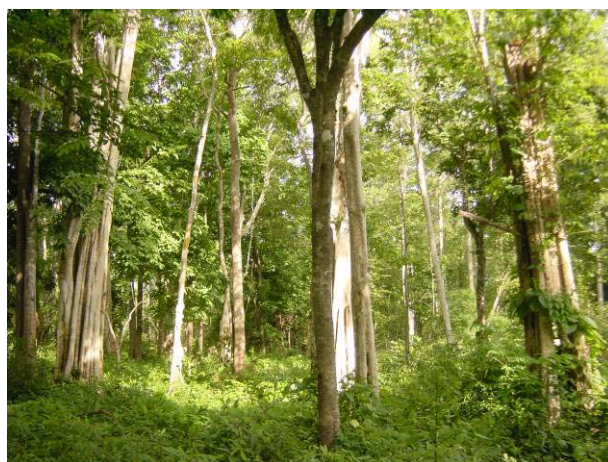




# Guideline

For

## PARTICIPATORY FORESTLAND ALLOCATION



October 2006

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## PART I: INTRODUCTION

### 1.1 Background

Forestland allocation (FLA) has been a government's great strategic policy in community-based sustainable management and development of forests.

The Government has promulgated various decrees such as: No. 01/1995/ND-CP on land allocation for use in agricultural, forestry production, aquatic product rearing within state-owned enterprises; No. 02/1994/NG-CP as foundation for forestland allocation to organizations, households, individuals for stable and long-term use in forestry production, and on 16 Nov.1999, the Government promulgated the Decree numbered 163/1999/ND-CP on forestland allocation, renting out to organizations, households and individuals for long-term, stable use for forestry purposes.

Daklak province possesses a very large forest cover which plays an important role in the livelihood of the ethnic minority communities. The provincial forest development strategy for the coming years has aimed at the socialization of forestry through the allocation and contractual assignment of forests and forest lands to villagers, encouraging them to involve in sustainable forest management in order to improve their livelihood. Since 1998, Dak Lak has launched the pilot allocation of natural forests but without a specific technical guideline provided by the forestry sector. In this context, based on the practical experiences made in the pilot models, the Provincial Working Group on Community Forest Management (CFM-WG) advised Department of Agriculture and Rural Development (DARD) to elaborate and publish the: ***“Technical Guidelines for Participatory forestland allocation to be applied in communes of Dak Lak province”*** in January, 2001. Up till now, given the availability of various FLA-related legal documents such as Land Law 2003, New Law on Forest Protection and Development 2004, Decision No. 178/2001/QĐ-TTg by Prime Minister on benefit-sharing, responsibilities of forest-receivers, this guideline has become unsuitable. Also, the evaluation of recent FLA processes has revealed the necessity of further improvement and amendments to the content and approach of the guideline in order to facilitate a more effective and sustainable forest land allocation process. Recognizing the above-mentioned issues, DARD has revised the previous guideline and named it as: ***“Guideline for participatory forest land allocation”*** with supports from RDDDL and ETSP project.

This guideline was presented in an evaluation workshop at provincial level on 02-03/12/2004, where necessary amendments and supplementary information have been determined. Respective changes have been incorporated in the guideline according to the results of the workshop. DARD would like to express its gratitude to the consultant team including Assoc. Prof, Dr. Bao Huy, from Tây Nguyên University, Mr. Đặng Thanh Liêm – RDDDL national CF expert, MA. Nguyen Van Xuan – Director of FDD, and MA. Tran Huu Nghi – FDD staff. The most sincere thanks are given to different relevant institutions and organizations in the province, particularly in EaHleo and Lak districts for their valuable comments to improve the guideline.

It is expected that this guideline will serve as a good basic reference for local staff in facilitation of actual forestland allocation process; providing remarkable contribution to the achievement of the objectives determined in the provincial forestry strategy.

## **1.2 Aims, users of the guideline**

The general target of forestland allocation has been to contribute to community-based sustainable forest management. Therefore, the local inhabitants have to participate directly and fully in the entire process of allocation, and play the role of real owners of their allocated forest resources. At the same time, there must be allocation mode ensuring the equitableness, feasibility, effectiveness and sustainability.

### ***Aims of the guideline:***

- To provide users with principles, approaches, technical methods employed in the process of forestland allocation, with emphasis on ways of attracting positive and responsible participation of the communities whose forestlands have been allocated.
- To unify procedures and sequences of forestland allocation, starting from the deployment to the issuance of forestland use right to the inhabitants.

### ***Users of the guideline:***

*Decision-makers, leaders at all authority levels:* Provincial Party, Provincial People's Council, Provincial People's Committee, relevant Departments, leaders of districts, communes use this guideline to supervise, monitor and making supporting policies for FLA process

*Field staff:* Forestry officers of DARD, cadres of district Agriculture & Cadastral Offices, forest enterprises, forest guard branches and relevant participants in the process of forestland allocation.

### ***Range of application:***

The document is used to organize forestland allocation to households, individuals, household groups or communities (villages, hamlets) for the purpose of stable and long-term use.

## **1.3 General introduction about the guideline and directions for use**

This document comprises 5 parts:

- **Part I - Introduction:** General introduction about the background of forestland allocation, aims, users and range of application.
- **Part II - Principles of forestland allocation:** Presentation of legal principles, planning, instructions and approach orientation for forestland allocation.
- **Part III - Contents and proceeding method:** Presentation of step-by-step implementation in practice and expected results. Each step introduces briefly the method and links it to Part IV and V for follow-up and application of suitable method and tools.
- **Part IV – Directions for approaches, technologies:** Various approaches and technologies are introduced in the form of tools, determined with their purposes, sequences, ways of doing and specific outputs, ways of simple designing for easier reference for application in conformity with the step-by-step contents in Part III.
- **Part V – Instructions for elaborating various documents:** Sample forms, tables relevant to the entire process of forestland allocation are presented, designed, formatted to support the completion of administrative and technical documents.

## **PART II: PRINCIPLES OF FORESTLAND ALLOCATION**

### **2.1 *Forestland allocation must abide by legal procedures***

Forestland allocation must be carried out in the framework of current State documents, including:

- Land Law dated 10/12/2003
- Law on Forest Protection and Development 2004
- The Decision 661/QĐ-TTg dated 29/7/1998 of the Prime Minister on objectives, function, policy and implementation of the 5-million-hectare-aforestation project.
- The Decision 245/1998/QĐ-TTg dated 21/12/1998 of the Prime Minister on implementation of State managerial responsibility of different echelons with regard to forests and forestlands.
- The Joint Circular between the General Department of Cadastral and Ministry of Finance No. 1442/1999/TTLT-TC\$C-BTC dated 21/9/1999 giving guidance to issue land use certificates in accordance to the Directive No. 18/1999/CT-TTg dated 1/7/1999 of the Prime Minister.
- The Decree No. 163/1999/NĐ-CP dated 16/11/1999 of the Prime Minister on land allocation, renting out forestlands to organizations, households and individuals for stable and sustainable use.
- The Joint Circular No. 62/2000/TTLT/BNN-TCĐC dated 6/6/2000 of the Ministry of Agriculture & Rural Development and the General Department of Cadastral on directions for land allocation and issuance of forestland use certificates.
- The Decision No. 08/2001/QĐ-TTg dated 11/1/2001 of the Prime Minister on promulgation of Regulations for management of special use forests, protective forests, productive forests and natural forests.
- The Decision No. 178/2001/QĐ-TTg dated 12/11/2001 of the Prime Minister on privileges, obligations of household, individual allottees, leaseholders, contract workers of forests and forestlands.
- The Joint Circular No. 80/2003/TTLT/BNN-BTC of MARD and Ministry of Finance dated 03/09/2003 on "Directions for implementation of the Decision No. 178/2001/QĐ-TTg dated 12/11/2001 of the Prime Minister on "privileges and obligations of household and individual allottees, leaseholders and contract workers of forests and forestlands".
- Decree No.139/2004/NĐCP dated 25/6/2004 by the Government on administrative punishment applied in forest and forest products protection and management.
- Decision No. 134/2004/QĐ-TTg dated 20/7/2004 by Prime Minister promulgating policies of supporting farming land, residential land, house and drinking water for poor ethnic minorities

Some of these legal documents to be treated with special attention are: Land Law 2003, Forest Law 2004, Decree 163, Decision 178 and the Joint Circular 80 in connection with Decision 134 for organizing allocation and issuance of forestland use rights, as well as benefit sharing for the allottees.

## **2.2 *Forestland allocation must be in conformity with land use planning and traditional land use of ethnic communities***

In order for forestland allocation to be systematic and serviceable for stable, long-term and sustainable development, it should base on the land use planning and traditional land use of ethnic minority communities who are dependent on forest resources. Therefore, the forestland allocation must satisfy the following conditions:

- The areas to be allocated must be located inside the planned forestland of commune level.
- The forestland allocation should be regarded as a supplement to the forestland use planning, taking into consideration traditional forest areas and existing village kaingins in order to facilitate the inheritability and development of strong points in tradition-based forest management of the ethnic minorities.
- The forestland allocation needs to be well-proportioned with the forestland management planning of other economic elements such as forest enterprises/companies, localities,... for the majority of forestland areas are taken from those under the management of forest enterprises. Therefore, it is necessary to examine the size for appropriate management of the enterprises so as to balance their management capacity with the long-term benefits of all involved parties, for the process of sustainable forest management at each locality.
- The allocation scale must be corresponding to the capacity of management, protection and production of the allottees and not exceeding the current stipulations (according to the Decree 163/1999/CP-NĐ the size of forestland to be decided by the province authority but should not exceed 30 hectares per household)
- The areas to be allocated should be free from dispute with other individuals, organizations, villages and localities.
- The areas to be allocated should be in preference to the risk of being lost or reduced in term of quality in the near future if they are not allocated to the local inhabitants – the beneficiaries - for protection and development.

In reality, many land use planning projects of commune and district levels have not mentioned the delegation of forestland use right to local inhabitants and communities. In such a case, district and commune authorities should have appropriate supplement and adjustment so that the planning really creates good conditions for the social economic development, local forest management as well as the process of forestland allocation.

## **2.3 *Forestland allocation must be carried out with the participation of the inhabitants, communities concerned.***

The forestland allocation is a profound social-minded task. Therefore, external designing subjectively done by managerial/technical staff will be less likely adaptable to the conditions of local inhabitants, communities, thus lacking effect and sustainability. Because of this, forestland allocation should employ an approach with direct participation of local inhabitants, and villagers throughout the process, from preparation to on-the-spot allocation.

Such participatory approach aims at achieving the following in forestland allocation:

- *Spontaneous and self-conscious inhabitants*: Forestland allocation should consider the needs and aspirations of local villagers, as well as attaining their commitment in forest resource management.

- *Development of communities' tradition and indigenous knowledge in management*: Forestland allocation attracts the participation of local inhabitants, thereby bringing into play positive aspects of tradition and knowledge in natural resource management of various ethnic minority communities, through which their managerial and organizational capacity can enhance.

- *Guarantee of equitableness and rationality in scale, location and form of allocation*: Allocated forestland should go through the unification and unanimity within the community, and avoid creating contradiction. Allottees such as households, user group, clans, villagers should be assured of the equitableness and rationality with regard to scale, type, status, location ... of forestlands to be allocated.

- *Feasibility*: The community's capacity in management, protection and use of forest resources are assessed, ensuring clear commitment and ability to organize management and use of the allocated forest resources from all allottees,

- *Effectiveness and sustainability*: Forestland allocation must be in a sense to contribute its part in social economic development, protection of the environment and basin where the communities inhabit in a stable and long-term manner.

Therefore, in the implementation of forestland allocation, the participatory approach plays a very important role to ensure the above mentioned requirements, at the same time makes this task a high social activity that attracts the interest of the inhabitants and communities in forest resources management for the development of themselves and the society, thus making possible the policy of local democracy development and the social forestry development strategy.



## PART III: CONTENT AND PROCEEDING METHOD

This part presents and guides step-by-step the task of forestland allocation with the participation of local inhabitants. The PRA tools in combination with participatory investigation and assessment are applied for planning forestland allocation.

Various proceeding steps as well as the main approach, technique are illustrated in the diagram below:



### Step 1: Preparation and unity of forestland allocation plan

**Step 1 needs to achieve the following outputs:**

- Organizational unity at district, commune levels to steer the process
- Anticipation of the dimension, location based on the examined land use planning of commune, district and the forest areas under traditional management of the community..
- The availability of specific plans to ensure the participation of different branches, departments and localities concerned.
- The obtainment of secondary data on basic social economic and resources information of the anticipated areas for allocation.

- **Establishment of the steering committee and the working group for forestland allocation**

A steering committee for forestland allocation is established at district level, comprising:

- Chairman or vice-chairman of the district People's Committee, as the head
- Head or vice head of the district Agriculture & Cadastral Office
- Head or vice head of district Forest Protection Unit
- Chairman or vice-chairman of the relevant commune People's Committee.
- Director of State-owned forest Enterprise (SFE) (Owner of forest land to be allocated)

The district steering committee shall set up a working group whose members are to directly carry out tasks relevant to field forestland allocation, write and submit for approval various projects. This working group should forward its progress report to the steering committee on a periodic basis.

The members of this working group have to go through various training courses on techniques, content and proceeding sequences, various participatory approaches in order to be able to collect, analyze information necessary for the process of forestland allocation.

- **Anticipation of dimension, location based on the examined land use planning of commune, district and the forest areas under traditional management of the community**

As previously presented in the part of principles, forestland allocation need to be based on existing land use planning of commune and district administration and should consult about the boundaries, traditionally-managed forests of the communities being dependent on forests.

The steering committee and the working group are to carry out the following tasks:

- Make an examination of the orientation of forestland allocation based on the forestland use planning at level commune, forest planning for 3 types of forests of forest enterprises, companies, .... also forest areas under traditional management of various ethnic minority communities within the area. If there are not yet planned forestland areas in district, commune, there should be supplementary discussions and guideline to define forestland areas to be allocated to the inhabitants, communities.
- Anticipation of the scale, location, target allottees within each district, commune, and village.

The selection priority of candidates, location and area for forestland allocation should be based on a number of criteria such as:

- First priority to indigenous ethnic minorities;
- Communities depending on forests, forestlands for cultivation, forest products collection;
- In village area where there are forests and forestlands;
- There is a need for the development of community-based forest management in order to improve the community's management as well as their livelihood.

- **Elaboration of forestland allocation plan together with all stakeholders**

The working group together with all stakeholders from district down to commune should unify the cooperation, assign tasks, anticipate work in order to elaborate a detailed plan for the overall process.

#### **Plan for forestland allocation**

Ref.	Task description	Location	Duration		Responsible Person	Expected output
			Start	Finish		

This plan is handed over to all stakeholders for further implementation, monitoring and supervision..

- **Collection of secondary documents**

In order to proceed with the elaboration of a forestland allocation plan, it is firstly necessary to collect and consult available documents, comprising:

- Relevant legal documents
- Schemes, plans from relevant branches and departments (forestry, agriculture, irrigation, settled agriculture & residence, various social economic development programs, ...)
- District's and commune's overall planning for social economic development
- Commune's land use planning (if any)
- Any forest preparation projects, forest enterprise renovation projects in accordance with the Decision 187 within the allocated areas.
- Documents relating to natural, social economic conditions of the target commune, village.
- Local data from forest inventories
- Meteorological & hydrographic figures
- Any documents about management and use of land
- Various types of maps:
  - Topographic maps
  - Maps of overall planning for social economic development of district, commune
  - Maps of district's, commune's land use planning
  - Maps of forest resources status quo
  - Maps of forest status quo interpreted from aerial photomaps, satellite images (if any)

## **Step 2: Unified deployment of forestland allocation at village level – First meeting for villagers**

### **Step 2 needs to achieve the following outputs:**

- *Forestland allocation policies are disseminated and explained clearly to the villagers, especially with regard to the interests and obligations of the allottees.*
- *The communities are to determine their need and undertake – as allottees - to participate in the management, protection and organization for long-term business of their allocated forestlands.*
- *Unify the deployment plan with the community and select key farmers to participate in the rural appraisal, and elaborate plans for forestland allocation.*

The first meeting is very important because it relates to some issues such as the determination of needs and aspirations of the community on the basis of clear elucidation about their interests and obligations in forestland allocation, thus unifying a village work plan for rural appraisal and participatory planning.

- Participants: The working group, representatives from commune People's Committee, village self-governing board, the village patriarch, and representatives of the households within the village. The meeting can be successful only with the presence of at least 2/3 of the total households, with over 30% are women.
- Location, duration: AT the village where forestland allocation takes place, duration ½ a day.
- Ways of organizing, facilitating the meeting:
  - Discuss, reach an agreement in advance with the village leadership about the location, duration, content, participants and the meeting president.
  - The meeting content should be very brief, easy to understand and presented on a large-sized paper (Ao). Pictures, diagrams, tables .... can be used so that the participants can refer to before and during the meeting.
  - In many cases, a translator is needed to do the translation into local language for better information exchange.
  - The working group needs to have facilitation skills so that everybody can actively take part in discussions, idea expression.
- Content and outputs of the first meeting:
  - To inform, explain clearly relevant policies on forestland allocation, especially the Decree 163 and the Decision 178.
  - To discuss and unify the needs for forestland allocation within the community.
  - To inform and unify the village work plan.
  - To select key farmers to participate in the rural appraisal process as planned. The selected key farmers must comprise: representatives of the village self-governing board, the village patriarch, representatives for men, women, the young, and people of prestige who are well-informed about the land situation, management of the community. On an average, each village should select from 10 to 12 key farmers to work with the working group, breaking down into 2-3 work groups.
  - The minute of the meeting should be carefully written, read at the end of the meeting and signed by local officials.

### **Step 3: Participatory rural appraisal based on the theme ‘management of forests and forestlands’**

#### **Step 3 needs to achieve the following main outputs:**

- *Comprehensive information about the economy, society, natural resources, community organizations is collected, analyzed with the participation of local villagers, based on the theme ‘management of forests and forestlands’.*
- *Determination of appropriate mode of forestland allocation: by household, groups of households, or village community?*
- *Set up an outline for forestland allocation to households, groups of households or community.*
- *Set up the oriented outline planning for allocated forestlands.*

This step mainly employs PRA tools in a systematic manner.

*Participants:* comprising the working group and key farmers divided into work groups of 3-5 each.

*Duration, location:* To be carried out in the village, in the forests, on forestlands. PRA tools take about 2-3 days for a village.

*Content and ways of proceeding:* the groups are assigned tasks to apply various PRA tools systematically based on the theme “*Management and use of forest resources and forestlands*” in the village. The information to be collected should have the support of the following PRA tools:

- *Social, economic information:* The following PRA tools are applied:
  - **Tool 1 – Brief village history:** Summary history of the village and the change in management and use of natural resources is discovered as the basis for development of the community’s traditional resource management.
  - **Tool 2: Wealth ranking:** Assess and classify the household economy status quo, the degree of dependence on forest resources. The data will be used as foundation for the partition of forestlands in accordance with the economic conditions and capacity of each type of household.
- *Information about forest resources and forestlands:* The following PRA tools are applied:
  - **Tool 3 – Graph of changes in land use, forest use over time:** Discover changes in forestland use in the past and issues to be reviewed for further management.
  - **Tool 4 – Community-based forest classification:** Determine different types of forests, their present state based on indigenous experience and knowledge; and discover the classification criteria used by the community; Help give names to different types of forests, state and classification easy to understand and applicable in the community; and at the same time, compare them with the existing forest classification system with regard to technical aspect in order to have an identical arrangement serving forest management and business doing after the allocation in conformity with both parties: the community and the state-managed forestry agency.
  - **Tool 5 - Drawing outline of land, forest status quo:** showing the distribution of types of land, states of forests; specifying various potentials, constraints and proposals for the management and use of forestland resources.

- **Tool 6 - Transect:** showing the distribution of types of land, forests according to terrain; this is a supplementary tool to the land use outline in order to assess possible potentials, constraints and proposals for the management, business doing of forests, forestlands.

- **Tool 7 – Matrix of non-timber products:** Non-timber products is a potential source of income of the allottees, especially true with ethnic minority communities – who depend very much on diversified products from forests for food, working tools, building materials, medicine, ... Therefore, the assessed potentials of non-timber products is an important basis for making the forest allocation meet the need of communities.

- *Information about organization, management, planning:* The following PRA tools are applied:

- **Tool 8 –Venn diagram about organization:** In order to assess the status quo of resources management of the village as the basis for development of various organizations in the village to serve the management of forests and to set up a management board for community forests.

- **Tool 9 – Opinion poll for mode of allocating forestlands to households or household group (clan) or community:** The forestland allocation should originate from the actual situation of each village. This tool helps discover the need that is the basis for appropriate forestland allocation. The selection of proper mode of allocation should take the following aspects into account:

- Localities with fairly developed household economy often have the need to receive forestland by individual household for business investment. On the contrary, for poorly developed localities, forestlands should be allocated to household groups or community for labor cooperation, management and business organization.
- For localities under heavy pressure of illegal exploitation of forest products, the solution of allocating forestlands to household groups or community will create the might in forest protection rather than to individual households.
- For localities with different states of forests ranging from bare land to young, poor, rich, the allocation to individual households will create unfairness, leading to some households with young forests, while others with rich ones soon giving income. Therefore, negotiations to create various groups to receive forestlands will balance the wealth and poverty of forests, thus creating the equitableness during allocation.
- As for villages still maintaining well the management of common forests, community forests, land management by families, clans, the villagers are encouraged to receive forestlands by household group (family) or community in order to bring into play the might of folk law in resources management, and at the same time building up the ability of organizing community-sized forestry production, and organizing forests into closed business to avoid them from being battered.

When facilitating to determine the mode of forestland allocation, it is necessary to explain fully as above to the community, based on which each household, household group, community will have the decision suitable with their own conditions.

**- Tool 10 – Drawing diagram of allocated forestlands by households, household groups, community:** This tool helps the villagers themselves negotiate and decide on the location of the forestlands allocated to each household or household group. It is not advisable to design a ready-made map with plots of forests and allocate them subjectively to households, household group; for in reality, the need for forestland of households and household groups often link to their upland fields, and there are also areas under traditional management of each clan; therefore, having the community decide on the location, ways of allocating forestlands to individual allottees would be an appropriate and sustainable solution.

**- Tool 11 – Drawing diagram of forestland use scheme:** Basing on the existing diagram of forestland status quo, facilitate community discussions and determine solution for organizing business management for each object of land, forest. This tool aims at upholding indigenous inhabitants' ecological knowledge in forest management and business, and at the same time makes forestry technical solution suitable with the capacity, ability of the inhabitants. In discussions about participatory land use planning, silvicultural procedures should also be introduced as orientation, whereas specific solutions, deployment size should be determined and decided by the inhabitants. For instance: Poor forests have to be enriched (according to procedures), from there the inhabitants decide on indigenous trees that are suitable with the demand, market and size, density.... the implementation is based on the household's economic capacity and support from various state's forestry development programs.

#### **Step 4: Participatory forest inventory and planning**

##### **Step 4 needs to achieve the following main outputs:**

- *Maps of forests status quo with forestlands to be allocated, scale: 1/10.000*
- *Maps of forest and forestlands to be allocated to households, household group.*
- *Estimates of various silvicultural norms for each forest condition: main tree species, density, reserves.*
- *Mapping of schemes and simple plans for agriculture & forestry production on allocated forestlands.*

This step mainly applies different methods for inventory, survey, simply forest planning in the field in combination with the participation of local inhabitants.

**Participants:** comprising the working group (forestry technical cadres) and key farmers who are divided into work groups of 4-5 each.

**Duration, location:** To be carried out in forests, on forestlands. Duration for implement various tools takes about 5-7 days.

**Content and ways of proceeding:** Assign various groups to perform technical tools to do the inventory on forest conditions, area statistics, mark boundaries for each allottee, silvicultural characteristic of forests, including:

- Tool 12 – Drawing boundaries and measuring forest area and conditions:** Different types of forests, their conditions are surveyed and drawn on map of the status quo of forestlands to be allocated. This is the basis for mapping forestlands to be allocated to each household, household group, community, which show full forest conditions at the time of allocation for management. This tool needs to be combined with the outputs of Tool 4 – community-based forest classification – to

name the condition, types of forests in 2 ways: by technical terms and by common names. This step should produce a map of forest conditions within the allocated area in the scale of 1/10.000 and the area of various forest conditions within the allocated forestlands.

**- Tool 13 – Drawing boundaries and measuring area of forestlands allocated to households, household groups or community:** Basing on the outputs of the tool 10 - Drawing diagram of allocated forestlands by households, household groups, community and the map of forest status quo - proceed with the inventory, drawing boundaries on the spot in order to have a map of forestlands to be allocated to households, household groups, or community. The result of this step will be a general map for forestland allocation of the scale 1/10.000 showing boundaries of forestlands for allottees and smaller ones of 1/5.000 – 1/2.000 for each household, household groups, community. These maps also show different forest conditions, areas; for this is the basis for bringing the map into the red books (former red books did not show forest conditions when they were allocated to households, household groups, community), and the foundation for supervision of allocated resources, as well as application of the Decision 178 when dividing up specific interests from each forest condition.

**- Tool 14 – Estimates of silvicultural norms for each forest condition:** This tool helps define silvicultural characteristics of each forest condition at time of allocation, as the basis for supervision of resources management and partition of interests for the allottees. Each forest state needs to reckon up names of primary tree species (Vietnamese names and ethnic names), density, diameter, average height, and standing volume per hectare. Synthesize each forest condition allocated to household groups, villages.

**- Tool 15 – Planning map and forestland use plan:** Develop a planning map with scale 1/10.000 and elaborate a simple plan for business organization of the allocated forestlands.

## **Step 5: Unification of basic points on forestland allocation with community – Second village meeting**

**Step 5 should achieve the following outputs:**

- All information, outputs in steps 3 and 4 comprise various assessments of resources management, mode of allocation and management of forestlands are notified to all households and discussed widely for modification and unification among the community.
- Unification of registration for forestlands
- Elaboration of a plan for organizing communities into management of allocated forest resources.

To obtain this result, a meeting for the whole village for the second time should be conducted. This is an important meeting for the community to decide on and unify solutions for forestland allocation.

- Participants: As in the first meeting.
- Location, duration: In the village where forestland allocation will take place, for 1 day.
- Ways of organizing, facilitating the meeting:



- Discuss, agree in advance with the village leadership on location, duration, content, participants and the meeting president.
- All outputs of Steps 3 and 4 (PRA and participatory forest planning survey) are summarized on A0-sized paper by separate content.
- The working group members are to guide key farmers the ways of presenting the results.
- The working group should prepare the agenda, arrange presentation and discussion contents logically, and should have facilitation skills so that everybody can take part actively in discussions, and idea expressions.
- Content and results of the second village meeting:
  - Facilitate the key farmers to present each group of results and joint discussion among the community to collect ideas. The following important contents need verifying and unification within the village.
    - Information with regard to social economic conditions, management of natural resources, village organizations from PRA outputs is reported for modification or supplementation.
    - Unify the allocation modality. If the allocation is made to household groups then use the card tool to arrange households into groups and determine various criteria for group partition together with the community.
    - Unify again the diagram of location of forestlands to be allocated to households, household groups, and community.
    - Unify the forestland planning and the forestland use plan.
  - After agreeing basic points in forestland allocation, diffuse the application form for forestland and inform households, household groups, and community, of the instruction No. 1 for filling out the application form.
  - Discuss about the organizational plan for forest management within the community: From outputs of the Venn diagram on organization, discuss to establish a village forest management board.
  - All results of meetings, feedbacks should be recorded for correction by means of minutes with the signatures of representatives of the commune, the village, and the working group.

## **Step 6: Finalization of the file & forestland allocation plan**

### ***Step 6 should achieve the following outputs:***

- *Forest allocation plan is completed.*
- *Relevant maps: forests status quo, general forestland allocation map, and allocation maps for households, household groups, map of forestland use planning.*
- *Elaborate forestland allocation covenant*

The working group is to offer advice and support to the community to develop documents involved forestland allocation for approval. These documents are:

1. *Forestland allocation plan:* Present the ground, aims, scale, modality, effect of forestland allocation at the locality. Results from the Steps 3, 4 and 5 are

synthesized to elaborate the plan. (See instruction 2: Draft of the fundamentals of the forestland allocation plan)

2. *Various types of maps*: Comprising 4 types of maps to be completed. Basing on the outputs of Step 4 with various tools 12, 13 and 15, finalize the following maps:
  - Map of forest status quo of the forestland to be allocated, scale 1/10.000
  - Partitions of forestland allocation map for households or household groups
  - Map of forestland use planning, scale 1/10.000
3. *Covenant*: Elaborate covenants for forestland allocation in accordance with instruction no. 3. The covenant should be made at village level with participation of villagers

## **Step 7: Assessment of forestland allocation plan**

***Step 7 should achieve the following outputs:***

- *Forestland allocation plan is assessed.*
- *The plan and relevant documents are corrected, modified, finalized for approval.*

Organize meeting, workshop at province level to ratify and approve the plan.

*Participants*: Representatives of household groups, villages, cadastral cadres of various levels, forest enterprises relevant to forestlands to be allocated, representatives from rural development branches and departments, leaders of communes, districts, Department for Science & Technology, Department for Natural Resources and Environment, Forest Guards at various levels, district Agriculture Extension; finance, planning and investment agencies.

*Preparation*: The working group prepares all documents relevant to forestland allocation outputs of Step 6 and sends the summarized plan to all participants a week before the meeting takes place.

*Principles for forestland allocation assessment*:

- Having the participation of the allottees that agree with and are well-aware of the forestland allocation.
- Conforming to legal procedures and the forestland allocation policies of the Government and local authorities.
- Before the assessment meeting, there should be an evaluation on the spot to collect the opinions of the forestland allottees.

*Assessment content*:

- The council listens to the report of the working group, then assesses the plan, as well as the results of the field evaluation.
- Assess the plan that complies with the forestland allocation principles: Conformity with legal procedures, plans and tradition, with the participation and decision of local inhabitants.
- Ensure the following requirements are met:
  - Equitableness during allocation in terms of scale and location for different allottees.

- The allocation modality is suitable with local conditions.
- The plan is feasible, effective and sustainable.
- The assessment council takes the minute of the assessment meeting and points out things to be modified, supplemented and finalized before it is submitted for approval. *Submission for approval:* After the assessment, the working group has to finalize the following documents before they are submitted to the People's Committees (district, province) for approval.
- A report on forestland allocation plan enclosed with maps of status quo and forestland allocation.
- The minute of the assessment meeting
- A statement requesting ratification for the submitted plan.

After that the Province People's Committee will promulgate a decision to approve the forestland allocation plan..

In case the forest area prior to the allocation is under the management of another unit like forest enterprise, it is necessary to reclaim the land from that unit and transfer it to the local administration. The working group sends the document to the Department for Natural Resource and Environment to proceed with the reclamation and conversion procedures, comprising:

- A forestland allocation plan enclosed with a map of status quo, a map of forestland allocation.
- The assessment minute
- An official statement of the unit currently managing the forestland proposes the handing over to local authorities.
- A statement of the district People's Committee agrees on receiving the land to allocate it to the inhabitants as planned.

The Department for Natural Resources and Environment is to handle the reclamation, hand-over procedures, and ask the province People's Committee for a decision on withdrawing the land and allotting it the locality.

## **Step 8: Issuance of forestland use certificates and hand-over on the field**

***Step 8 should achieve the following outputs:***

- *Various procedures relating to the issuance of forestland use certificates are completed.*
- *District People's Committee prepares a decision to allocate the forestlands.*
- *Proceed with the issuance of red books and hand-over on the field with local inhabitants.*

This step is carried out by the cadastral agency and district, commune PCs, comprising:

- Have the households, household groups, community draw up registration application for forestland use right in accordance with Instruction 4.
- Organize partition of forestlands on the field. The working group prepares boards with names of forest owners and lot numbers and together with cadastral staff and

allottees to verify and post them in the right plot then proceed with the hand-over on the spot.

- Cadastral staff finalize the files, certificates for forestland use right, paying attention to the copied maps of the red books and make sure that they show clearly the conditions of allocated forests because this is the basis for further supervision and division of interests in accordance with the Decision 178.

- The district People's Committee makes a decision to allocate forestland to the land users in accordance with Instruction 5. Issue certificate for forestland use right to each allottee.

### ***Some regulations relating to forestland allocation record:***

- Maps attached to forestland allocation records are copied from forestry map in the following scales. Each of the copied maps has to show clearly the area, borders of different forest conditions.

Certificate of forestland use right (Red book):

- In the case of allocation to household group: Each red book has names of all members of the group and is made into sufficient copies for everyone in the group.

- In the case of allocation to village: Each village has only one book with the name of the village on it.

## **Step 9: Periodic monitoring and evaluation**

### ***Step 9 should achieve the following outputs:***

- *The management and use process after forestland allocation of local inhabitants are supported by various functional agencies and supervised regularly.*

- *Lessons learnt from forestland allocation, forestry business performed by local inhabitants are summarized and evaluated periodically to serve the expansion and improvement of relevant policies.*

At the end of the Step, the forests and forestlands have already been allocated and the land use right issued to proper allottees. In reality, the forest management and business doing mode carried out by local inhabitants is rather new. Therefore, technical support as well as supervision of functional agencies at various levels is needed. Also, in order for the forestland allocation process to obtain better results, it is necessary to have practical evaluation in order to modify, propose improved policies for recognizing the forestland use right of different allottees such as households, household groups, community; policies for dividing up interests from forests among forest managers as well as administrative procedures in investment, business, forest product consumption.

### **Supervise and support local inhabitants in forest management after allocation**

The supervision task should be carried out regularly in accordance with the function and assignment of various branches at commune and district levels.

*Participants:* CPCs, village forest management board, commune forest management board, FPU, ACO and AES, of which CPC takes the leading role.

*Content and ways of proceeding:* The stakeholders carry out the following content of supervision and support on the field together with different allottees:

- The issue of forest management and protection after allocation, support the allottees with regard to legal procedures during the process of handling violations, enforcement of the law on forest protection and development.
- To see if the organized forest/forestland business doing complied with the objective set forth, then provide technical & technological support, and integrate various rural development programs into forest development.

A quarterly report should be forwarded to the district, commune PCs on post-allocation situation; for unexpected happenings there should be a report with proposed solutions.

### **Evaluation of the effect of forestland allocation to local inhabitants**

The process of forestland allocation is implemented on a long term basis in the orientation of carrying out social forestry, attracting the participation of and resources from rural inhabitants in the course of forest protection and development, contributing to stable production and sustainable development in the rural. Therefore, practical evaluation will be the basis for further development of policies, other land use planning and rural development programs.

*Periodic evaluation:* During this stage, there should be an annual evaluation of this task in order to draw experience as well as proper solutions to fine-tune the process.

*Participants in evaluation:* The evaluation needs to have the participation of local inhabitants and relevant braches and departments from commune, district and province levels.

*Method of evaluation:* The evaluation should be conducted with the participation of local inhabitants to propose better solutions for future use. The annual evaluation report is forwarded to various managerial levels of commune, district and province.

#### ***Content to be evaluated:***

- Appropriate forestland allocation formality? By households, household groups, or community?
- Capacity building, responsibilities of allottees and development of community's traditional resource management?
- The effect of forestland allocation to local inhabitants in terms of the following aspects:
  - Forest management and protection before and after the allocation
  - The role of forestlands and forests in household economy development?
  - Types of techniques, technologies applied in making business out of forests?
  - Social stabilization and development?
  - Contribution to environmental protection such as improved forest quality, degree of vegetation cover, soil & water source protection.
- Problems emerged through the implementation of policies involved forestland allocation and interest division among allottees. Any administrative procedures that need reforming, supplementing.

## **PART IV: GUIDANCE ON APPROACH METHODS, TECHNIQUES**

*This part guides in details the application of different sets of tools:*

### **PRA tools:**

- Tool 1: Summary history of the village
- Tool 2: Wealth ranking
- Tool 3: Graph of changes in land use, forest use over time
- Tool 4: Community-based forest classification
- Tool 5: Drawing outline of land, forest use status quo
- Tool 6: Transect
- Tool 7: Matrix of non-timber products
- Tool 8: Venn organizational diagram
- Tool 9: Opinion poll for the mode of allocating forestlands to households or household groups (clans) or community
- Tool 10: Drawing sketch of allocated forestlands by households, household groups, community
- Tool 11: Drawing diagram of forestland use scheme

### **Technical tools used in participatory forest planning inventory :**

- Tool 12: Drawing boundaries and measuring forest areas and conditions
- Tool 13: Drawing boundaries and measuring area of forestlands allocated to households, household groups or community
- Tool 14: Estimates of silvicultural norms for each forest condition
- Tool 15: Planning map and forestland use plan

#### **4.1 PRA tools in forestland allocation**

PRA stands for Participatory Rural Appraisal, and comprises a series of approaches and methods to encourage, implicate rural inhabitants to take part, share, discuss about life, rural conditions so that they can elaborate and implement plans.

During the process of implementing various PRA tools the facilitator needs to carry out interviewing dialogue, which is called semi-structured interview. It means that it is pre-oriented a half of the subject, the aim to be achieved, the remaining half is open for the collection and analysis of information with the aid of various tools. Hence, semi-structured interview is an art aimed at promoting real and qualitative participation of the people.

Semi-structured interview is a skill frequently used in PRA process. It is noted that communicative skill and attitude are very important in interviews. Facilitators doing such interviews need to abide by the following 10 main principles:

- Form a group and unify task assignments within the group.
- Use a questionnaire or guidance for interview.
- Be always clear-headed and respectful towards all participants.
- Use various visualized methods (tables, charts, graphs, diagrams ...) to intensify ability of participation and dialogue.
- Listen attentively and learn.
- Invent open questions, using 5-Ws and 1-H (Who? What? Why? Where? When? How?).
- Examine the answers carefully.
- Assess the answers (fact, personal idea or rumour).
- Verify and cross-check the information
- Record the answers and observe fully.

## Tool 1: Brief history of the village

### Aims

This tool is one of the ice-breakers used to find out general things about a village. Through this tool, the villagers recognize themselves various events and their influence on the life, the production, the use of human resource ... in the past, from there they can put forward future plans that are suitable with their locality.

In forestland allocation, people often look for main milestones that are related to the subject of resource management in order to:

- Learn more about their community's development history, basis changes in their material and spiritual lives.
- Learn about the causes that changed the role of community in resources management.

### Preparation

- Form a group of farmers from 3 – 5. They are the people who have lived in the village for many years, and they have profound knowledge about their locality.
- Location: At a place the farmers choose and feel convenient.
- Materials: chalk, large-sized paper, pens, and other needed materials.

### Proceeding

- Explain clearly the meaning, purpose of the tool.
- Instruct the frame for describe the summary history of the village on the ground and suggest them implement.
- The farmers enumerate on their own each event, exchange, discuss, analyze and appraise in order to bring out advantages, difficulties and causes of each main event.
- Conduct interviews or request for verification of necessary points and take notes.
- Together with the farmers, transfer the results onto a large-sized paper (with notes of supplementary opinions from discussions)

**Output:** A frame of the village's summary history

#### *Frame for describing the village's summary history*

Year	Summarized events relating to village organization and resource management
1954	
1965	
1975...	
2002	



## **Tool 2: Wealth ranking**

### **Aims**

Classification of household is a PRA tool used to appraise, determine exactly the economic situation of households within a community.

Classification of household economy in forestland allocation aims at:

- Discovering the status quo of life, production of households, and the degree of dependence on forest resources.
- Developing norms for household economy classification from the understanding and judgment of the villagers. This is the basis for considering production scale, especially for specifying exactly hungry families in order to form the priority group to receive support within the community in forestland allocation.

Unlike the classification method that bases on criteria of the Government, this tool does not impose such criteria, but bases on the understanding, practical observation between one person and another among the community. The inhabitants can use many paper slips for classification based on the standards they invented on their own.

### **Preparation**

- Prepare a set of paper slips with names of all resident householders in the village.
- Select a number of households in the village for interviews. About 10% of the households are invited to participate. The interviewees must know clearly the economic situation of all households in the village, and know how to read and write.

### **Proceeding**

- Interview one by one.
- Suggest each farmer use paper slips to classify households into economic groups. Let them do the classification themselves by comparing the slips with names of householders written on them, and put them into different groups. The number of economic groups is not set, usually varying from 3 to 5. In case there are few households who have just immigrated or there are some households unknown to the person doing the classification due to lack of contact, they can be overlooked. While the farmers are doing the classification, PRA cadres should not suggest anything, they only can explain how to do the classification if necessary.
- When the farmers finish the classification, if the total slips of a group are  $\geq 40\%$ , they should be requested to re-examine that group to split it into 2 smaller ones.
- Re-write names of householders by groups.
- Interview to determine classification criteria. The following are often used by farmers in classifications:
  - o House (solid, tinne-roof, thatched-roof, momentary, ...)
  - o Living conveniences (bed, wardrobe, furniture, TV, ...)
  - o Vehicles, machines (ox cart, tractor, sprinkler, motorbike, ...)
  - o Scale of production (area of rice fields, upland fields, trees of high value, ...)

- Quantity of domestic animal (buffalo, cow, pig, fowl, ...)
- Quantity and quality of labor
- Number of hungry months per year

- Collect all samples for calculation and classification.

### Outputs

- Table – Household economy classification
- Table – classification criteria for each group of household economy.

### Way of calculating points for household economy classification

- Put in the points of each household according to the interviewee's classification
- Calculate the mean points for each household.
- Calculate the differential between economy groups and classify household economy.

*For example: 4 farmers were interviewed for household economy classification, and finally they classified each household as follow:*

ID	Full name of householder	Farmers participating in the classification			
		A (4 categories)	B (3 categories)	C (4 categories)	D (5 categories)
1	Ng. Văn Chúc	I	I	I	I
2	Lê văn Hồng	II	II	II	II
3	Đặng Văn Thanh	I	I	I	I
4	Ng. Thị Tú	II	II	II	II
5	Lê Văn Ba	III	III	II	III
6	Ng. Văn Đông	I	III	II	III
7	Đào Thị Hà	II	II	I	II
8	Ng. Thị Xuân	IV	III	III	IV
9	Đinh Bá Tánh	IV	III	IV	V
10	Lý Văn Quang	III	II	III	III

### Method of calculating points using point scale of 100

No. of group	Differential points between groups	I	II	III	IV	V
3	$100:3 = 33$	100	67	33		
4	$100:4 = 25$	100	75	50	25	
5	$100:5 = 20$	100	80	60	40	20

### Calculation of points and classification of household economy

ID	Full name of householder	Farmers participating in the classification					General classification
		A (4 Cat.)	B (3 cat.)	C (4 cat.)	D (5 cat.)	Mean point	
1	Ng. Văn Chúc	100	100	100	100	100	I
2	Lê văn Hồng	75	67	75	80	74	II
3	Đặng Văn Thanh	100	100	100	100	100	I

ID	Full name of householder	Farmers participating in the classification					
		A (4 Cat.)	B (3 cat.)	C (4 cat.)	D (5 cat.)	Mean point	General classification
4	Ng. Thị Tú	75	67	75	80	74	II
5	Lê Văn Ba	50	33	50	60	48	IV
6	Ng. Văn Đông	100	33	50	60	61	III
7	Đào Thị Hà	75	67	75	80	74	II
8	Ng. Thị Xuân	25	33	50	40	37	IV
9	Đinh Bá Tánh	25	33	50	20	32	IV
10	Lý Văn Quang	50	67	75	60	63	III

The differential point(s) between groups will be:  $= \frac{TB_{\max} - TB_{\min}}{\text{No. of group}}$ . Number of household

economy groups is taken by the majority

In this example, we divided into 4 groups: the differential point(s) = ( 100 - 32 ) / 4 = 17

Calculation of the point gap of different groups:

- Group I: households having points between : 100 - 83
- Group II : households having points between : 82 - 66
- Group III : households having points between: 65 - 49
- Group IV : households having points between: 48 - 32

*Synthetic table of criteria for classification of household economy made by farmers  
(Example)*

Household group I	Household group II	Household group III	Household group IV
<ul style="list-style-type: none"> <li>- Possession of brick house, motorbike, TV, sprinkler.</li> <li>- Leased irrigation</li> <li>- Coffee garden 5-6 ha, under harvest, cattle, being a trader, husking machine, tractor</li> <li>- Having hired worker(s) on a continuing basis</li> </ul>	<ul style="list-style-type: none"> <li>- Possession of house on stilts, sofa, cassette, cart</li> <li>- Enough fertilizers, hire daily wage worker(s)</li> <li>- Coffee garden &gt; 1 ha under harvest.</li> <li>- Cattle, pig 1-2 heads</li> </ul>	<ul style="list-style-type: none"> <li>- Possession of tin-roofed house with plank walls, fairly enough food to eat</li> <li>- Exploit timber, stable secondary work, cassette player &amp; power saw.</li> <li>- Coffee garden &gt; 5 acres under harvest cattle = 1 head</li> </ul>	<ul style="list-style-type: none"> <li>- Possession of thatched house with earth floor, spare furniture</li> <li>- Work as hired laborer.</li> <li>- Work main on rain-fed rice fields (area is larger than that of coffee)</li> <li>- Average 2 acres of coffee under harvest/family</li> </ul>

### **Tool 3: Graph of changes in land use, forest use over time**

#### **Aims**

This is a tool to find out about the process of land/forest use.

- Together with the farmers acknowledge the process of land/forest use of the village and its impact on the cultural and economic life.
- Being the basis for participatory land use planning.

#### **Preparation**

- Materials such as large size papers, color papers, chalk, color makers. Can also use other materials like cobbles, small sticks, grains ... all will be used for evaluation.
- Form a group of 5 - 7 key farmers who have lived in the village for many years, and they have profound knowledge about the social life and production of their village. .
- Location: A place convenient for discussions and observation

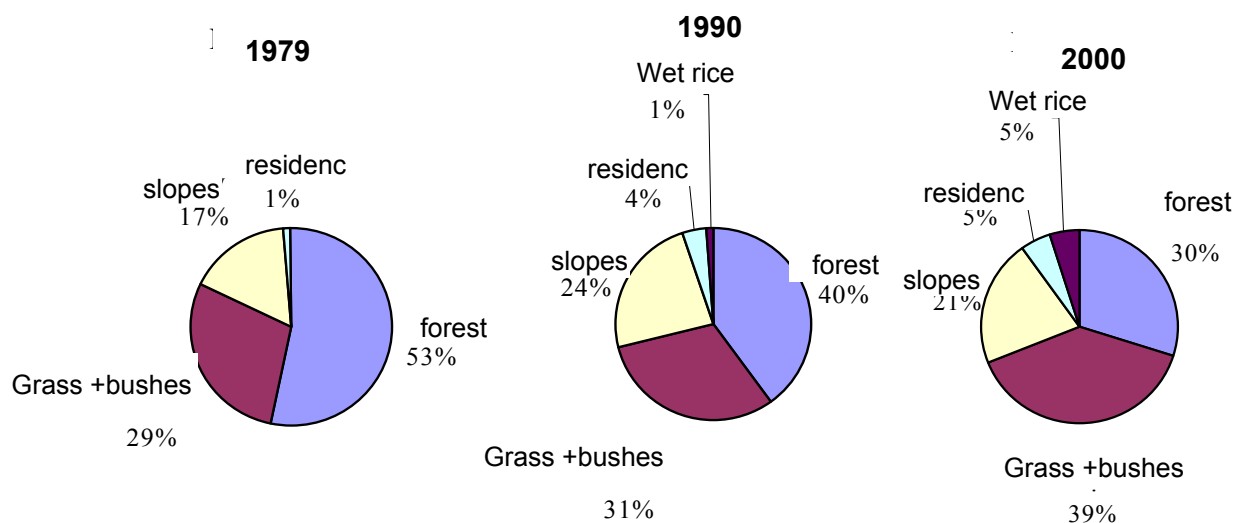
#### **Proceeding**

- Explain clear the purpose, meaning of the tool to farmers who take part in the discussion. Guide them ways of describing changes in land, forest resources over time, on a drying yard or on papers.
- Facilitate the farmers to discuss for choosing the type of chart to describe changes in land, forest use over time. Round or column charts can be used.
- Discuss to find out existing problems, causing factors and propose solutions. .
- Take notes all opinions of the farmers.
- Re-present the chart on Ao paper

#### **Outputs**

- Land/forest use chart with milestones
- Problems/ Causes/ Proposed relevant solutions

### An example of a diagram of changes in land/forest use over time



*Note: The percentage of different types of land is relative*

### Analysis of problems of land use change

Problem	Cause	Proposal

## Tool 4: Community-based forest classification

### Aims

The forest classification system based on inventory is unknown to farmers, while the allottees need to know which type of forest they will receive, degree of richness, how many years they have to rear, what they are used for?... Therefore, there should be a table of forest classification produced by the farmers to compare with the technical one so that the farmers can manage their forestlands afterwards. The aims of this tool are:

- Local inhabitants are able to recognize different types of forests present in their area.
- Local inhabitants put forth the classification criteria: name call of each type, criteria (indicator plant, soil, degree of richness, size ...) and orientation for use.
- Compare they way of classifying forests with technical classification for management of forests after allocation.

### Proceeding

- Prepare large sized papers and pens.
- Form a group of 5 - 7 key farmers comprising those who have a profound knowledge about forest resources.
- Go into the forests to observe different types of forests.
- Flexible interviews to define the name of each type of forest. Ways of classifying forests? Forest status quo? The value of each type of forest toward the life of community?
- Set up a table of forest classification based on the community and compare each type with various forest conditions using forest inventory techniques.

**Output:** Availability of 1 table of forest & forestland classification based on the inhabitants and compared with forest conditions based on technical criteria.

ID	Name of type of forest (ethnic name, Vietnamese name)	Classification criteria (tree species, degree of richness, size, density, regenerated, non-timber products,...)	Value of use in community	Compare to forest condition system
1				
2				
3				

## Tool 5: Drawing outline of land, forest use status quo

### Aims

Drawing outline of land use plays an important role in considering forestland use planning. Through the drawing, the overall picture of the land status quo, the use process are recognized; and more suitable use of land in the future can be discussed with local people.

- Local inhabitants re-draw their land use status quo.
- Create opportunities for local inhabitants to participate in discussions about problems in using land.
- As the basis for forestland use planning after allocation..

### Preparation

- Make preparation of large sized papers, chalk, pens and other needed materials.
- Form a group of 5 - 7 key farmers, comprising those who understand about the area where villagers earn their living.
- Site selection for diagram drawing should be in a high place for easy observation of the general view of the land of the village.

### Proceeding

- Explain clearly the purpose, meaning of the sketch drawing of the land use status quo.
- Facilitate the farmers to exchange ideas, discuss and sketch on the ground or papers, starting from terrain easy to recognize like pathways, streams, rivers, hills, mountains, village location.... with details down to each type of soil, forest..
- Transfer the outlined diagram on large-sized paper, color it, and write symbols for different types of land, forest within the village scale.
- Discuss problems, causes and solutions for each type of land, forest.

### Output

- Sketch of land, forest use status quo of the village.
- Identified problems/causes / proposed solutions to each type of land, resource.
- Basing on solutions drawn through discussions, continue with the sketch of forestland use planning.



*An example of a sketch of forestland use status quo*

## **Tool 6: Transect walk**

### **Aims**

This tool serves to help direct discussions with farmers on the spot to assess the status quo and forest resource potentials of the village. Transect made through different types of terrain will provide the assessment with supplemental information about potentials of land and forest within the village. From there various solutions to forest management and business doing can be made.

### **Preparation**

- Tools: maps, compass, camera, paper, pens.
- Form a group of 3- 5 key farmers, comprising those who understand well about the area.
- Discuss the sketch with key farmers to determine the directions of the transect walk through different forms of terrain, cultivation, forest conditions within the village.

### **Proceeding**

- Explain clearly the purpose of the transect walk, request the farmers to lead the way and be ready for discussions.
- When coming to each specific place the delegation should stop to discuss. The PRA cadre draws an outline of the terrain, frontal profile and particular traits of that area. Create conditions for the farmers to discuss with each other and conduct interviews. If necessary, the whole delegation surveys, measures or takes specimen. Discussions and interviews should focus on the following content:
  - Natural features: soil, sources of water, history of land use,...
  - Current status of forestlands.
  - Organizational and managerial situation.
  - Difficulties encountered.
  - Opportunities and solutions.
- After completing 2 - 3 transects, results are collected, unified to put out a general profile for the entire village.

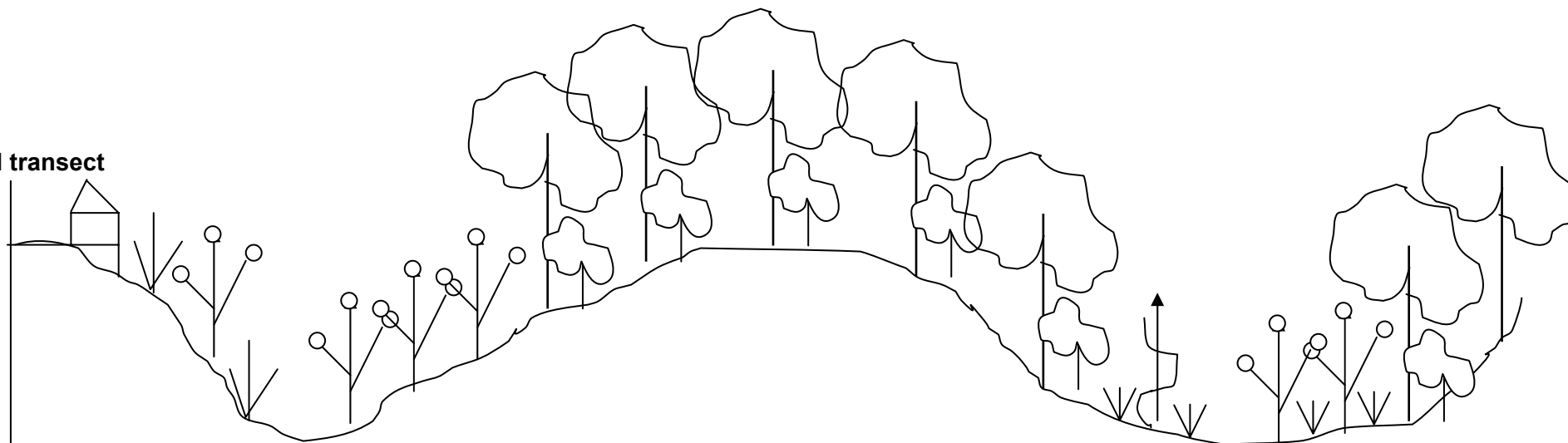
In this tool, PRA cadre should combine many techniques such as: flexible interviewing, observing, positive listening, note taking and synthesizing, ... to facilitate discussions, analysis, assessment, and proposals of solutions to forest management and business.

**Output:** A cut profile with information collected shall comprise 2 main parts:

- Description of the surface status quo with altitude demonstrating general images of different farming practices, forest conditions, land use, domestic animals, plants.
- The lower part describes correlatively natural conditions, farming practices, domestic animals, plants, production organization, difficulties, opportunities and solutions.



A typical transect



Norm	National route	Land tenure + home garden	Đak Kó Stream	Coffee garden	Natural forest (forestland allocation)	Encroached rice field	Đak R'láp Stream	Encroached hill field	Natural forest	
Soil		Red brown		Red brown				Red brown		
Water		Dug well		Stream	Natural source	Stream		Stream		
Fauna - flora		+ Flora: Coffee. Pepper, cashew +Fauna: poultry, pig ...		Coffee, banana, cassava, taro	+ Wild trees (chestnut, Litsea elongata Hook. F., canna, Syzygium zeylanicum (L.) Dc., Dipterocarpus kerrii King, Lagerstoemia ...) + Small wild animals (squirrel, monkey, wild fowl, wild pig ...)	+ Rice, pepper, beans		Coffee, rice, peanut	Old upland fields are encroached by people coming from other provinces	Similar to natural forests
Economic Social		+ Source of foods for daily diets + Increased income		Future source of income	+ Manage, protect allocated forests. + Gather firewood, other products,... + Collect wood for housing.	Old upland fields are encroached by people coming from other provinces				
Gender		Both men and women do		Men + Women	+ Female : Gather firewood, bamboo shoots, wild vegetables, mushroom ... + Male : Gather wood, hunt wild animals					
Problems		+ Poor coffee + No red books + Lack of capital. +Lack of machines, production means		+ Lack of know-haws. + Lack of capital	+ Still suffer illegal encroachment by outsiders + Unaware of influencing techniques					
Opportunities		+Self-subsistence food/foodstuffs + Availability of labor		+ Near streams + Labor is available and hard-working	+ Forests already allocated to household groups + Forests still have lots of big timbers. + Inhabitants are responsible .					
Proposals	+ Access to loans for production + Access to technical training.	+Capital borrowing. + Support thru technical training	+ Supplementary allocation of bamboo forests + Technical support for long-term forest protection and development + Coordinate with local authorities and relevant agencies in forest protection.			+Similar to previous section. +Continual forestland allocation				

## **Tool 7: Matrix of potentials of non-timber products**

### **Aims**

To discover the potentiality of forest products towards the community's life, production and culture.

Besides the shared benefits from exploitation of wood from allocated forests, the farmers also collect non-timber products. Therefore, it is necessary to study, find out from the farmers in order to:

- Define and assess the potential non-timber products that can be collected from each type of forest.
- Calculate the income from non-timber products of the allottees.

### **Preparation**

- Large sized papers, pen and other materials such as pebbles,...
- Form groups of 3 -5 farmers each who are knowledgeable about forests.

### **Proceeding**

- PRA cadre helps farmers enumerate, classify various non-timber products and assess, give points basic on the utility of each product.
- Facilitate farmer groups set up the matrix and give points (scale of 10)
- Suggest check and compare
- Interview about problems/causes/proposals

### **Output**

- A matrix of non-timber products for each forest condition. Total points of each product will tell its potential high or low among existing forest resources. Total points of each utility will reflect how much the need of community for the non-timber product is as well as its priority.
- Problems/causes/proposals for each group of products.

### An example of a matrix of non-timber products

Utility	Type of product																	Total
	Bamb oo	thatch	Rattan	Tree bark	Leaf	fruit	tuber	Veget al-able	Bamb oo shoot	Mush- room	Honey	Fish	Frog	Turtle	Python snake	Bird	Others	
For food	0	0	3	0	2	1	2	4	5	5	2	5	3	3	2	3	2	<b>42</b>
For sale	0	4	5	4	0	0	0	0	6	0	2	6	0	2	2	2	2	<b>35</b>
Housing	7	6	7	0	0	0	0	0	0	0	0	0	0	0	0	0	0	<b>20</b>
Medicine	0	2	0	2	2	1	0	0	0	0	1	0	0	0	1	1	1	<b>11</b>
Tools, utensil	10	3	4	0	0	0	0	0	0	0	0	0	0	0	0	0	0	<b>17</b>
<b>Total</b>	<b>17</b>	<b>15</b>	<b>19</b>	<b>6</b>	<b>4</b>	<b>2</b>	<b>2</b>	<b>4</b>	<b>11</b>	<b>5</b>	<b>5</b>	<b>11</b>	<b>3</b>	<b>5</b>	<b>5</b>	<b>6</b>	<b>5</b>	<b>126</b>

Problems	Causes	Proposals

## **Tool 8: Venn organizational diagram**

### **Aims**

Analyze organization and construct a diagram of the relations of various organizations; and at the same time, determine the significance and different levels of influence of existing local organizations on natural resources management and village administration.

Look for difficulties, problems and proposal with regard to managerial organization.

### **Preparation**

- Prepare large sized papers, color papers, chalk, pens, paper-knife, scissor and other needed materials.
- Form a group of 5 - 7 people comprising representatives from various organizations, unions, strata within the village.

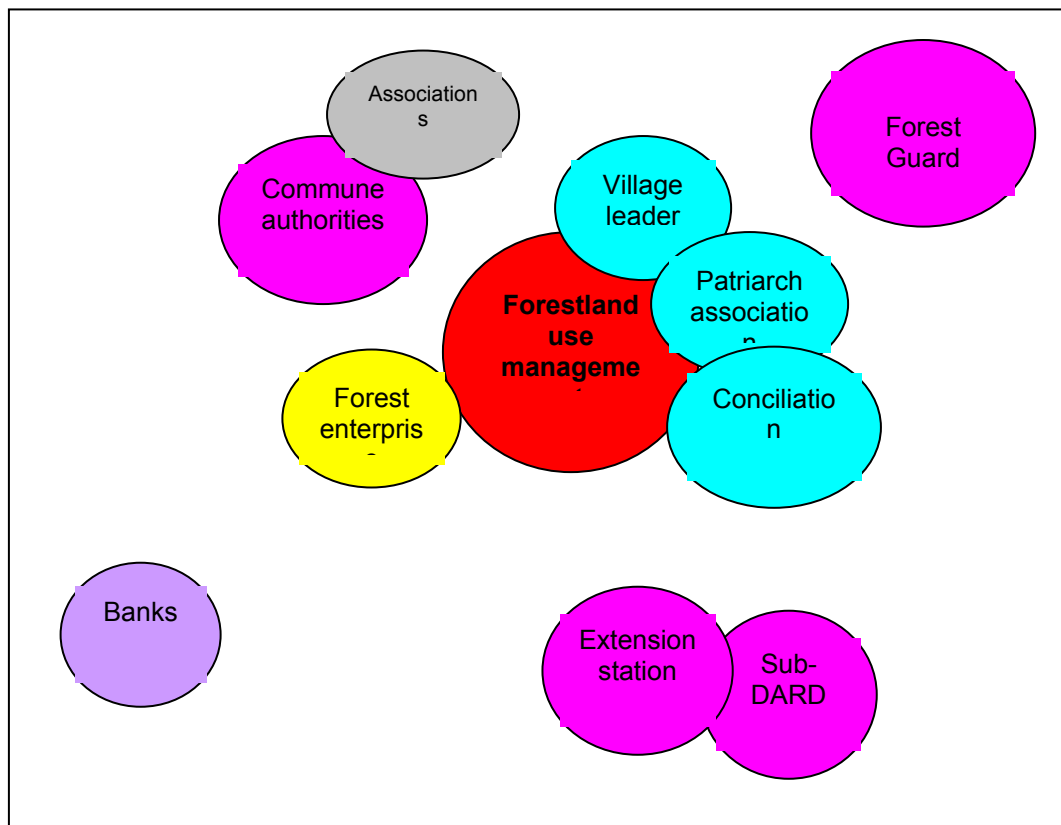
### **Proceeding**

- Explain clearly the aims of the tool.
- Facilitate the inhabitants to enumerate various organizations from village to district that have influence on the activity of managing forestland use of the farmers within the village.
- Suggest the inhabitants discuss the function, responsibilities, importance of each organization as their way of understanding.
- Assess the relations among various organizations using Venn diagram:
  - o Cut paper into circles of different size.
  - o Determine the importance of various organizations: Use comparison method to determine and write names of various organizations in small or big circles. The more important an organization is the bigger the circle is with its name in it. Reserve the biggest circle to write the domain of interest (Management of the use of forestlands).
  - o Define the levels of influence and relations between organizations: Place the biggest circle in the center, ask the farmers to arrange others. Organizations having much influence on the subject are placed near or overlapped the circle in the center; those with little influence are placed further from it. Those having close relations are placed near or partly overlapped one another.
- During the process of producing the diagram, make questions to verify and define: Problems/Causes/Proposals with regard to resource management.

### **Output**

- Venn diagram organizational relations
- Results of the analysis of the situation of forest management in the village.
- Problems, causes and proposed solutions for forest management development.

**Example: Venn diagram about organizations involved in forestland management**



## **Tool 9: Opinion poll for the mode of allocating forestlands to households or household groups (clans) or community.**

### **Aims**

*The question: Will forestlands be allocated to households, or household groups/ clans or community? And Why?*

This depends on specific conditions of each locality, community; on existing traditional social structure and the association in the use of lands, or resources. Therefore, we should not impose any form on a specific community. To do this well, it is necessary to conduct studies, surveys and collect opinions from local inhabitants, and create opportunities for the community to discuss and select the modality that best suits them.

The tool to be used is the questionnaire to find out the needs for forestlands and the likes of the local inhabitants about the form of receiving forestlands.

**Preparation:** Print and make copies of enough questionnaires for all households in the village.

### **Proceeding:**

- Explain to the village leaders, patriarch, and key farmers how to fill in the questionnaires.
- Hand over the questionnaires to the village self-governing board, key farmers to distribute to each household and help them fill in the questionnaire.
- Collect and aggregate the questionnaires in order to define the general need of the village.
- Inform the whole village of the results of the opinion poll about the modality of receiving forestlands during the second village meeting and collect the unified opinion.

### **Output:**

- High unity among the community on the modality of receiving forestlands by households, household groups or village as a whole.
- If the allocation is made by households, there should be a list of each group, proposed area and location.

**QUESTIONNAIRE**  
**FOR THE MODALITY OF RECEIVING FORESTLANDS**

Village : ..... Commune: ..... District: .....

Full name of householder: ..... Race: .....

Number of heads: ..... Number of main labor: .....

Area of existing arable land .....ha. Of which:

Rice-fields: ..... ha

Upland fields: ..... ha

Area of other crops: ..... ha Name of main crop: .....

*(Mark × in the square you want)*

Do you want to receive forestland:

Yes ☐

No ☐

If yes, which formality do you prefer?:

Household ☐

Household group ☐

Village as a whole ☐

If you want to receive forestland by household group, which households are in the group?:

1/ ..... 2/ .....

3/ ..... 4/ .....

5/ ..... 6/ .....

7/ ..... 8/ .....

9/ ..... 10/ .....

Reason for forming this group: .....

.....

Proposed location: (near to which mountain, hill?): .....

Proposed area to be allocated: .....

**Signature of householder**

## Tool 10: Drawing sketch of allocated forestlands by households, household groups, community.

### Aims

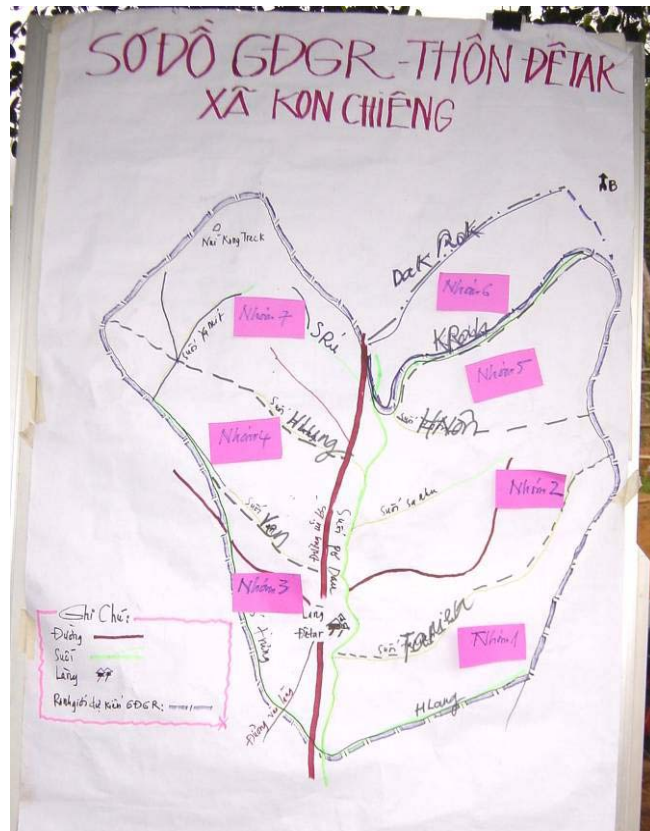
Participatory designing of areas, precincts for allocation to households, household group, or community, meets the need, aspiration of local inhabitants with regard to forestland management.

### Preparation

- Sketch of the village's forestland use status quo.
- Questionnaire for modality of receiving forestlands
- Group of key farmers: Representatives from the self-governing board, village patriarch, representatives of various household groups

### Proceeding:

- Facilitate key farmers to hold talks, discussions to divide up boundaries of allocated forestlands to each household, household group, on the sketch.
- Attention should be paid to the following when facilitating this process:
  - o Take full advantage of natural elements like streams, rivers, roads as boundaries.
  - o The partition of boundaries also needs to be corresponding with the position of the cultivated lands of the household, household group, and each clan's traditional land management.....
- The outline of forest partition is presented in the second village meeting for unanimous approval.



*A sketch of forestland allocation to household group*

**Output:** Availability of an outline of forest partition for households or household groups, community that shows all boundaries and geographical situation. This outline will be transferred to the finally designed forestland allocation map.



## **Tool 11: Drawing diagram, of forestland use scheme**

### **Aims**

To bring into play indigenous ecological knowledge of the native villagers in forest management and business doing, and at the same time, serve to define silvicultural solutions for each condition of forestland, and plans suitable with the ability and capacity of local inhabitants.

### **Preparation**

- Sketch of forestland status quo
- Paper, color pens, chalk,....
- Form a group of 5-7 key farmers including some women (about 1/4 to 1/3) who are prestigious, well-informed about production.

### **Proceeding**

- Explain clearly to everyone that the aim of this tool is to determine solutions for organizing allocated forests and forestlands into business activities, and elaborating plans for implementation.
- PRA should facilitate everyone to participate actively in discussions and use chalk, pens to draw on the sketch boundaries they want to mark such as: area for agricultural cultivation, hill/mountain fields, agro forestry, aforestation, rearing, and exploitation.
- PRA cadre should always make questions and take notes of all farmers' opinions.
- After having the sketch of planned technical solutions for each object, facilitate discussions to determine areas of priority, i.e. draw a time schedule...
- Re-draw on large-sized paper to be used as forestland use planning diagram comprising 2 main contents for each type of land: technical solution, duration, volume/area to be carried out.
- The planning diagram needs to be unified during the second village meeting.

**Output:** An agro forestry production planning diagram shows all: plant & domestic animal structure, volume/area, expected duration. This is the basis to be transferred to the forestland use planning map.

## **4.2 Technical tools used in participatory forest planning inventory**

### **Tool 12: Drawing boundaries and measuring forest areas and conditions.**

#### **Aims**

A map of forest conditions is to be drawn with measured figures of areas based on the conditions of allocated forestlands. This map is to serve the development of an allocation map for each allottee, showing complete forest conditions at time of allocation.

#### **Preparation**

- Topographic map of the area where forestland allocation will take place.
- Outline of the forestland use status quo drawn together with local farmers (Tool 5).
- Results from farmers' forest classification (Tool 4) with names of forest types called by local inhabitants.
- Tools used for inventory & measurement: Hand-held compass, GPS (if any), tape measure (30m – 50m), binocular, pencils, rulers, quadrant,...
- Form a group of 3 - 5 key farmers who are familiar with local forest area.

#### **Proceeding**

- Select the method of measuring and drawing forest conditions: Depending on the availability of tools, terrain, area, select one of the following method for measuring and drawing:
  - Use aerial photos or satellite images for combined interpretation (or use of already interpreted photos – if available) and supplement drawing on the spot with compass or GPS.
  - Delineate according to opposite slope, measure and draw supplementary boundaries by compass or GPS.
  - Delineate according to system line. Line distance is dependent on the area, normally with the scale of 1.000 ha. The line distance varies from 200 – 300m, more than 1.000 ha. The line distance can be 500 m.
- Inheriting the diagram of status quo drawn by the inhabitants and technical delineation on the field, sketch boundaries of forest conditions for each plot, compartment on a topographic map of 1/10.000. Both ways of calling names of forest conditions can be used: technical names and local name in the community's own language. For example: IIIA3 – 'Rõng gij' (old forest)
- If the allocated forestland is large, it should be divided up into small plots and name them for easy management and individual allocation. It is advisable to use place (geographic) names of rivers, streams, mountains, hills, or historical elements,
- Area measurement: Area of condition is measured and counted by piece in each compartment, precinct using one of the following methods:
  - By square net on maps
  - By map measuring device on maps
  - By digital area measuring device on maps

- Use map management software like MapInfo or Arc View: Digitalize conditions and calculate area on computers.

**Output:**

- A map of forest conditions in the allocated forestlands, scale 1/10.000, showing names of conditions (by technical terms and common names), colors and area at

the center of a forest plot. For example: 
$$\frac{III A1 - \text{Rung gia}}{55.5}$$

- Reckon up the area by forest conditions for each compartment, precinct and total up for the whole allocated forestlands.

## **Tool 13: Drawing boundaries and measuring area of forestlands allocated to households, household groups or community.**

### **Aims**

Produce maps of delineated areas to be allocated to each household, household group or community, comprising a general map of 1/10.000 and maps for each household, household group of 1/5.000 – 1/2.000. These maps should show forest conditions because this is the foundation for producing allocation maps in red books.

### **Preparation**

- Maps of forest conditions (Tool 12)
- Topographic map
- Sketches of forestland allocation delineated by the community (Tool 10)
- Various tools for inventory & measurement: Hand-held compass, GPS (if any), tape measure 30m – 50m, binoculars, pencils, rulers, quadrant,....
- Form groups of farmers representing for various households, or representing for household groups if group allocation is carried out.

### **Proceeding**

- Compare the results of forestland partition of the farmers on the sketch (Tool 10) with field observation and topographic map. Use geographic places, names recognized by farmers to verify.
- Proceed with delineation around the boundaries that separate areas between households or household groups by hand-held compass, compass with tripod or GPS. If the boundaries are streams, rivers, on-the-spot verification is enough.
- Display boundaries between households, household groups on the map of forest condition, scale 1/10.000.
- Enlarge each piece of allocation map for each household, using scale 1/5.000 – 1/2.000 with current forest conditions.
- Area measurement: Area of forest conditions in each plot, forest compartment to be allocated to households, household groups, and community will be measured and enumerated using similar method as presented in the Tool 12.

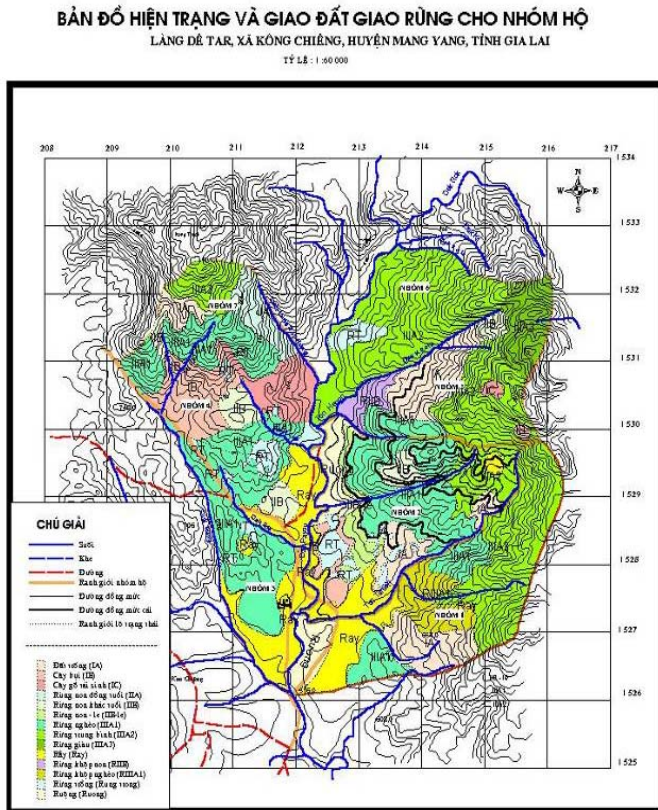
### **Output:**

- A map (scale: 1/10.000) of the forestland area to be allocated with boundaries between households, household groups, forest conditions, area of each household, household group; color by households, household groups. In the center, write name of household/household group, area. For example:

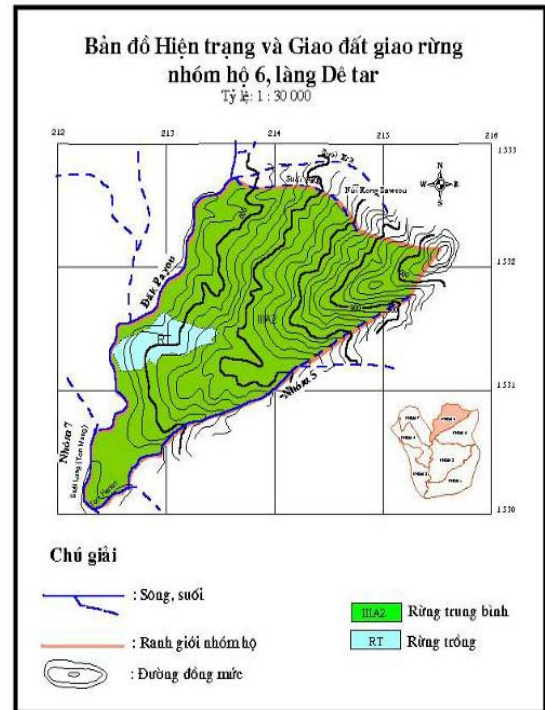
Householdgroup1  
25.5

- Forestland allocation maps for each household or household group vary from 1/5.000 – 1/2.000, showing boundaries, forest conditions, area of household or household group; in the center write name of household /household group, forest conditions, area. For example: HouseholdGroup2 – Forest Average  
15.5

- Total up allocation areas for each household, household group with details of forest conditions. Synthesize the entire allocation area.



E.g.: Map of forestland allocation area



E.g.: Map of forestland allocation for household group

## **Tool 14: Estimates of silvicultural norms for each forest condition.**

### **Aims**

To estimate primary silvicultural norms for each forest condition at time of allocation and use them as basis for further supervision, management of resources and division of interests for allottees.

### **Preparation**

- Maps of forest conditions and forestland allocation to households, household groups (outputs of tools 12 and 13).
- Tools for inventory & survey: Hand-held compass, GPS (if any), tape measure 30m – 50m, diameter, height measure, binoculars, pencils, ruler, quadrant, tables for standard square survey...
- Form a group of farmers representing for various households, or for each household group if group allocation is carried out.

### **Proceeding**

- Choose a survey method: maybe typical or systematic.
- Use standard square survey of 500m<sup>2</sup>, maybe rectangular or round shape.
- For each condition, draw specimen from 3 – 6 standard squares for 100 ha. If the typical method is selected, then standard squares are placed at locations which represent the forest condition being surveyed. If the systematic method is selected, equidistant parallel lines should be designed with a line distance and standard square on line at approx. 200 - 300m.
- In the standard square, inquire of the name of species (both in Vietnamese and ethnic languages), diameter, height (measure about 3-5 representative trees: small, medium and big in each standard square)
- Synthesize standard squares by condition to calculate primary tree species, its density per hectare, diameter, average height and standing volume per hectare by each forest condition. To calculate the standing volume per hectare, we need to calculate the volume of each tree  $V = g \cdot h \cdot f_{1.3}$ ; then assemble them for the whole stand and infer hectare; with the height inferred from the diameter through correlate equation  $H/D$ ; figure number  $f_{1.3} = 0.45 - 0.50$ .
- Set up tables showing various silvicultural norms by conditions and synthesize them for each household, household group.

### **Output:**

- Statistics of silvicultural norms by forest conditions.
- Statistics of area and characteristics of forest conditions allocated to household or household group.

**Example: Statistical estimates of various silvicultural norms by forest conditions**

ID	Name of condition, symbol	Name called by community	Primary tree species (3-5)	N/ha	Dbq (cm)	Hbq (m)	M (m <sup>2</sup> /ha)
1	Sapling - IIB	Sapling forest after upland farming under 10 years	Fagaceae, Euphorbiaceae, Gratoxylon	600	12	7	50
2	Poor – IIIA1	Poor forest	Fagaceae, Canarium, Parashorea	350	15	12	80
3	Medium – IIIA2	Forest of high trees	Lagerstroemia, Xylia dolabriformis, Aglaia roburghiana	550	22	18	240
4	.....	.....	.....				

**Example: Statistics of area and characteristics of forest conditions allocated to household or household group**

ID	Name of household or household group	Forest condition	Area (ha)	Primary tree species (3-5 species)	N/ha	Dbq (cm)	Hbq (m)	M (m <sup>2</sup> /ha)	Total trees	Total standing volume (m <sup>3</sup> )
1	Household group 1	IIIA1 - Poor	100	Fagaceae, Canarium, Parashorea	350	15	12	80	35.000	8.000
		IIIA2 – Average	50	Lagerstroemia, Xylia dolabriformis, Aglaia roburghiana	550	22	18	240	27.500	12.000
	<b>Total household group 1</b>		<b>150</b>						<b>62.500</b>	<b>20.000</b>
2	Household group 2									
	<b>Total household group 2</b>									
	<b>Total by conditions</b>	IIB – Sapling								
		IIIA1 – Poor								
		IIIA2 – Average								
		IIIA3 - Rich								
	<b>General total</b>									

## **Tool 15: Planning map and forestland use plan.**

### **Aims**

Produce a planning map and simple forestland use plan.

### **Preparation**

- Maps of terrain, forest conditions of allocated forestlands.
- Sketch of forestland use planning produced by local farmers (Tool 11)
- Tools for survey & measurement: Hand-held compass, GPS (if any), tape measure 30m – 50m, binoculars, pencils, rulers, quadrant,....
- Form a group of 5 – 7 key farmers who are knowledgeable about production, forests.

### **Proceeding**

- Inheriting the sketch of forestland use planning produced by local farmers, the group conducts on-the-spot verification in order to delineate the boundaries of various areas applying different technical solutions. Use hand-held compass, or compass with a tripod or GPS for delineation.
- Verify and unify various proposals of the farmers in the field about the solution of doing forestry business.
- Total up areas applying different technical solutions at various conditions.
- Facilitate group discussions to elaborate a simple plan for using allocated forestlands

### **Output**


- A forestland use planning map of 1/10.000, showing plant & animal structure, area of each land/forest condition in each plot, compartment, and allocated area.
- A simple plan for using forestland within 5 years.



**Example: 5-year business plan for allocated forestlands**

Id	Condition of land, forest	Location	Area (ha)	Business solution	5-year plan				
					05	06	07	08	09
1	Waste lands	C- D'm Hill	120	Agroforestry: Cinnamon – Cassava	10	15	20	25	25
2	IIIA1 - Poor	Near Dak To Stream	250	Forest rearing	250	250	250	250	250
		On C- NĐ Hill	175	Enrich forest with Hopca odorata, Dipterocapeae	15	15	25	25	30
...	.....	.....	...	.....					
	<b>Total In line with business solution</b>		<b>170</b>	<b>Agroforestry: Cinnamon - Cassava</b>	<b>30</b>	<b>35</b>	<b>30</b>	<b>45</b>	<b>30</b>
			<b>500</b>	<b>Forest rearing</b>	<b>500</b>	<b>500</b>	<b>500</b>	<b>500</b>	<b>500</b>
			<b>230</b>	<b>Enrich forest with Hopca odorata, Dipterocapeae</b>	<b>40</b>	<b>40</b>	<b>50</b>	<b>50</b>	<b>50</b>
				.....					

### 4.3 Steps to prevent conflicts in forest land allocation

 <p><b>Principles for conflict assessment, prevention and resolution in the LUP/FLA process</b></p>	<p><b>Principles for conflict assessment, prevention and resolution in the LUP/FLA process</b></p> <ol style="list-style-type: none"> <li><b>1. Establishment of coordination structure</b> <ul style="list-style-type: none"> <li>➤ Steering Committee, Working Group and Commune facilitation group</li> </ul> </li> <li><b>2. Information of villagers of planned LA</b> <ul style="list-style-type: none"> <li>➤ Village heads informed at commune weekly meeting</li> <li>➤ Village heads organise village plenary meetings</li> <li>➤ Preliminary selection of villages at weekly commune meeting</li> </ul> </li> <li><b>3. Assessment of requirements of target villages</b> <ul style="list-style-type: none"> <li>➤ needs, expectations and actual forest use</li> <li>➤ Identification of interested stakeholders</li> </ul> </li> </ol>
<p><b>Principles for conflict assessment, prevention and resolution in the LUP/FLA process</b></p> <ol style="list-style-type: none"> <li><b>4. Prioritization of Land Receivers by village &amp; commune representatives and review of forest areas to be allocated</b> <ul style="list-style-type: none"> <li>➤ Commune meeting with village representatives</li> <li>➤ How would stakeholders be affected by LA ?</li> <li>➤ Formulation of / agreement on criteria</li> </ul> </li> <li><b>5. Review of forest areas for allocation</b> <ul style="list-style-type: none"> <li>➤ Commune meeting with village representatives</li> <li>➤ Propose adjusted allocation area and shares by village / stakeholder</li> <li>➤ To be presented to District SC for comment/approval</li> </ul> </li> </ol>	<p><b>Principles for conflict assessment, prevention and resolution in the LUP/FLA process</b></p> <ol style="list-style-type: none"> <li><b>6. Participation of Future Forest Receivers in LUP/LA-process</b> <ul style="list-style-type: none"> <li>➤ Preparation of sketch maps on present land use and forest blocks under village management</li> <li>➤ Participatory identification of present land-use together with all stakeholders (field surveys)</li> <li>➤ Selection of allocation type</li> <li>➤ Criteria for land distribution to receivers if allocation to hh's or user group</li> <li>➤ Plan for distribution of forest land if allocation to hh's or user group</li> <li>➤ Information/feed-back to/from all villagers in final village meeting</li> </ul> </li> </ol>

## **PART V: INSTRUCTIONS FOR DRAFTING VARIOUS TEXTS**

**Comprises instructions for drafting various texts, documents:**

- **Instructions 1: Sample application form for forestland**
- **Instructions 2: Draft outline for forestland allocation**
- **Instructions 3: Sample indenture for forestland allocation**
- **Instructions 4: Sample application form for forestland use right**
- **Instructions 5: Sample Decision of district People's Committee on forestland allocation**

## Instructions 1: Sample application form for forestland

REPUBLIC SOCIALIST OF VIETNAM

Independence – Freedom - Happiness

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## APPLICATION FOR FORESTLAND

To : The District People's Committee of .....

### 1. Allottee:

1.1. Full name of householder, individual:.....

- Date of birth: .....

- Occupation:.....

- Identification card No.: ..... issued on ..... in.....

- Full name of spouse of householder:.....

- Number of members in the household: .....

- Number of main labor in the household: .....

- Permanent residence: .....

.....

1.2. Name of organization: .....

- Established under the Decision No. ...., dated... /... / ....., by: .....

- Permanent residence: .....

.....

### 2. Requests for forestland as follow:

2.1. Total requested area: .....ha, at the following locations:

- Plot: ...., forest conditions: ....., compartment .... block: ..., purpose of use: .....

Geographic name: .....

- Plot: ...., forest conditions: ....., compartment .... block: ..., purpose of use: .....

Geographic name: .....

2.2. Requested form of allocation:

- Allocation for stable, long-term use: ☐

- On a Lease: ☐

(Mark × in the square you want)

We kindly request the People's Committees of commune and district allocate forestland to us for management and use. After receiving the land, we will execute fully all regulations of the State.

*Day      month      year*

**Confirmed by Commune PC of**

**Confirmed by Village Chief**

*Day      month      year*

**Applicant's signature**

## **Instructions 2: Draft outline for forestland allocation**

### **First Part: GENERAL INTRODUCTION**

- The necessity of forestland allocation within the area.
- Basis for project preparation.
- Brief description of proceeding method, approach used for project preparation.
- General introduction of the project

### **Second Part: NATURAL, SOCIAL ECONOMIC CONDITIONS OF THE FORESTLAND ALLOCATION AREA**

#### **2.1. Natural conditions**

2.1.1. Geographic position, administrative zone

2.1.2. Terrain, soil.

2.1.3. Climate, hydrography.

2.1.4. Resources and the process of management and use of forests and forestlands

This part describes in details the findings of the survey, assessment of forest resources and forestlands, including:

- The process of using forestland: Use the outputs of the tools 3, 4, 5, 6 to present the results of the assessment of the process as well as proposals relevant to forestland allocation.
- Potentials of non-timber products based on experiences of the community. Use the tool 7's output to analyze, evaluate, especially its role toward the community receiving forestlands.
- Total up the area of various forest conditions by zone, location. Output of tool 12.
- Various silvicultural norms for each forest condition. Output of tool 14.

#### **2.2. Social economic conditions**

2.2.1. Village, community development history. Use the output from tool 1.

2.2.2. Population, labor, ethnic components and the distribution of population. Output from collected secondary data.

2.2.3. Classification of household economy and the issue of forestland allocation. Use the output from Tool 2, assessment of economic development, needs for forestland resource for household, community economic development. The concern to poor and hungry households in forestland allocation.

2.2.4. Community organization and traditional forest management. Use the output from Venn diagram – Tool 8.

2.2.5. Production mechanism:

2.2.6. Village land use mechanism: comprising area, productivity, and yield. Assessment of current land use status quo. Use secondary data collected through tools 3, 5 and 6.

2.2.7. Animal breeding

2.2.8. Other professions

2.2.9. Infrastructure: Use secondary data

2.2.10. Credit, markets serving production. Use secondary data and relevant PRA findings.

### Third Part: **FORESTLAND ALLOCATION PLAN**

3.1. Objective of the forestland allocation

- General, long-term objectives
- Specific objectives

3.2. Dimension, location, duration of forestland allocation.

- Dimension, location, duration of forestland allocation: Present area, area by forest conditions, allocation location.
- Allocation time

3.3. Forestland allocation modality:

Presentation of the overall outputs that had been unified with the village.

- Which object is subject to forestland allocation: household or household group (clan) or community in the village. Explain the reason for choosing this modality and its logic, effect and sustainability.
- Forestland partition (area, forest conditions) to each object. Use outputs from Tools 9, 10 and present the results of the partition in a table using tool 13.

### Fourth Part: **IMPLEMENTING SOLUTIONS**

#### **4.1. Benefit sharing policy**

4.1.1. Interests: Extract important points in the Decree 163 and the Decision 178, including

- Interests with regard to land, comprising forestland use right.
- Right to enjoy benefits from timber and non-timber products.
- Other interests.

4.1.2. Obligations

- Organizing forest protection
- Organizing forestry business
- Execute obligations toward the government such as tax, protection of forest environment.

#### **4.2. Planning and simple plan for management and use of allocated forestlands**

4.2.1. Planning and plan for management and use of forestlands in the village. Use outputs from tools 11 and 15, presenting the 5-year forestland use plan.

4.2.2. Technical measures applied to each type of land, forest. Basing on norms to orient and propose specific solutions as brought about by the community through the tool 11.

#### **4.3. Investment and forestry business solution**

4.3.1. Anticipated investment capital (total investment capital, various sources of capital from local inhabitants, from rural development programs, plans of commune, district....)

4.3.2. Measures for organizing business

#### **4.4. Organizing forest management at community**

Present directions for organizing community for management, protection and business of the allocated forestland areas, such as:

- Community forest management board: Composition, responsibilities, interests
- Statutes for community forest protection and management
- Partition of benefits from forestlands among household groups, community.

#### **4.5. Effect of the plan**

Analyze and forecast effect of the plan on 3 aspects: economic, social and environmental.

### **Fifth Part: CONCLUSION AND PETITION**

**Annexes** Comprise all table, charts, figures, relevant texts for plan preparation.



### Instructions 3: Preparation of Indenture for forestland allocation

DISTRICT PC OF .....  
No.:...../KU-UB

REPUBLIC SOCIALIST OF VIETNAM  
Independence – Freedom – Happiness  
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## INDENTURE

**Allocation of forestland to household, individual, household group, community for management, use on a stable, long-term basis for forestry purposes.**

- Basing on Land Law 2003
- Basing on the Law on forest protection and development 2004
- Basing on Decree No.163/1999/CP dated 16/11/1999 of the Government, Decision No. 661/1999/QĐ -TTg dated 29/7/1998 of the Prime Minister.
- Basing on the Decision No.245/1998/QĐ-TTg dated 21/12/1998 of the Prime Minister on implementing State managerial responsibilities of various levels for forests and forestlands.
- Basing on the Decision No.178/2001/QĐ-TTg dated 12/11/2001 of the Prime Minister on the interests, obligations of households, individuals who are allocated, leased, contracted to forests and forestlands.
- Basing on the forestland allocation plan of the People's Committee of ..... commune, approved by the People's Committee of .....district, ratified by the Decision No...../QĐ-UB on the ..... day of ...month.....year.....
- Basing on the Decision No...../...../QĐ-UB dated....month....year.... of the People's committee of .....district, on the allocation of forestland to (household, individual, household group, community) for management, use on a stable, long-term basis for forestry purposes.

On this day of ...../...../..... at the office of the People's committee of .....district,

This indenture is established between:

#### **Representative of the allotter: (referred to hereafter as Party A)**

- Mr. (Ms):.....
- Mr. (Ms):.....
- Mr. (Ms):.....
- Mr. (Ms):.....

#### **Representative of the allottee: (referred to hereafter as Party B)**

- Mr. (Ms):.....
- Mr. (Ms):.....
- Mr. (Ms):.....

- Mr. (Ms):.....

In the village of .....commune.....district..... Đăklăk province.

Both parties undertake to implement the forestland allocation pursuant to the following terms:

**Article 1:** The Party A assigns to the Party B an area of forestland for management, use on a stable, long-term basis for forestry purposes at lot number .....sheet number .....of map ..... (Plot.....,compartement....., sector..... under the jurisdiction of commune....., district....., Đăklăk province with specific figures as follow:

Total natural area:.....ha.

- Total natural area having forests.....ha, comprising:
  - Land with natural forests:.....ha, of which:
    - Rich forest:..... ha, no. of trees: ..... reserves:.....m<sup>3</sup>.
    - Medium forest: ..... ha, no. of trees: .....reserves: .....m<sup>3</sup>
    - Poor forest:.....ha, no. of trees: ..... reserves:.....m<sup>3</sup>.
    - Sapling forest: ..... ha, no. of trees: ..... reserves: .....m<sup>3</sup>
    - Bamboo forest:.....ha.
    - Wood and bamboo mixed forest:.....ha, no. of trees: .....reserves..... m<sup>3</sup>.
  - Land with forest plantation: .....ha, species: ..... age: .....reserves.....m<sup>3</sup>.
- Land without forest:.....ha.

(Enclosed with a map of 1/10.000).

**Article 2:** The allocation duration is 50 years, starting from the signing date of this indenture.

**Article 3:** Responsibilities and authority of the Party A

**1. Responsibilities:**

- Establish clearly the area, status quo of forest and forestland on map and on the field.
- Supply concrete guidance to households (individuals, community...) to invest, do business on the allocated forestland in accordance with the state stipulations
- Ensure implementation of various State's promulgated regimes and policies on forestland allocation..
- Compensate the Party B according to regulations in case the State revokes the allocated forestland area for other purposes.
- Deal strictly with violators of forest law with the aim of helping the Party B to feel secure in forest protection and management, construction and development on the allocated forestland.
- Settle well the sharing of timber products between the State and the allottee when forests are exploited in accordance to current stipulations.

## **2. Authority:**

- Has the right to inspect, supervise the process of implementing forest protection and forestry business of the Party B.
- Has the right to request the Party B correct any shortcoming, divergence in forest protection, management, and use of the allocated forestland.
- Suspends or cancel the indenture when the Party B violates seriously the stipulated terms and handle such violations of the Party B according to current law.

## **Article 4:** Interests and obligations of the Party B

**1. Interests:** are stipulated specifically from Article 4 to Article 9 in the Decision No. 178 dated 12/11/2001 of the Prime Minister, depending on particular type, condition of the forest(s) at the time of allocation, to apply correlative interests. For example:

- Households, individuals are allocated to special-use forest(s) for management, protection, and construction should apply the Article 4 of the Decision 178.
- Households, individuals are allocated to production forests planted by state budget should apply the Article 8 of the Decision 178.
- Households, individuals are allocated to natural forests and land without forest under production for management, protection, construction and afforestation, should apply Articles 7 and 9 of the Decision 178.

Other interests:

- Subject to issuance of forestland use certificate.
- Subject to state protection of legitimate interests regarding forests and forestlands.
- Subject to issuance of forest protection & management certificate as a legal basis to carry out the assignment.
- When the state reclaims the forests and forestlands for other purposes, the land owner and user is compensated according to the state stipulations at the time of reclamation. .
- Subject to support from local authorities, legal institutions, technical agencies for forest management, protection, afforestation, enrichment....
- Able to associate with other economic sectors to mobilize investment capital for the construction and development of forests.
- Get priority for renewal of indenture when expired.

## **2. Obligations:**

Household, individuals who are allocated forestlands have the following responsibilities:

- Manage, protect, and use the allocated forest and forestland for the right purpose, boundaries as written in the Decision for forestland allocation by a state agency of authority.
- Preserve and develop the allocated forests. The allottee has to apply measures of reforestation within one year after exploitation.
- Execute fully financial obligations as stipulated by law.

**Article 5:** The indenture is extended, not extended or canceled in the following cases:

1. *The Indenture is extended:* When the Party B executes rightly the content of this indenture and has the need for continual management and use of the forestland and with the approval of the Party A.
2. *The indenture is not extended:* The Party B violates the item 2 of Article 4 of this indenture.
3. *Adjustment, supplement to the indenture:* In case either the Party A or the Party B wants to adjust, supplement the content of the indenture, that party has to notify the other party one month in advance.
4. *Cancellation of the indenture:*
  - When the State takes back the land for other purposes.
  - The land user is dead but there is no legal heir.
  - The indenture cannot be implemented due to impossibilities (unexpected and insurmountable circumstances although every necessary possible measure had been applied).

**Article 6:** The duration of this indenture is 50 years. If either party violates the indenture, that party, depending on the degree of violation, shall be subject to administrative punishment or criminal responsibilities according to current law.

This indenture is made into 4 copies: the Party A keeps 1 copy, the party B keeps 1 copy, the commune People's Committee of ..... keeps 1 copy and the Forest Guard Branch of ..... keeps 1 copy.

**THE ALLOTTER**

**THE ALLOTTEE**

**FOR DISTRICT PC OF.....**

#### Instructions 4: Sample application form for forestland use right

REPUBLIC SOCIALIST OF VIETNAM  
Independence – Freedom - Happiness  
-----

## APPLICATION FOR FORESTLAND USE RIGHT

To: The District People's Committee of .....

### 1. Land user<sup>1</sup>:

- Full name of householder (individual): .....
- Date of birth (of the householder, individual): .....
- ID Card No.: ..... issued on ...../...../..... in .....
- Family record book No: .....
- Full name of spouse (of the householder, individual): .....
- Permanent residence: .....

### 2. Register for the land use right of the total .....hectare(s) of forestland.

(In words: ..... )

The plots of forestland are enumerated in the following table:

Sector	Compartment	Plot	Area (ha)	Condition of forest, land	Purpose of use	Duration of use <sup>2</sup>	Source of use of forestland

### 3. We would like to have a common (separate) land use certificate for the following plots:

- Each plot a certificate for the plots numbered: .....
- A common certificate for the plots numbered: .....

### 4. Enclosed to this application are the following documents:

.....

We guarantee that the content contained in this application is true and ensure serious implementation of relevant land policy and law.

\_\_\_\_\_

<sup>1</sup> Land user who is household needs to write: Household of Mr. (or Ms.) and full name of the householder. Household only declares the area under the use of the whole household. The plots under personal use of a number of household members have to use separate applications.

<sup>2</sup> The duration of use column is determined by the PC of commune (ward, town)

Day ..... month ..... year .....

**Land user**

*(Sign, write full name)*

**SUGGESTION OF THE PEOPLE'S COMMITTEE OF**

(Commune, ward, town)

.....  
.....

Day ..... month ..... year .....

FOR / PEOPLE'S COMMITTEE OF .....

**CHAIRMAN**

*(Sign & stamp)*

**OPINION OF THE COMPETENT CADASTRAL AGENCY**

.....  
.....

Day ..... month ..... year .....

HEAD OF CADASTRAL AGENCY

*(Sign & stamp)*

## Instructions 5: Sample Decision of district People's Committee on forestland allocation

PEOPLE'S COMMITTEE OF.....

No. .... /QĐ-UB

REPUBLIC SOCIALIST OF VIETNAM

Independence – Freedom - Happiness

.....  
..... day. . . . month. . . . year. . . .

### DECISION OF THE DISTRICT PEOPLE'S COMMITTEE OF .....

*(Re: Allocation of forestlands to households, household groups, village community)*

### THE DISTRICT PEOPLE'S COMMITTEE

- Basing on the Law on organization of People's Councils and People's Committees ratified by the National Assembly of the Republic Socialist of Vietnam on 21/06/1994,

- Basing on the Land Law on 10/12/2003,

- Basing on the Law on forest protection and development 2004,

- Basing on the Decree no.163/1999/NĐ-CP dated 16/11/1999 of the Government on allocating, leasing forestlands to organizations, households and individuals for stable, long-term use for forestry purposes,

- Basing on the Decision No.178/2001/QĐ-TTg dated 12/11/2001 of the Prime Minister on interests, obligations of households, individuals who are allocated, leased, contracted to forests and forestlands,

- Basing on the forestland plan approved by the Province People's Committee by the Decision No. .... /QĐ-UB dated .....,

- Considering the application for forestland allocation of concerned households, household groups, village community of ..... commune ..... district ..... confirmed by the People's Committee of ..... commune,

- In pursuant to the suggestion of the Agriculture & Cadastral Sub-department in the official statement numbered . . . . . dated ..... on allocation of forestlands to households, individuals for stable, long-term management and use for forestry purposes.

### DECIDES

**Article 1:** To allocate to ..... of commune .....  
....., district ....., province ..... forestlands to stable, long-term management, use for forestry purposes according to the approved plan. .

Total area to be allocated: . . . . . ha

Comprising compartments: . . . . . sector . . . . .

And compartments: . . . . . sector . . . . .

Located in the commune of ..... district .....

Breaking down into:

- Production forests:
  - Land with natural forests: ..... ha
    - Rich forest: ..... ha
    - Medium forest: ..... ha
    - Poor forest: ..... ha
    - Sapling forest: ..... ha
    - Wood and bamboo mixed forest: ..... ha
  - Land with forest plantation: ..... ha, species: ..... age: .....
  - Land without forest. ....ha
- Protective forest:
  - Land with natural forest: ..... ha
  - Land without forest:.....ha

*(Enclosed with map and table of figures)*

**Article 2:** Duration is ..... years, starting from the date of allocation.

**Article 3:** The allottee of forestlands has to use them in the right purpose, boundaries and area, execute seriously the Law on Land, the Law on forest protection and development, and other legal, under law texts; and implement rightly the signed indenture.

**Article 4:** Messrs. Chief of the secretariat, heads of Cadastral Agencies at various levels, Chairman of People's Committee of ..... commune, concerned organizations, households, individuals, household groups, villages whose names appear in the attached list are responsible for the implementation of this decision. .

This Decision is effective starting this date of signing.

**FOR/ DISTRICT PEOPLE'S COMMITTEE OF .....**

**Chairman**

*(Sign, stamp)*

*Copies to::*

- *As Article 4 above*
- *File VP-UB*



**LIST OF HOUSEHOLDS, INDIVIDUALS, HOUSEHOLD GROUPS ENTITLED TO  
FORESTLAND ALLOCATION**

(Attached to Decision No. ....../QĐ-UB of the District People's Committee  
of.....)

**Unit: Village/Hamlet ..... commune .....**

ID	Name of user of forestland	Sector	Compartment	Lot	Area (ha.)	Condition	Geographic name	Purpose of use

*Day.....month ..... year.....*

**FOR//DISTRICT PEOPLE'S COMMITTEE OF .....**

**Chairman**

*(Sign, stamp)*