	113	113	62	0	62	0	0	0	0	237	1	
Hoa Son	18366,9	18190,5	15072	15072	0	3118,5	176,4	82,1	0	0	0	0	0	0	0	0	0	18191		1

Hoa Hop	5192	4221,7	3764,4	3727,2	37,2	457,3	970,3	71,8	2298,49	1735,7	557	557	0	562,79	4	0	4	1923	1	
Hoa Thanh	4370	4142,8	2347,1	2347,1	0	1795,7	227,2	53,7	2193,3	2000,7	178	178	0	192,6	1	0	1	1950	1	
Hong Hoa	7130	6295,1	3826,6	3718,8	107,8	2468,5	834,9	52,2	2413,7	2413,7	595	0	595	0	0	0	0	3881	1	
Hoa Tien	2756	2403,1	2163,3	2163,3	0	239,8	352,9	78,5	1976,72	1008,1	352	352	0	968,62	5	0	5	426	1	
Tan Hoa	7420	6128,4	5674	5674	0	454,4	1291,6	76,5	2542,24	2231,2	498	498	0	311,04	3	0	3	3586	1	
Dan Hoa	17650,4	16980,4	10218,4	10188	30,4	6762	670	57,7	0	0	0	0	0	0	0	0	0	16980	1	
Trong Hoa	18712	18224,5	11170	11170	0	7054,5	487,5	59,7	0	0	0	0	0	0	0	0	0	18225	1	
<b>Tuyen Hoa</b>	<b>114940,5</b>	<b>101772,6</b>	<b>79786,2</b>	<b>79101,6</b>	<b>684,6</b>	<b>21647,1</b>	<b>12763,8</b>	<b>68,8</b>	<b>61440,5</b>	<b>40374,6</b>	<b>7853</b>	<b>7853</b>	<b>0</b>	<b>21066</b>	<b>9</b>	<b>6</b>	<b>2</b>	<b>42696,59</b>	<b>16</b>	<b>4</b>
Tien Hoa	4008	2870	1375,9	1342,7	33,2	1494,1	1138	34,3	2593,96	2593,96	755	755	0	0	0	0	0	276,0	1	
Chau Hoa	1816	1019,4	805,8	805,8	0	213,6	796,6	44,4	910,82	910,82	545	545	0	0	0	0	0	108,6	1	
Duc Hoa	3524	3115	2343,3	2279,7	67,6	427,9	4,9	66,6	2918,4	2918,4	632	632	0	0	0	0	0	196,6	1	
Mai Hoa	3210	2207,2	1048	1045,9	2,1	1159,2	1002,8	32,6	1981,74	1981,74	1042	1042	0	0	0	0	0	225,5	1	
Phong Hoa	2872	2065,6	1139,3	1107,3	32	926,3	806,4	39,7	1286,4	1286,4	415	415	0	0	0	0	0	779,2	1	
Thach Hoa	7888	6529	4954,5	4887,5	67	1574,5	1359	62,8	5901,15	5901,15	1179	1179	0	0	0	0	0	627,9	1	
Dong Hoa	4404	3814,8	3124,5	3084,4	40,1	690,3	589,2	70,9	3228,5	3228,5	464	464	0	0	0	0	0	586,3	1	
Thuan Hoa	4546	4141,4	3623,2	3623,2	0	518,7	404,1	79,7	3881,87	3066,87	412	412	0	815	1	0	0	259,5	1	
Le Hoa	2303	1422,9	869	869	0	553,9	880,1	3737,0	918	918	274	274	0	0	0	0	0	504,9	1	
Kim Hoa	18480	17709,6	15425,7	15391,9	33,8	2283,9	770,4	83,5	16056	5051	735	735	0	11005	1	0	1	1653,6	1	
Thanh Hoa	13423	12316,4	9906,6	9906	0	2409,8	1061,6	73,8	0				0					12316,4	1	
Huong Hoa	10500	10015,1	9057,5	9047,5	10	957,6	484,9	86,3	9695,16	833,16	431	431	0	8862	1	0	1	319,9	1	
Lam Hoa	10320	9991,3	8957,8	8957,8	0	1033,5	328,7	86,6	2005,8	1933,8	122	122	0	72	1	1	0	7985,5	1	
Ngu Hoa	6126	6006,4	2991,3	2991,3	0	3015,1	119,6	48,8	2421,9	2229,9	84	84	0	192	1	1	0	3584,5	1	
Cao Quang	11882	10508,9	8432,5	8432,5	0	2076,4	1373,1	71,0	4583,7	4583,7	0	0	0	0	0	0	0	5925,2	1	
Dong Le	1072	761,5	339	165	174	422,5	310,5	31,6	565,95	523,4	137	137	0	42,55	2	2	0	195,6	1	
Son Hoa	3002	2468,2	1551,5	1236,7	224,8	916,7	533,8	51,7	1259,63	1257,2	339	339	0	2,43	1	1	0	1208,6	1	
Nam Hoa	2364,5								0				0					2364,5	1	
Thanh Thach	3200	3050							0				0					3050,0	1	
Van Hoa	2560	1759,9	786,8	786,8		973,1	800,1	30,7	1231,53	1156,6	287	287	0	74,93	1	1	0	528,4	1	

### 6.2.2.1.2 ANNEX 5: EXEMPLARY THRESHOLDS FOR THE EVALUATION OF NATURAL REGENERATION

Young regeneration (0,2 m - 1,30 m)

Average number of seedlings per plot (16 m<sup>2</sup>) =  $\Sigma$  seedlings per plot / no. of plots in the block

Good	Fair	Poor
More than 8 seedlings/plot (> 5000 seedlings/ha)	4-8 seedlings/plot (2500-5000 seedlings/ha)	Less than 4 seedlings/plot (< 2500 seedlings/ha)

Established regeneration (> 1,30 m < 8 cm DBH)

Average number of plants per plot (50 m<sup>2</sup>) =  $\Sigma$  plants per plot / number of plots in the block

Good	Fair	Poor
More than 12 plants/plot (> 2000 plants/ha)	5-12 plants/plot (1000-2000 plants/ha)	Less than 5 plants/plot (< 1000 plants/ha)

### 6.2.2.1.3 ANNEX 6: PRESENTATION OF MAJOR CHANGES OF FORESTRY-RELATED POLICIES AND LAWS WITH SPECIAL REFERENCE TO COMMUNITY-BASED FOREST MANAGEMENT

The revision of the “Conceptual Framework for Community-Based Forestry Development in Central Vietnam” constitutes the main purpose of the actual short-term assignment. The framework has been elaborated for the IFSP project in 2002, which is the reason why recent changes in forestry-related policies and laws, with special reference to community-based forest management, had to be taken into consideration during the revision.

Regarding the legal framework with affect on community-based forest management, two major changes occurred since 2002. The revision of the Land Law by the National Assembly in November 2003, taking effect since July 2004, was the first major change. The revision included a broadening of the definition of land users, as provided in Article 9, stating that land users are inter alia *“communities of inhabitants including Vietnamese communities living in the same village and similar communities of inhabitants who have the same customs and habits or the same bloodline...respective communities are allocated with land or issued with a land use certificate by the government”*.

Moreover, related to the revision of the Land Law, important changes are constituted by the issuance of Decree 181/2004/ND-CP, to guide the implementation of the Law on Land, which was finalised by the Government on 29 October 2004. Decree 181, consisting of 186 articles, contains detailed provisions, enabling the Government to uniformly manage the land system in Vietnam in line with the policies set out in the Law on Land. Concerning the uniformity of land management, one provision of Decree 181 specifies how the Government will adapt the system and centralise the management of land in Vietnam. The Ministry of Natural Resource and Environment (MNRE) will be the body in charge of managing all land use in Vietnam at the central Government level. Under the MNRE in cities and towns under central authority, the Departments of Natural Resources and Environment (DNREs) will administer these tasks. In communes, districts and cities under provincial authority, the Offices of Natural Resource and Environment (ONREs) will be in charge. One of the main tasks of the MNRE is the preparation (for approval by the National Assembly) of the 10-year zoning scheme and the 5-year land use plan for the entire country, with the assistance of the relevant bodies. Another significant change contained in Decree 181 addresses the current lack of a land registration system. The establishment of such a system through the creation of so-called Land Use Right Registration Offices is stipulated, stating that relevant People’s Committees under central authority must establish these Offices before 1 July 2005.

The second major change, namely the amendment Law on Forest Protection and Development, promulgated in November 2004, comprises beneficial changes regarding the context of community-based forest management. Provision 13 of Article 3 clarifies the terminology of “village community”, stating that a village community comprises all family households and individuals living in the same village or similar units. Important issues regarding the allocation of forest land to village communities are stated in Article 29. Provision 1 of the latter regulates the conditions of forest land allocation, namely that the forest has become an integral part in the tradition of production, living, culture and beliefs of the respective village community and that the community must be capable to manage the forest and is in demand of forest products. The allocation of forest land to village communities must be implemented on the basis of a master plan and an approved forest protection and development plan. Provision 2 enlists the types of forest, which can be allocated to village communities:

- Forests that are effectively managed and used by the village community;

- Forests preserving water sources directly serving the community, or forests serving other common purposes of the community but cannot be allocated to organizations, family households or individuals;
- Forests located along the borders of villages, communes, and districts, which cannot be allocated to organizations, family households or individuals but the village community for its own benefit.

Provision 3 regulates the jurisdiction of forest allocation to village communities, stating that the People's Committee of district, town and city is entitled to decide upon forest allocation to communities, based on the issues mentioned under Provisions 1 and 2. Finally, the rights and obligations of communities which are allocated with forest land are regulated in Article 30. According to Provisions 1 and 2, the community allocated with forest land is:

- recognized by authorized State Organizations with the forest use right on a stable and long-term basis in accordance with the forest land allocation period;
- entitled to exploit and use forest products and other benefits from the forest for public and household purposes of its community members;
- entitled to use the allocated land for agro-forestry and aquaculture;
- entitled to benefit from labour invested and respective outputs of their investment on the allocated land;
- provided with technical guidance and fund-support based on related State policies for forest protection and development;
- entitled to receive benefits from forest protection and improvement practices;
- entitled to establish their own forest protection and development regulations based on this law and other related legal regulations;
- obliged to organize forest protection and development, and to provide periodical reports of the activities related to the forest in accordance to the guideline issued by the communal PC to authorized governmental organizations in charge of forest-resource monitoring;
- liable to return the forest land in case of governmental revocation, or if the forest use period has ended;
- not entitled to re-allocate the land to other members of the village community, nor to exchange, mortgage, lease, transfer or to use the land use certificate as a collateral.

**Annex 7:**

**National Working Group for Community Forestry Management**

**Matrix on Establishment of CFM Pilot Schemes in 2003 - 2004**

Procedural Steps in Establishment of CFM Pilot Schemes		Supporting Action for Completion of Guidelines and Procedures				Involved Parties		
No.	Task	No.	Task	Location	Timing	Leading	Supporting	
0	<b>Formalized CFM Application by Communes</b>	1.	Preparation of an example of a CFM permit request	Hanoi	6/2003	MARD DFD  (Ms. Van)	SFDP Song Da ADB FSP ETSP Helvetas	
	-							Name of commune, participating villages, forest land area
	-							People, institutions that were involved in formulating the application
	-	Minutes of Meeting of respective meetings in participating village(s)	2.	Agreement with involved province and district PPCs on CFM pilot schemes	Son La, Hoa Binh, Gia Lai, Dak Lak, Thanh Hoa	7/2003	MARD NWG CFM DARDs province level	SFDP Song Da KfW 3  ADB FSP ETSP Helvetas RDDL Dak Lak
	-	Request to grant CFM permit and provide the necessary supporting systems	3.	Presentations to MARD senior level and FSSP; mobilization of additional funds to NWG CFM for CFM pilot schemes, if necessary	Hanoi	III-IV/ 2003	MARD NWG CFM MARD Management Board for Forestry Projects	SFDP Song Da ADB FSP

Procedural Steps in Establishment of CFM Pilot Schemes		Supporting Action for Completion of Guidelines and Procedures				Involved Parties	
No.	Task	No.	Task	Location	Timing	Leading	Supporting
<b>1</b>	<b>Clarification of forest land allocation</b>	1.	Review and simplification of forest classification criteria and guidelines for production and protection forests in view of integrated silviculture systems in CFM	Hanoi (based on existing materials from SFDP Song Da, KfW and ADB FSP)	6/2003	MARD DFD	SFDP Song Da  KfW 3 ADB FSP  ETSP Helvetas
a	Overview over forest land (ha) and ownership categories - Unallocated forest land to be allocated to CFM system - Forest land already allocated to households to be included in CFM system  - Forest land allocated to organisations to be included in CFM system						
b	Clarification of arrangements with households/organisations that agree to include their forest land in the CFM system						
c	Preparation of proposal for forest land allocation to villages communities/group of households that will participate in the CFM system						
		2.	Clarification of legal aspects of forest land allocation to village communities	Hanoi	6/2003	MARD Policy Departm. (Mr. Phuong)	SFDP Song Da ADB FSP

Procedural Steps in Establishment of CFM Pilot Schemes		Supporting Action for Completion of Guidelines and Procedures				Involved Parties	
No.	Task	No.	Task	Location	Timing	Leading	Supporting
2	Inventory of forest resources including classification of forest land (protection, production, special use)	1.	Preparation of draft guidelines for Participatory Forest Resource Inventory	Hanoi	7/2003	MARD DFD (Dr. Quan)	SFDP Song Da ADB FSP ETSP Helvetas
		2.	Test of inventory guidelines in selected CFM pilot schemes	Son La, Hoa Binh, Gia Lai, Dak Lak, Thanh Hoa	8-10/ 2003	MARD NWG CFM	SFDP Song Da ADB FSP Helvetas ETSP
		3.	Review of field tests and preparation of final guidelines	Hanoi	11/2003	NWG CFM core group	VIFA
3	Preparation of forest development and utilization planning base	1.	Preparation of draft guidelines for Participatory Forest Management Planning	Hanoi	7/2003	MARD DFD (Ms.Van)	SFDP Song Da
a	Long term forest development and utilization vision (50 years)	2.	Preparation of draft harvesting regulations for main forest types as guideline for province governments to issue respective regulations	Hanoi	9/2003	MARD DFD (Dr.Quan)	KfW 3 ADB FSP
b	Five-year forest management and investment plan						
c	Yearly Working and Harvesting Plan						

Procedural Steps in Establishment of CFM Pilot Schemes		Supporting Action for Completion of Guidelines and Procedures				Involved Parties	
No.	Task	No.	Task	Location	Timing	Leading	Supporting
d	Economic feasibility						
e	Benefit sharing arrangements	3.	Preparation of draft guidelines for benefit sharing	Hanoi	9/2003	MARD Policy Departm. (Mr. Phuong)	
		4.	Test of planning, harvesting and benefit sharing guidelines in selected CFM pilot schemes	Son La, Hoa Binh, Gia Lai, Dak Lak, Thanh Hoa	10/2003 - 9/2004	MARD NWG CFM	SFDP Song Da ADB FSP
		5.	Review of field tests and preparation of final guidelines	Hanoi	10-11/ 2004	NWG CFM core group	Helvetas ETSP RDDL Dak Lak
<b>4</b>	<b>Establishment of community-based controlling and reporting systems</b>	1.	Preparation of draft guidelines for financial management and reporting at village/commune level	Hanoi	9/2003	MARD PD (Mr. Phuong)  MoF ??	SFDP Song Da ADB FSP
		2.	Test of accounting and financial reporting guidelines in selected CFM pilot schemes	Son La, Hoa Binh, Gia Lai, Dak Lak, Thanh Hoa	10/2003- 9/2004		SFDP Song Da ADB FSP
		3.	Review of field tests and preparation of final guidelines	Hanoi	10-11/ 2004	NWG CFM core group	Helvetas ETSP RDDL Dak Lak

Procedural Steps in Establishment of CFM Pilot Schemes		Supporting Action for Completion of Guidelines and Procedures				Involved Parties	
No.	Task	No.	Task	Location	Timing	Leading	Supporting
<b>5</b>	<b>Implementation of training / coaching measures</b>	1.	Preparation of training and extension materials and approaches for CFM development	Hanoi, based on pilot schemes in Son La, Hoa Binh, Gia Lai, Dak Lak, Thanh Hoa	7-11/ 2004	NWG CFM core group	SFDP Song Da  KfW 3  ADB FSP  Helvetas ETSP RDDL Dak Lak
a	Inventory methods						
b	Forest development and management planning	2.	Development of curricula for training of trainers		Adjust to workplan Helvetas		
c	Economic feasibility and benefit sharing arrangements	3.	Determination of contents and costs for standard training courses eligible for financing out of government programmes		10-11/ 2004		
d	Harvesting and Processing						
e	Community organizations development						
<b>6</b>	<b>Implementation of yearly work and harvesting plans</b>	1.	Ongoing guidance and support of CFM pilot schemes in selected locations, regular exchange of information among pilot schemes via NWG CFM	Hanoi, based on pilot schemes in Son La, Hoa Binh, Gia Lai, Dak Lak, Thanh Hoa	10/2003 onwards	NWG CFM core group	SFDP Song Da  ADB FSP  Helvetas ETSP  RDDL Dak Lak
a	Reforestation/Afforestation						
b	Tending						
c	Harvesting						

Procedural Steps in Establishment of CFM Pilot Schemes		Supporting Action for Completion of Guidelines and Procedures				Involved Parties	
No.	Task	No.	Task	Location	Timing	Leading	Supporting
7	Evaluation of performance during establishment phase	1.	Preparation of draft guidelines for inspection and evaluation of CFM schemes by District administration	Hanoi	03/2004	MARD DFD + PD NWG CFM core group	SFDP Song Da ADB FSP Helvetas ETSP RDDL Dak Lak
		2.	Test of inspection and evaluation guidelines in selected CFM pilot schemes	Son La, Hoa Binh, Gia Lai, Dak Lak, Thanh Hoa	07-09/ 2004		
		3.	Review of field tests and preparation of final guidelines	Hanoi	10-11/ 2004	NWG CFM core group	

## ANNEX 8: Quaterly Working PLAN

Period: 01/2005 - 03/2005

**Result 3: Participatory land use planning and allocation of barren and forestland as well as the development and application of sustainable community-based forestry are supported**

No	Activities	Implementing Agencies/ Partners	Time Frame											
			2005											
			January				February				March			
			W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4
3.1	Support the application of the methods of participatory forest land allocation (FLA) and land use planning (LUP)													
3.1.1	Preparation of TOT													
3.1.1	TOT LUP/FLA Thanh Thach	Project staff,												
3.2	Support villages in forest protection management and document the procedures for forest management institutionalization.													



## ANNEX 9: OPERATIONAL PLAN

Period from 04/2005 to 03/2006

**Result 3: Participatory land use planning and allocation of barren and forestland as well as the development and application of sustainable community-based forestry are supported**  
**development and application of sustainable community-based forestry are supported**

No	Activities	Implementing agencies/ Partners	Time frame														
			2005									2006					
			m4	m5	m6	m7	m8	m9	m10	m11	m12	m1	m2	m3			
3.1	<b>Support the application of the methods of participatory forest land allocation (FLA) and land use planning (LUP)</b>																
3.1.1	Field Implementation LUP/FLA Thanh Thach and Hoa Phuc	Provincial Fipi, ACO, FPU	■														
3.1.2	Support implementation of participatory LUP and FLA in project communes	TST	---	---	---	---											
3.1.3	Evaluate and document the results of LUP and FLA applied in Thanh Thach and Hoa Phuc	Consultant					■										
3.1.4	Support follow-up activities regarding the resolution of existing land conflicts																






3.1.5	Support process to include both, husband and wife as land owners in red book certificates																		
3.2	<b>Support the pilot establishment and implementation of community-based forest management</b>																		
3.2.1	<b>Support the pilot establishment and implementation of community-based forest management (1st round)</b>																		
3.2.1.1	<i>Support villages of Dong Hoa and Hoa Hop Communes in establishment/revision of forest protection regulations</i>																		
3.2.1.1.1	Amendment and synthesis of existing training material	Project Staff																	
3.2.1.1.2	Conduct TOT training on method of forest protection (combined for both Districts)	FPD, FPU, Vice-Chairman CPC, TST																	
3.2.1.1.3	Support villages in the formation of user-groups and revision of FPDRs, including submission of FPDRs for approval	Project staff, FPU, TST																	
3.2.1.1.4	Demarcation of block boundaries of each user-group																		

3.2.1.1.5	Following the approval of established FPDRs, organise handover of official documents to villages	Project staff, TST																
3.2.1.1.6	Set up FPDR-Signboards	Project staff, FPU, TST																
3.2.1.2	<i>Support villages of Dong Hoa and Hoa Hop Communes in community based forest management planning</i>																	
3.2.1.2.1	Amendment and synthesis of existing training material, preparation of TOT	Project Staff																
3.2.1.2.2	Conduct TOT on methods of community based forest management planning	FPD, FPU, ACO, TST																
3.2.2.3	Support elaboration of forest management plans in villages of Dong Hoa and Hoa Hop	FPU, Commune staff, Project staff, TST, ACO																

**ANNEX 9: continued...**

No	Activities	Implementing agencies/ Partners	Time frame	
			2005	2006

			m4	m5	m6	m7	m8	m9	m10	m11	m12	m1	m2	m3
<b>3.2.2</b>	<b>Support the establishment and implementation of community-based forest management (2<sup>nd</sup> round)</b>													
3.2.2.1	Preparation	Project staff												
3.2.2.2	Conduct TOT on methods about forest protection regulations and CBFMP and support elaboration of FPDRs and forest management plans in 3 additional communes per district	FPU, Commune staff, Project staff, TST												
3.2.2.3	Demarcation of block boundaries of each user-group													
<b>3.2.3</b>	<b>Support the establishment and implementation of community-based forest management (2<sup>nd</sup> round)</b>	FPU, communes staff, Project staff, TST												
<b>3.4</b>	<b>Mid-term evaluation of introduced methodologies, including refinement of training material</b>	Project staff, TST, FPU, ACO												
<b>3.5</b>	<b>Support the implementation of forest management plans (including technical training in afforestation, tending, thinning, harvesting)</b>	Project staff, FPU, ACO, TST, Commune extension worker												

3.5.1	Conduct pre-feasibility study on private tree nurseries	National consultant																
3.5.2	Consultancy about nursery techniques and selection/suitability of local tree-species	National consultant																
3.5.3	Network with 661- and donor-financed projects for support with local tree-nurseries	Project staff																
3.5.4	Contribute to the formulation of provincial forestry strategy for the time period from 2006 until 2010	Project staff																
3.5.5	Support the first two pilot communes in the implementation of forest management plans	Project staff, Commune extension worker, FPU, ACO																
3.5.6	Support "2 <sup>nd</sup> round" communes in the implementation of forest management plans	Project staff, Commune extension worker, FPU, ACO																

## ANNEX 10: ACTIVITY PLANS FOR THE IMPLEMENTATION OF CBFMP

### Step 1: Application for communes

**Location:** xxx district, xxx commune, all villages with forest land and/or allocated forest

Steps	Area	Main outcome	Participants	Material	Time input	Costs	External support
1 <sup>st</sup> Commune meeting	Commune	1. Commune admin. and village heads are informed about tasks, responsibilities, benefits in CBFM  2. Establishment of Commune Forest Management Board  3. Minutes of meeting	<ul style="list-style-type: none"> <li>▪ CPC</li> <li>▪ Village heads</li> </ul>	<ul style="list-style-type: none"> <li>▪ Information leaflets</li> </ul>	1 day	<ul style="list-style-type: none"> <li>▪ Stationary</li> <li>▪ Daily allowance for participants</li> </ul>	<ul style="list-style-type: none"> <li>▪ Representatives province level</li> <li>▪ Project staff</li> </ul>
Village meeting	Village with forest land a/o FLA	4. Communities make informed decisions of whether to apply or reject  5. Minutes of meetings	<ul style="list-style-type: none"> <li>▪ Village head</li> <li>▪ Social organisations</li> <li>▪ Villagers</li> </ul>	<ul style="list-style-type: none"> <li>▪ Information leaflets</li> <li>▪ Minutes of meetings 1<sup>st</sup> com. meeting</li> </ul>	1 day /village	<ul style="list-style-type: none"> <li>▪ Stationary</li> <li>▪ Daily allowance for participants</li> </ul>	Project staff
2 <sup>nd</sup> Commune meeting	Commune	6. Presentation of village meeting results  7. Preparation of application form  8. Minutes of meeting  9. Submission to DPC	<ul style="list-style-type: none"> <li>▪ CPC</li> <li>▪ Village heads</li> </ul>	<ul style="list-style-type: none"> <li>▪ Minutes of village meetings</li> <li>▪ Application form</li> </ul>	1 day	<ul style="list-style-type: none"> <li>▪ Stationary</li> <li>▪ Daily allowance for participants</li> </ul>	Project staff
District meeting	Commune	10. Appraisal and approval of CBFM pilot permit  11. Preparation and signing of approval doc.	DPC	<ul style="list-style-type: none"> <li>▪ Minutes of all meetings</li> <li>▪ Application form</li> <li>▪ Approval form</li> </ul>	1 day	<ul style="list-style-type: none"> <li>▪ Daily allowance for participants</li> </ul>	<ul style="list-style-type: none"> <li>▪ ACO</li> <li>▪ Project staff</li> </ul>
3 <sup>rd</sup> Commune meeting	Commune	12. Feedback of approval results  13. Hand over of approval document	<ul style="list-style-type: none"> <li>▪ CPC</li> <li>▪ Village heads</li> </ul>	Approval document	½ day	Daily allowance for participants	<ul style="list-style-type: none"> <li>▪ ACO</li> <li>▪ Project staff</li> </ul>

## Step 2: Assessment of prevailing conflicts based on forest land allocation and facilitation of conflict resolution

**Location:** xxx district, xxx commune, all villages with completed forest land allocation

Activities	Area	Main outcome	Participants	Material	Time input	Costs	External support
1 <sup>st</sup> Village meeting	Village	<ol style="list-style-type: none"> <li>1. Suitability of form of allocation assessed</li> <li>2. Conflict potential assessed – special considering of households who did not receive forest land</li> <li>3. Identification of suitable options for conflict resolution</li> <li>4. Minutes of meeting</li> </ol>	<ul style="list-style-type: none"> <li>▪ Village organisations</li> <li>▪ Representative forest owners</li> <li>▪ Key villager without forest land</li> </ul>	<ul style="list-style-type: none"> <li>▪ Prepared leaflet</li> <li>▪ Present land-use map of village</li> </ul>	1 day	<ul style="list-style-type: none"> <li>▪ Stationary</li> </ul>	<ul style="list-style-type: none"> <li>▪ ACO</li> <li>▪ Project staff</li> </ul>
Further meetings depending on the actual context and type of conflicts encountered. Project should take a facilitating role to ensure that all information needed for solving of actual conflicts is passed on to adequate recipients.					Up to 1 month		<ul style="list-style-type: none"> <li>▪ ACO</li> <li>▪ Project staff</li> </ul>

**Steps 3 and 4: Formation of forest user-groups and establishment/revision of forest protection and development regulations**

**Location:** xxx district, xxx commune, all villages with forest land inside the traditional village boundary

Activities	Area	Main outcome	Participants	Material	Time input	Costs	External support
1 <sup>st</sup> Village meeting	Villages with already existing FPDRs	<ol style="list-style-type: none"> <li>1. Information level of stakeholders is assessed</li> <li>2. Suitability of regulations to local context are assessed</li> <li>3. Minutes of meeting</li> <li>4. Agreement on whether regulations have to be revised or not</li> </ol>	<ul style="list-style-type: none"> <li>▪ VMB</li> <li>▪ Key farmers</li> </ul>	<ul style="list-style-type: none"> <li>▪ Present FPDRs</li> <li>▪ Present land-use map of village</li> <li>▪ Aerial photomaps (if available)</li> </ul>	½ day	<ul style="list-style-type: none"> <li>▪ Stationary</li> <li>▪ Daily allowance for participants</li> </ul>	<ul style="list-style-type: none"> <li>▪ FPU</li> <li>▪ Project staff</li> </ul>

**Note:**

Regardless whether FPDRs are already in place or not, the project has to set up a FPDR signboard in each village at the main path to the village forest.

### Steps 3 and 4: Formation of forest user-groups and establishment/revision of forest protection and development regulations

**Location:** xxx district, xxx commune, all villages with forest land inside the traditional village boundary

Activities	Area	Main outcome	Participants	Material	Time input	Costs	External support
1 <sup>st</sup> Commune meeting	Commune	1. Commune administration and village heads are informed and implementation schedule agreed	<ul style="list-style-type: none"> <li>▪ CPC</li> <li>▪ Village heads</li> </ul>	<ul style="list-style-type: none"> <li>▪ Circular 56/1999/TT/BNN</li> </ul>	½ day	<ul style="list-style-type: none"> <li>▪ Stationary</li> <li>▪ Daily allowance</li> </ul>	<ul style="list-style-type: none"> <li>▪ FPU</li> <li>▪ Project staff</li> </ul>
1 <sup>st</sup> Village training	Village	2. Forest patches are classified 3. Villagers are informed about responsibilities of forest land ownership and practical considerations of forest management. 4. Formation of user-groups is encouraged regarding natural forest blocks. 5. Proposal of suitable benefit-sharing mechanism within and between user-groups.	<ul style="list-style-type: none"> <li>▪ VMB</li> <li>▪ Key farmers</li> </ul>	<ul style="list-style-type: none"> <li>▪ FFI- Community Forest Development Planning Session Material</li> <li>▪ Present land-use map</li> </ul>	1 day	<ul style="list-style-type: none"> <li>▪ Stationary</li> <li>▪ Daily allowance</li> </ul>	<ul style="list-style-type: none"> <li>▪ FPU</li> <li>▪ Project staff</li> </ul>
2 <sup>nd</sup> Village training	Village	6. Main problems in forest protection identified. 7. FPDRs are designed.	<ul style="list-style-type: none"> <li>▪ VMB</li> <li>▪ Key farmers</li> </ul>	<ul style="list-style-type: none"> <li>▪ Present land-use map</li> <li>▪ IFSP - Forest Use Guidelines</li> </ul>	1 day	<ul style="list-style-type: none"> <li>▪ Daily allowance</li> <li>▪ Stationary</li> </ul>	<ul style="list-style-type: none"> <li>▪ FPU</li> <li>▪ Project staff</li> </ul>
1 <sup>st</sup> Village meeting	Village	8. Formation of user groups discussed and consensus about FPDRs reached in plenary village meeting.	<ul style="list-style-type: none"> <li>▪ VMB</li> <li>▪ Household representatives</li> </ul>	<ul style="list-style-type: none"> <li>▪ Present land-use map</li> </ul>	1 day		<ul style="list-style-type: none"> <li>▪ Project staff</li> </ul>

### Steps 3 and 4: Formation of forest user-groups and establishment/revision of forest protection and development regulations

**Location:** xxx district, xxx commune, all villages with forest land inside the traditional village boundary

Activities	Area	Main outcome	Participants	Material	Time input	Costs	External support
1st Village meeting (continued)	Village	9. FPDRs are documented and send to CPC for appraisal 10. Registration of user-groups.	<ul style="list-style-type: none"> <li>▪ VMB</li> <li>▪ Household representatives</li> </ul>	<ul style="list-style-type: none"> <li>▪ User-group registration form</li> </ul>	1 day	<ul style="list-style-type: none"> <li>▪ Stationary</li> <li>▪ Daily allowance</li> </ul>	<ul style="list-style-type: none"> <li>▪ FPU</li> <li>▪ Project</li> </ul>
2 <sup>nd</sup> Commune meeting	Commune	11. Data aggregation and submission to DPC for approval	<ul style="list-style-type: none"> <li>▪ CPC</li> </ul>	<ul style="list-style-type: none"> <li>▪ Approval document</li> </ul>	2-3 days	<ul style="list-style-type: none"> <li>▪ Stationary</li> </ul>	<ul style="list-style-type: none"> <li>▪ FPU</li> <li>▪ Project</li> </ul>
District meeting	Commune	12. Appraisal and approval 13. Printing of FPDRs poster	<ul style="list-style-type: none"> <li>▪ DPC</li> </ul>	<ul style="list-style-type: none"> <li>▪ Aggregated documents from all villages in the commune</li> </ul>	1 month	<ul style="list-style-type: none"> <li>▪ Printing costs for poster</li> </ul>	<ul style="list-style-type: none"> <li>▪ FPU</li> <li>▪ ACO</li> </ul>
3 <sup>rd</sup> Commune meeting	Commune	14. Results are disseminated to commune representatives and village heads	<ul style="list-style-type: none"> <li>▪ CPC</li> <li>▪ Village heads</li> </ul>	<ul style="list-style-type: none"> <li>▪ Approved regulations</li> <li>▪ FPDRs posters</li> <li>▪ FPDR signboards</li> </ul>	1 day	<ul style="list-style-type: none"> <li>▪ Daily allowance</li> </ul>	<ul style="list-style-type: none"> <li>▪ FPU</li> <li>▪ Project</li> </ul>

## Step 5: Long-term Forest Management Goal

**Location:** xxx district, xxx commune, all villages with completed forest land allocation of production forest

Activities	Area	Main outcome	Participants	Material	Time input	Costs	External support
1 <sup>st</sup> Part of Village training	Allocated production forest	<ol style="list-style-type: none"> <li>1. Forest blocks are defined in accordance with user-groups and delineated on present land-use map</li> <li>2. Participatory forest stand description for each block</li> <li>3. Future forest structure and management goal generated</li> <li>4. For each forest block determination of suitable option (5-year management period): <ul style="list-style-type: none"> <li>- Protection ( apart from NTFPs no management)</li> <li>- Improvement (thinnings or enrichment planting)</li> <li>- Timber harvesting (forest resource assessment)</li> </ul> </li> <li>5. Management goal poster developed for each block</li> <li>6. Explanation and agreement of harvesting regulations</li> </ol>	<ul style="list-style-type: none"> <li>▪ Forest owner</li> </ul>	<ul style="list-style-type: none"> <li>▪ Present land-use map</li> <li>▪ Stand description form and further explanations provided by FFI - Community Forest Development Planning Session Material</li> <li>▪ SFDP - Participatory elaboration of management goals for natural forests - Trainer guide</li> <li>▪ Visual aids as provided in SFDP - Participatory elaboration of management goals for natural forests- Flip Charts &amp; Poster Books</li> <li>▪ ADB FSP Harvesting regulations</li> </ul>	<p>½ day per forest block (the entire village forest should be classified in not more than 10 blocks, according to the total number of user-groups)</p>	<ul style="list-style-type: none"> <li>▪ Stationary</li> <li>▪ Daily allowance</li> </ul>	<ul style="list-style-type: none"> <li>▪ Commune Extensionist</li> <li>▪ ACO</li> <li>▪ Project</li> </ul>

## Step 6: Participatory Forest Resource Assessment

**Location:** xxx district, xxx commune, all villages with completed forest land allocation of production forest

Activities	Area	Main outcome	Participants	Material	Time input	Costs	External support
Village training	Allocated production forest blocks	1. Forest block description 2. Forest product demand quantified 3. Forest owner are trained in forest resource assessment	Forest owner	<ul style="list-style-type: none"> <li>▪ Present land-use map, aerial photomaps</li> <li>▪ RDDL - Community Forest Management Planning - Session Material</li> </ul>	1 day	<ul style="list-style-type: none"> <li>▪ Stationary</li> <li>▪ Daily allowance</li> </ul>	<ul style="list-style-type: none"> <li>▪ Commune Extensionist</li> <li>▪ ACO</li> <li>▪ FPU</li> <li>▪ CFMB</li> <li>▪ Project</li> </ul>
Forest resource assessment	Allocated production forest blocks	4. Forest resource assessment for the entire allocated production forest finalised	Forest owner	<ul style="list-style-type: none"> <li>▪ Coloured diameter tape</li> <li>▪ Rope</li> <li>▪ Inventory forms</li> </ul>	One group <sup>62</sup> can measure around 7-8 plots per day <sup>63</sup>	<ul style="list-style-type: none"> <li>▪ Measurement tools</li> <li>▪ Stationary</li> <li>▪ Daily allowance</li> </ul>	<ul style="list-style-type: none"> <li>▪ Commune Extensionist</li> <li>▪ ACO</li> <li>▪ FPU</li> <li>▪ CFMB</li> <li>▪ Project</li> </ul>
Data aggregation	Forest area with completed inventory	5. Block summary forms for each forest block finalised	Forest owner	<ul style="list-style-type: none"> <li>▪ Inventory forms</li> <li>▪ Block summary forms</li> <li>▪ Pocket calculator</li> </ul>	1-2 forest blocks per day (depending on distance and size)	<ul style="list-style-type: none"> <li>▪ Stationary</li> <li>▪ Daily allowance</li> </ul>	<ul style="list-style-type: none"> <li>▪ Commune Extensionist</li> <li>▪ ACO</li> <li>▪ CFMB</li> <li>▪ Project</li> </ul>

<sup>62</sup> (measuring team of 3 forest owner, 1 supporting staff for recording)

<sup>63</sup> Total number of plots depend on number of user groups.

## Step 7: Elaboration of community forest management plans

**Location:** xxx district, xxx commune, all villages with completed participatory forest resource assessment

Activities	Area	Main outcome	Participants	Material	Time input	Costs	External support
Village workshop	Allocated forest area	<ol style="list-style-type: none"> <li>1. Diameter stemnumber distributions of inventory results prepared and discussed</li> <li>2. Forest product demand, supply and balance identified</li> <li>3. Five-year community forest management (cfm) plan developed for each user-group, with attached conditions of benefit-sharing agreement.</li> </ol>	<ul style="list-style-type: none"> <li>▪ Forest owner</li> <li>▪ VMB</li> </ul>	<ul style="list-style-type: none"> <li>▪ Block summary forms for each forest block</li> <li>▪ Ideal model for diameter stemnumber distribution</li> <li>▪ Management goal posters</li> <li>▪ Present land-use map</li> </ul>	2 forest blocks per day	<ul style="list-style-type: none"> <li>▪ Stationary</li> <li>▪ Daily allowance</li> </ul>	<ul style="list-style-type: none"> <li>▪ Commune Extensionist</li> <li>▪ ACO</li> <li>▪ CFMB</li> <li>▪ Project</li> </ul>
Commune meeting	All villages with completed 5-year plan	4. Five-year cfm plans are aggregated and submitted to district for approval	<ul style="list-style-type: none"> <li>▪ Village heads</li> <li>▪ CPC</li> <li>▪ CFMB</li> </ul>	▪ Village five-year cfm plans	2 days	▪ Daily allowance	<ul style="list-style-type: none"> <li>▪ ACO</li> <li>▪ CFMB</li> <li>▪ Project</li> </ul>
District meeting	Commune	<ol style="list-style-type: none"> <li>5. Appraisal and approval of five-year cfm plans</li> <li>6. Approved plans are send back to commune</li> </ol>	<ul style="list-style-type: none"> <li>▪ ACO</li> <li>▪ DPC</li> </ul>	▪ Village five-year cfm plans	1 week	▪ Daily allowance	
Commune meeting	Commune	7. Village heads receive approved five-year cfm plans for each user-group	<ul style="list-style-type: none"> <li>▪ Village heads</li> <li>▪ CPC</li> <li>▪ CFMB</li> </ul>	▪ Approved village five-year cfm plan	½ day	▪ Daily allowance	<ul style="list-style-type: none"> <li>▪ ACO</li> <li>▪ Project</li> </ul>
Village workshop	Forest area under CFM plan	8. Annual work plans developed and agreed upon	<ul style="list-style-type: none"> <li>▪ Forest owner</li> <li>▪ VMB</li> </ul>	Annual work plans are developed based on 5-year cfm plan	1 day	▪ Daily allowance	<ul style="list-style-type: none"> <li>▪ ACO</li> <li>▪ Project</li> <li>Commune</li> </ul>

extension worker

**Step 8: Determination of communes' responsibilities and tasks in the process of CBFM**

**Location:** xxx district, xxx commune

Activities	Area	Main outcome	Participants	Material	Time input	Costs	External support
Commune meeting	Commune	<ol style="list-style-type: none"> <li>Responsibility and tasks of the commune concerning the implementation and monitoring of CBFM are determined and agreed upon.</li> <li>Benefit-sharing agreement elaborated and agreed upon, concerning the timber-supply of households and villages that do not endue over forest land.</li> </ol>	<ul style="list-style-type: none"> <li>CPC</li> <li>CFMB</li> <li>Village Heads</li> </ul>	<ul style="list-style-type: none"> <li>ADB-FSP Commune Forest Management Planning Training Manual Part 2</li> </ul>	½ day	<ul style="list-style-type: none"> <li>Stationary</li> <li>Daily allowance</li> </ul>	<ul style="list-style-type: none"> <li>ACO</li> <li>Project</li> </ul>

**ANNEX 11: PROPOSED COMMUNE APPLICATION FORM**

**COMMUNE APPLICATION  
FOR COMMUNITY-BASED FOREST MANAGEMENT PERMIT**

**Commune.....**

**District.....**

**Province.....**

**Village..... Signature of Village head.....**

**Village..... Signature of Village head.....**

**Village..... Signature of Village head.....**

... ..

**The signatories prove that (i) village meetings have been carried out with participation of all households, (ii) all villagers are informed about rights, obligations and benefits in CBFM, (iii) the decision to apply for a CBFM permit was reached during voting by all village members.**

**Commune People Committee .....**

**Agriculture and Cadastral Office .....**

**District Forest Protection Unit .....**

**Commune Cadastral Officer .....**

**The signatories approve the participatory process of the application procedure and technical content and data of all mentioned villages and the commune.**

**TABLE 1: SOCIO-ECONOMIC DATA OF THE COMMUNE**

No.	Village	Total area (ha)	Total agricultural land (ha)	Number of households	Ethnic groups	Main source of income (subsistence agriculture, cash crops, forestry, husbandry, processing...)
1						
2						
3						
4						
5						
6						
7						
8						
...						
<b>Total</b>						

**TABLE 2: FOREST RESOURCES OF THE COMMUNE**

No.	1.1.1.1.1 Forest type according to forest land classification	Area (ha)	Owned by local Authorities	Owned by Forest Enterprise/ Special-use Forest Management Board	Owned by Households	
					Red Book	Green Book
I	<b>Special-use forest</b> ( a + b )					
a	<i>Natural forest</i>					
b	<i>Plantation</i>					
I	<b>Protection forest</b> ( c + d )					
c	<i>Natural forest</i>					
d	<i>Plantation</i>					
I	<b>Production forest</b> ( e + f )					
e	<i>Natural forest</i>					
f	<i>Plantation</i>					
I	<b>Bareland</b> ( g + h )					
g	<i>Land for plantation</i>					
h	<i>Land for natural regeneration</i>					
<i>Total land area in ha</i> ( I + II + III + IV )						

**TABLE 3: OPPORTUNITIES, GOALS AND PROBLEMS OF VILLAGE FOREST RESOURCES**

Village:.....

Village head:.....

	Activity	1.1.1.1.1.1.1.1.1 Priority			1.1.1.1.1.1.1.1.2 Notes
		High	Medium	Low	
<b>AFFORESTATION</b>	▪ Timber trees				
	▪ Fruit trees				
	▪ NTFPs				
	▪ Watershed, soil protection forest				
<b>MANAGEMENT</b>	▪ Existing natural forest				
	▪ Plantation				
	▪ NTFPs				
<b>FOREST THREATS</b>	▪ Immigration				
	▪ Illegal logging				
	▪ Fire				
	▪ Grazing				

Implemented forest programs, projects, etc.	Year	Area	Activity	1.1.1.1.1.1.1.1.3 Notes

## ANNEX 12: PROPOSAL FOR A PRACTICAL FOLLOW-UP OF CBFMP

The successful introduction of community-based forest management planning represents the initial step of sustainable forest management by local communities. As the concept and methods introduced are principally new to involved staff from respective state agencies (e.g. FPU and ACO), the project is advised to provide close guidance during the set-up of a practical system for the implementation of respective forest management plans, especially concerning timber harvesting. Besides technicalities (i.e. record books for harvested timber), responsibilities and mandates of respective agencies in the process of CBFM have to be identified.

Following the elaboration of 5-year forest management plans, respective measures contained within those plans are specified for the next year in the process of elaborating annual forest management plans. Respective plans should form the basis for the annual budgeting of planned forest management operations within the VDP. The following steps address the implementation of the forest resource utilisation, especially emphasising the link between village and commune administration (thereby linking village and district level):

- 1) Households/user-groups make proposal to the VMB for the amount of timber to be harvested
- 2) VMB aggregates individual harvesting proposals by households/user-groups and compares them with the respective allowable quantities contained within the annual forest management plan.
- 3) VMB determines which households/user-groups are allowed to harvest timber
  - Compares the actual amount proposed for harvesting with the annual allowable cut (contained in the annual forest management plan)
  - set of criteria needed for prioritisation of households in one user-group (if not regulated within the respective forest user-group)
  - annual management plan should contain contingency to compensate for unforeseen events
- 4) VMB passes harvesting proposals on to the commune
- 5) Commune re-checks the amount contained within the harvesting proposal with the annual forest management plans of the respective user-group.
- 6) Following the approval, commune signs the proposals and sends them back to the village
- 7) Commune informs FPU about ongoing harvesting (timeframe, households/user-groups, quantities)
- 8) FPU has the right to control/intervene the village level operations at any time of the process
- 9) Every tree hauled back to the village is measured by the VMB
  - Refining the amount of timber needed for various products to enhance the effectiveness of future demand assessment.
  - Basis for tax calculation in case that timber is commercially sold in the future
  - Use of volume-tables to facilitate the determination of log-volumes
- 10) Information about the amount harvested by households is fed back to the commune
  - Harvesting log-book of VMB as basis

## Proposal for timber- harvesting procedure

