

# **GUIDELINES**

## **PATICIPATORY FOREST AND LAND**

### **ALLOCATION METHODS**

(Applied in the area of Dak Nông Province)



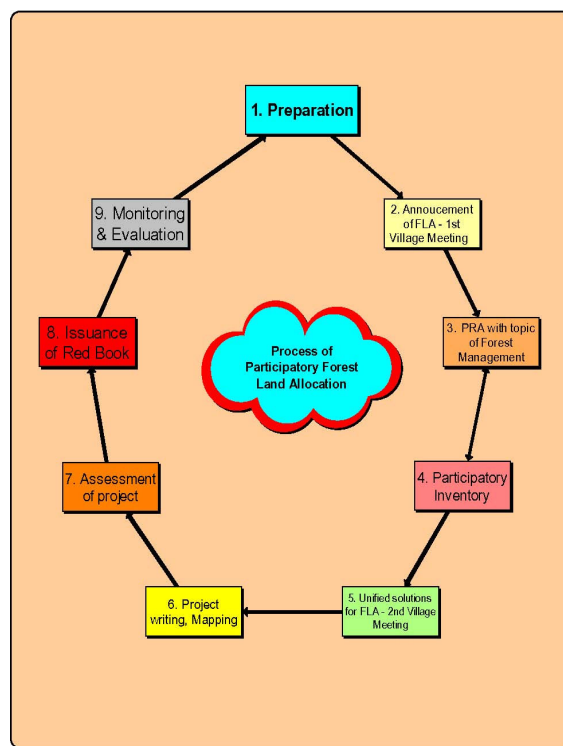
**October 2006**

**DAK NÔNG PEOPLE'S COMMITTEE**  
**Department of Agriculture and Rural Development**

---

**Participatory forest and land  
allocation method**

**Guidelines for facilitators**



**October 10th 2006**

## **Abbreviations**

PPC: Provincial People's Committee  
DPC: District People's Committee  
CPC: Commune People's Committee  
VFMB: Village Forest Management Board  
FPU: Forest Protection Unit  
ES: District Economic Section  
AES: Agriculture Extension Station  
FPDR: Forest Protection and Development Regulations  
RES: Resource and Environment Section  
FE: Forest Enterprise  
FLA: Forest Land Allocation

# Table of contents

<b>Introduction.....</b>	<b>5</b>
Objectives and necessities of guidelines on methods of forest and land allocation .....	5
Legal framework and related legal documents to forests and land allocation .....	7
Principles in forest and land allocation.....	8
Objectives, target groups of the guidelines.....	10
Participatory forestland allocation process .....	11
<b>Steps and methods of forestland allocation .....</b>	<b>12</b>
Step 1: Preparation.....	12
Step 3: Participatory rural appraisal based on the theme of forest management.....	17
<i>Tool 1: Brief village history .....</i>	<i>17</i>
<i>Tool 2: Transect walk .....</i>	<i>18</i>
<i>Tool 3: Matrix of NTFP potential .....</i>	<i>20</i>
<i>Tool 4: Venn diagram on community organizational structure.....</i>	<i>21</i>
<i>Tool 5: Determination of appropriate options for FLA .....</i>	<i>23</i>
<i>Tool 6: Drawing diagrams of allocated forestlands to households, household groups and the community.....</i>	<i>26</i>
Step 4: Participatory forest inventory .....	28
<i>Tool 7: Community based forest classification.....</i>	<i>28</i>
<i>Tool 8: Mapping, blocking and calculation of forest blocks .....</i>	<i>30</i>
<i>Tool 9: Participatory forest inventory.....</i>	<i>32</i>
<i>Tool 10: Data analysis.....</i>	<i>38</i>
Tool 5: Consolidation on options for FLA – Second village meeting.....	42
Tool 6: Complete forestland allocation documents.....	44
Step 7: Evaluation on documents of FLA.....	51
Step 8: Issue of forest and land certificates .....	53
Step 9: Evaluation and Monitoring.....	54
<b>Some guidance documents .....</b>	<b>56</b>

# Introduction

## Objectives and necessities of guidelines on methods of forest and land allocation

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

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

To determine responsibilities and rights of households those are allocated land and forests, the government issued the decision 178/QĐ-TTg dated 12th November, 2001. This decision defined rights and benefit sharing on forests and forestland to each type of land, type of forest and forest conditions.

Aims of the policy are to allocate land and forest to local people for long-term forest management; people are real owners of allocated forests and land. Therefore, people should be the centre of the process of land and forest allocation or in other words, the process must be based on the demand, capacity and aspiration of local people. Forest and land allocation processes will gradually improve the capacity of communities who depend on forests for their livelihoods; forestland allocation simultaneously attracts the attention of local people in forest management.

Dak Nông has been divided from Dak Lak Province and has more than 50% area of forest coverage; many ethnic groups rely on forest resources for their livelihoods. The social economic development strategy of the province considers the both the importance and role of forested areas. Therefore, the involvement of local people and community in sustainable forest management whilst also improving their livelihoods is one of the crucial tasks of the province.

Recently, forest allocation to communities for management was confirmed in the Forest Protection and Development Law that was approved by the Parliament in late 2004.

In the Central Highlands, the government has paid much attention to forest and land allocation to ethnic minorities. The Prime Minister issued the decision number 304/2005/QĐ-TTg dated 23<sup>rd</sup> November 2005 on the pilot projects of forest and land allocation to households and communities living in the Central Highlands. In reality,

ethnic minority groups have been relying on forests for a long time; and they have a lot of experience in forest management. Recently, communities neglected forest management, as only a few communities, groups of households were allocated land and forest; this process has not been conducted systematically. When communities are not involved in forest management, forest protection and development will definitely meet many difficulties as much of land and forest area is degraded and has disappeared in many places. Ethnic communities have experience and local knowledge on forest management, and in addition live next to the forest, if they are involved in forest management enabled by the allocation process, remaining forest areas will be protected and developed by improvement of slash and burn cultivation combined with technology development in forest management to make a contribution to poverty reduction in upland areas.

Common objectives of forest and land allocation are to manage the forest sustainably and improve livelihoods of communities. Therefore, local people need to participate directly and fully in the process of forest and land allocation. They must play a vital role in the management of allocated forests. In addition, plans of land allocation must ensure equality, feasibility, effectiveness and stability.

Considering the needs of villages and requirements of the government, forest and land allocation needs to be conducted strictly and effectively; people need to understand the forest allocated, rights and responsibilities....To carry out this task, a new approach and suitable techniques in forest allocation are needed.

The official correspondence 623/LN-SDR of Forest Department/MARD has summarized steps and techniques in participatory forest allocation. However, to support technical staff carrying out their tasks successfully, the guidelines on forest and land allocation were needed.

These guidelines have been compiled based on experience and lessons learnt in the locality since the year 2000 up to now, training courses, reflection workshops and documents of MARD. These guidelines aim to instruct the methods in detail and in a simple manner to support facilitators working with communities.

## **Legal framework and related legal documents to forests and land allocation**

Forests and land allocation and the methods for this process need to be based on the legal framework and related legal documents as follows:

- The Decision No. 245/1998/QĐ-TTg dated 21/12/98 of the Prime Minister on State managerial responsibility of different echelons with regard to forests and forestlands.
- The Joint Circular between the Department of Land Survey and Ministry of Finance No. 1442/1999/TTLT-TCĐC-BTC dated 21/09/99 on the instruction of issuing red book certificates following the directive number 18/1999/CT-TTg dated 1/07/1999 of the Prime Minister.
- The Joint Circular between MARD and the Department of Land Survey No. 62/2000/TTLT/BNN-TCĐC dated 6/06/00 on the instruction of land allocation, land lease and issuing red book certificates on forestland.
- The Decision No. 178/2001/QĐ-TTg dated 12/11/01 of the Prime Minister on privileges, obligations of households, 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 03/09/03 on “Directions for implementation of the Decision No. 178/2001/QĐ-TTg dated 12/11/01 of the Prime Minister on “privileges and obligations of household and individual allottees, leaseholders and contract workers of forests and forestlands”.
- The Law on Land dated 10/12/03.
- Law on Forest Protection and Development 2004.
- The Decree 181/2004/NĐ-CP dated 29/10/04 of the Prime Minister on the implementation of the Land Law.
- The Official Correspondence No. 1268 dated 01/06/05 of MARD on the temporary instruction of steps of forest allocation and forests for contract to households in the Central Highlands.
- The Decision No. 304/2005/QĐ-TTG dated 23/11/05 of the Prime Minister on the pilots of forest allocation, forests for contract of protection to households and communities in the Central Highlands.
- The Official Letter No. 623/LN-SDR of the Department of Forest/MARD dated



05/06/06 on issuing the guidelines for forest allocation and forest for contract of protection in the Central Highlands.

- The Decree No. 23/2006/NĐ-CP dated 03/03/06 of the Prime Minister on the implementation of Forest Protection and Development Law.
- The Decision No. 186/2006/QĐ-TTg dated 14/08/06 of the Prime Minister on the forest management regulations.
- Forest protection and development planning and plans of the province.
- Planning on three types of forest of the province.

Facilitators involved in forest and land allocation processes collected these legal documents to explain to local people about some very important documents such as the Land Law, the Forest Protection and Development Law and the Decision 304 on the benefit sharing mechanism for ethnic groups.

## **Principles in forest and land allocation**

### **Forestland allocation must conform 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 be based on the land use planning and traditional land uses 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 the 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 slash and burn cultivation 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 and localities as 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 exceed the current stipulations (according to the Decree



163/1999/CP-N<sup>o</sup> the size of forestland is to be decided by the provincial 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.

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

**Forestland allocation must be carried out with the participation of the inhabitants and communities concerned.**

The forestland allocation is a profound social-minded task. Therefore, external designing subjectively done by managerial/technical staff will be less likely to be adaptable to the conditions of local inhabitants, communities, thus lacking both 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 approaches 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' traditions 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 be enhanced.

- *Guarantee of equitableness and rationality in scale, location and form of allocation*:

Allocated forestland should go through both unification and unanimity within the community, and avoid creating problems. Allottees such as households, user groups, clans and 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 area 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 in ensuring the above mentioned requirements, and at the same time this 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.

**Forest inventory methods such as mapping, blocking and measuring species must be suitable to the capacity of local people:**

Traditional forest inventory methods are difficult for local people to follow, if they do not participate or do not understand the data of forest inventory, they will not be interested in forest management. Therefore, a simple method for forest inventory in forestland allocation is needed as it will ensure two elements: People will understand their forest resources and the government can monitor the process of issuing land use right certificates. Therefore, the following principles must be abided:

- Simple and easy forest inventory methods for understanding, so the community can take part directly in any steps. Therefore, forest inventory is only done to obtain necessary information on forest resources, and the community are able to carry out forest inventory after guidance.
- It should be based on both experience and local knowledge for mapping and blocking when proposing forest management solutions
- Forest inventory methods must consider the cost effectiveness so that it can be replicated easily.

## **Objectives, target groups of the guidelines**

**Objectives of the guidelines:**

- Provide principles, methods, approaches and techniques for the forestland allocation process.
- Consolidate the procedures and sequences of forestland allocation from the beginning till local people are given land use right certificates.

**Target groups of the guidelines:**

*Decision-makers, leaders at all authority levels:* Provincial Party, Provincial People's Council, Provincial People's Committee, relevant Departments, leaders of districts, and communes who will use these guidelines to supervise, monitor and make supporting policies for FLA processes.

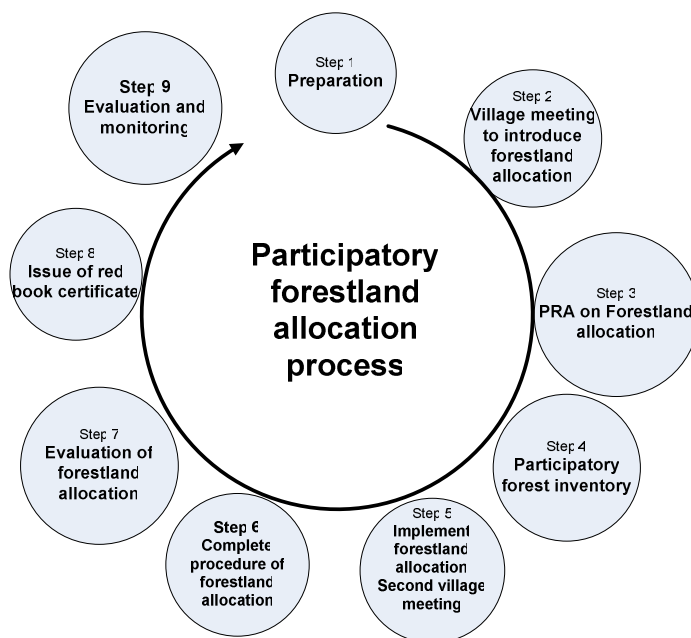
*Field staff:* Forestry officers of DARD, cadres of district Agriculture & Cadastral Offices, forest enterprises, forest guard branches and relevant participants in the process of forestland allocation.

**Range of application:**

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

## Participatory forestland allocation process

Forestland allocation process follows 9 steps



# Steps and methods of forestland allocation

## Step 1: Preparation

### Expected results of this step:

- *Organizational unity at district, commune levels to steer the process.*
- *Anticipation of the dimensions, locations based on an examination of land use planning of communes, districts 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.*

### One meeting shall be organized at the district or commune level:

- The participants should include: district authorities, commune authorities and related stakeholders in the locality
- Discussion of contents: scale, location of allocated forestland as planned, analysis of related stakeholders and action plan
- Establishment of a working group, consisting of 4-6 people decided by District People's Committee (DPC): resource and environment section (group leader) economic section, religion and ethnic group section, FPU, forest enterprises and extension stations.
- Time: Half day
- **Anticipation of dimension, location based on the land use planning of the 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 be consulted about the boundaries and traditionally-managed forests of the communities dependent on forests.

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 the commune level, forest planning for 3 types of forests of forest enterprises, companies, organisations .... and also forest areas under traditional management of various ethnic minority communities within the area. If there are not yet any planned forestland areas in the district and commune, there should be supplementary discussions and guidelines to define forestland areas to be

allocated to the inhabitants and communities.

- Anticipate 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 and forest products collection;
- In village areas 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 livelihoods.

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

The working group together with all stakeholders from the 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***

No	Description of task	Place	Time		Responsibilities	Expected results
			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 necessary first to collect and consult available documents, comprising of:

- 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:
  - o Topographic maps
  - o Maps of overall planning for social economic development of district, commune
  - o Maps of district's, commune's land use planning
  - o Maps of forest resources status quo
  - o 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

Expected results of this step:

- 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.

First village meeting:

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.



representatives of the households within the village. The meeting can be successful only with the presence of at least 2/3rds of the total households; women are encouraged to participate in the meeting.

- Participants: The working group, representatives from commune People's Committee, village self-governing board, the village patriarch, and
- 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 them 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, and ideas are expressed.
- Content and outputs of the first meeting:
  - To inform, explain clearly forestland allocation policies to people.
  - 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 of: 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, and management of the community. On an average, each village should select from 10 to 12 key farmers to work with the working group, that break down into 2-3 work groups.
  - The minutes 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 of forest management

### Expected results:

- 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 modes of forestland allocation: by households, groups of households, or village communities?
- Set up an outline for forestland allocation to households, groups of households or communities.
- Set up the oriented outline planning for allocated forestlands.

### PRA tools to be used:

Tool 1: Brief village history

Tool 2: Transect walk

Tool 3: Matrix on potential of NTFPs

Tool 4: Venn diagram on community forestry management

Tool 5: Determination of appropriate options for forestland allocation

Tool 6: Drawing forestland allocation map applied for households or communities

### Tool 1: Brief village history

#### Objective:

Related stakeholders of forestland allocation process understand the village history, the significant changes in terms of livelihoods, spiritual aspects and particularly forest resources of community.

#### Preparation

- Form a group of 5 to 7 farmers for this task. They are locals with profound knowledge of the locality;
- Place: the place is selected by the group for their convenience; and
- Material: Chalk, Ao paper, pen, others.

#### Process

- Explain clearly the meanings and purposes of the tool;

- Description of village history by villagers can be written in paper, wall or on the ground;
- Farmers themselves list all events, discuss, analyze and evaluate those events to give advantages, disadvantages and causes of main events;
- Interview or ask farmer for specification and record;
- Facilitators together with farmers write the results of discussion on Ao papers

**Time:** 2 hours

**Results:** A big paper of village history

#### The frame for description of village history

Years	Events related to village management and natural resources
1954	
1965	
1975...	
2002	

### Tool 2: Transect walk

#### Objectives:

Through the transect walk, types of topographies, different types of cultivations will be discussed in terms of land and forest potentiality, advantages and disadvantages so that solutions can be gained for forest management.

#### Preparation:

- Tool preparation: maps, compass, camera, pen and paper;
- Form a group of 3 to 5 farmers with profound knowledge of the community's area;
- Discuss with farmers on the sketch map to figure out the transect walk to include various directions so as to cover different topography, cultivation and different forest conditions.

#### Process:

- Explain the objectives of the transect walk, ask locals to lead the way and be ready for discussion.
- When the group comes to a new landscape or cultivations, stop for discussion. Facilitators draw the topography and features of this area. Create a favorable condition for locals to discuss and interview with facilitators. If necessary, the group does the survey, measure and take specimens of the area. Discussion should pay attention to the following concerns:
  - o Natural features: land, water sources, land use history;

- Current forestland use;
  - Current forest management;
  - Difficulties; and
  - Opportunities and solutions.
- After finishing 2 - 3 directions of transect walk, information are collated and summarized so that a map of the transect walk is given for the village.

In this tool, facilitators use other techniques such as: semi-structure interview, observation, active listening, record and summary ... to facilitate locals for discussion, analyzing and evaluation to propose forest management solutions.

**Time:** Half day

**Result:** A map of vertical axis with information collected as types of cultivation, type of lands, forest resources; the vertical axis consists of two main elements:

- Description of current conditions in line with the vertical axis on types of cultivation, forest conditions, land use, animal and plants.
- The other below describes natural condition, types of cultivations, animal and plants, business management, causes and solutions.



Description	Residential area + garden	Coffee plantation	Natural forests (FLA)
Land			
Water			
Animal and plants			
Economic aspects			

Problems			
Causes			
Solutions			

### Tool 3: Matrix of NTFP potential

#### Objectives:

Discover potentials of NTFP to the livelihoods, spiritual cultural aspects of the community.

Apart from benefits of timbers the community receives, local people can also harvest NTFPs. Therefore, research should be done by local people to:

- Determine and evaluate the potential of NTFPs that local people can harvest from different forest conditions
- Find out the solutions for NTFP management and development

#### Preparation:

- Ao paper, chalk, pen and others such as stone, corn, coffee beans...
- Form groups of 3 -5 farmers with a forest understandings

#### Process:



- Local people are instructed by facilitators to list and classify between timbers and NTFPs and then evaluate them by giving marks on each product
- Facilitate farmers to draw a matrix and then give mark (a 10 point system)
- Ask farmer to check and compare
- Interview farmers of problems, causes and solutions

**Time:** 2 hours

#### Results:

- Matrix of NTFPs for each forest condition. The total marks of each product indicate its potential in the current forest condition. Total marks of usage show the certain demand of community on NTFP and reasons.
- Problems/causes/solutions to each group of products.

### Matrix of ranking the potential of NTFP

Usage	NTFP				Marks
<b>Total marks</b>					

Problems	Causes	Solutions

### Tool 4: Venn diagram on community organizational structure

#### Objectives:

Analyze the organization structure and describe the diagram of interaction among organizations; simultaneously determine importance and influences of those organizations to natural resource management and village management.

Problems, difficulties and recommendations to the organizational structure in community forest management are discussed.

#### Preparation:

- Ao paper, color paper, chalk, pen
- Form a group of 5 to 7 people with representatives of social organizations in the village

#### Process:

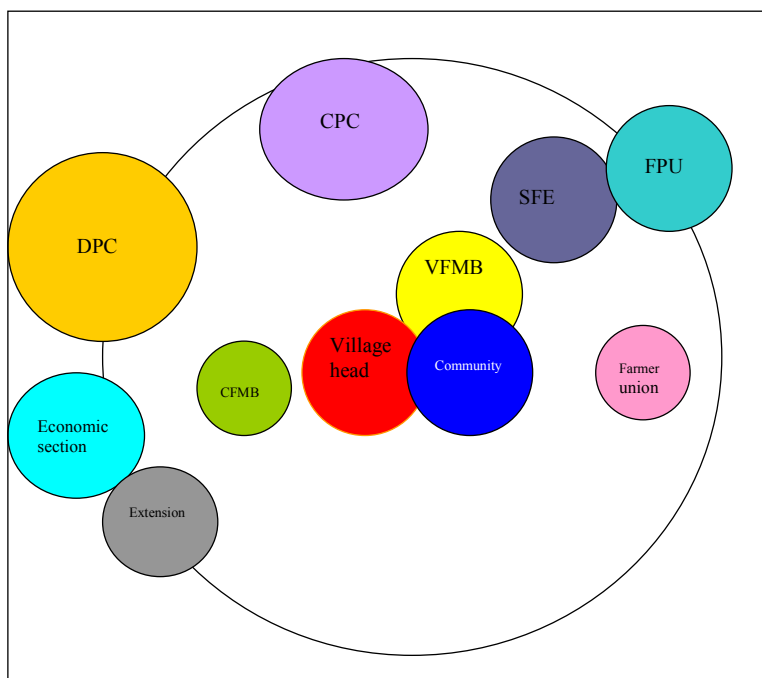
- Explain objectives of the tool
- Facilitate people listing all organizations in village, commune and district levels of those influencing forest management of the village
- Ask people to discuss accountability, responsibility and importance of those

organizations as their understanding and knowledge

- Evaluate the relationship among those organizations followed of Venn diagram:

Cut paper into small and different circles

- o Determine importance of organizations: compare those organizations to determine which one is more important than the other



and then write their names in small or big circles depending on its importance. The more important the organization is, the bigger circle the organization is written on.

- o Determine the influence and correlation among organizations: ask people to arrange positions of these circles. Organizations that in reality have more influence on the topic (forest management) are placed close to the centre point; in contrast, organizations are placed far from the centre point if they have less influence on the topic. Organizations that have interactions to each other are placed closely or are partly overlapped.
- During the process of making a Venn diagram, facilitators can ask local people to clarify problems, causes and solutions related to forest management
- Discuss the establishment of a village forest management board and its accountability

**Time:** 2 hours

### Results:

- Interactions of organizations in forest resource management are indicated
- Organizational structure of village forest management is analyzed and presented
- Problems, causes and solutions are recommended to improve the organizational structure in forest management
- Recommendations given to the establishment of VFMB and its responsibilities

Problems	Causes	Solutions



## Tool 5: Determination of appropriate options for FLA

### Objectives:

*One question is raised: Forestland will be allocated to households, groups of households or communities, what is the reason?*

This depends on specific conditions of each locality and community; it also depends on existing traditional social structure and the interactions in terms of land and resources usage. Therefore, no absolute solution should be applied for any specific community. It is necessary for facilitators to discuss with farmers the advantages and disadvantages of each option, and provide more opportunities to communities for discussion to find out the appropriate option.

*Determination of the appropriate option for FLA or which groups are allocated forestland has a significant meaning, as this will influence the long term sustainable forest management and social economic development of the community. Therefore, facilitators need to pay more attention to conduct this tool carefully and objectively; the option selected should reflect trends, aspirations and capacity of the community on forest protection and development in the locality.*

**Preparation:** Print and make enough copies of poll forms for all of households of the community

**Process:** *Analyze and discuss with community the advantages and disadvantages of each FLA option*

1. Discuss and analyze with key farmers, local authority on FLA options, advantages, disadvantages of each option

***Farmers need to be explained to clearly about the selection of an appropriate FLA option as it is very important and this will influence the long term forest management.***

When facilitating, facilitators need to pay attention to:

- Localities with fairly developed household economy often have the need to receive forestland by individual households 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 the community will create the motivation 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.

- In villages where good maintenance and management of common forests, and community forests takes place, through land management by families and clans, the villagers are encouraged to receive forestlands by household groups (family) or the community in order to bring into play the importance of folk law in resources management. This process will also build up the ability in organizing community-sized forestry production, and organizing forests into closed businesses to avoid them from being scattered.
- It is difficult to divide natural forests into small pieces for management such as making plans or obtaining harvesting procedures by households.

#### **The frame for discussion and analysis to select the appropriate FLA option**

<b>Options</b>	<b>Equality aspects when allocating forests (rich or poor forest, near and far forest, benefits)?</b>	<b>Protection aspect? Feasible for protection?</b>	<b>Feasibility of forest management and protection?</b>	<b>Monitoring aspects whether the option selected is feasible?</b>
Households				
Groups of households				
Community				

2. Based on explanation and analysis of the option selected in the community; if community is clear and agree on the option selected, FLA can be conducted. If any complaints happen, a poll referendum is needed.

- Explain and show how to fill in the poll form to village officers, villagers and village patriarch
- Poll forms are given to the village self governing board and key farmers who will deliver them to households and help them fill the forms
- Collect the forms and summarise them to know the common option of the village
- Inform on the option selected from the poll on FLA in the second village meeting

**Time:** Half day. If poll forms are given to households, they will be collected in two days.

#### **Results:**

- Community reaches the consensus on the option of FLA either to households, groups of households or the community.
- If FLA is decided to groups of households, a list of groups, area and location are also given.

**POLL FORM**  
**ON OPTIONS OF FOREST AND LAND ALLOCATION (FLA)**

---

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

Name of household: ..... Ethnic: .....

Number of people: ..... Number of labors: .....

Area of agriculture land: ..... ha. In which:

Paddy rice land: ..... ha      Garden: ..... ha

Area for other trees: ..... ha      Name of main species: .....

**Do you want to receive forests and land:**      Yes:.....      No: .....

If yes, which options do you prefer:

**Household:.....**

**Groups of households:.....**

**Community:.....**

If the option is FLA on households, can you name the households in your group:

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

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

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

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

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

**The reason to form this group:**

.....  
.....

**Location of land and forest required: (close to.):** .....

.....

**Area required:** ..... ha

Date      Month      Year

**Signature by household**

## **Tool 6: Drawing diagrams of allocated forestlands to households, household groups and the community**

### **Objectives:**

This tool helps villagers themselves negotiate and decide on the location of the forestlands allocated to each household, groups of households or the community. It is not advisable to design a ready-made map with plots of forests and allocate them subjectively to households, household groups; for in reality, the need for forestland of households and household groups is often linked 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.

Based on the results, areas of land and forest allocated to households, groups of households or the community will be designed with the participation of local people to meet their aspirations and needs of forest management.

### **Preparation:**

- Current forest map of village with the scale of 1:10.000
- GPS to check the boundary among forest blocks (map with global positioning system)
- Transparency paper (large enough to cover the map) with clips
- Color pen to write on the transparency paper and pen to draw the map
- Compass to locate map's direction
- Transparency paper with squares of 1x1 cm to calculate area
- Poll forms to determine the options for FLA
- Form a group of key farmers: representatives of the village self governing board, village patriarch and representatives of groups of households

### **Process:**

Facilitate key farmers to discuss and negotiate the designing of boundaries of FLA to individual households, groups of households on the map:

- Introduce a current forest map with the main technical features of the map and current forest status to villagers
- Ask people to locate the direction of map, the direction must face North so that villagers can easily understand what is presented in the map
- Villagers are given enough time to study the map, after which people are asked to indicate forest areas in the map
- Cover the transparency over the map and use clips to keep them together on the

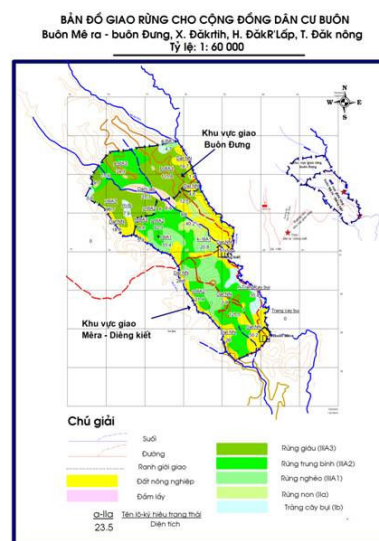


ground. Use an erasable color pen to draw roads, rivers, streams and boundaries of forest blocks. Villagers are encouraged to draw, and told that even if drawing incorrectly, they can draw again just by erasing.

- Discuss to divide boundaries of forest areas allocated to households or groups of households or the

community with the consideration of convenience for agriculture cultivation of households as conventionally managed by households, and the community. Take advantage of natural features such as rivers, streams and roads for boundaries.

- Remark: scale and areas of forest and land allocated to households must in line with the current regulations; if FLA to groups of households or the community, the total area of forests and land allocated will not be in excess of the allocated areas to one household multiplied with the number of households in the group.
- Determine boundaries of forests for the community, groups of households or households in the field with the participation of local people: use a compass to map out the way in forests. In addition, GPS can be used if available to define exact boundary points in reality.
- Measure areas of forests allocated: facilitate villagers to calculate the areas by using a transparency with squares of 1 x 1 cm. If the map has a scale of 1:10.000, one square is equal to 1 ha in reality. Write the area calculated on the map. In addition, if possible, the points defined by GPS in the field can be converted manually into the map (with the global positioning system). Use software such as Mapinfo or ArcView to digitalize the areas of forests and land in the map and calculate these areas in a computer.
- Finally, draw all lines that illustrate topography, river, roads and boundaries of forests and land allocated to each stakeholder by a permanent pen.
- This sketch map of forests and land allocated must be presented in the second village meeting to receive feedback to come to a consensus, thereby avoiding conflicts.



**Time:** Half day

**Results:** A sketch map of forests and land allocated to households, groups of households or the community with presentation of boundaries, topography.... This is the background needed to complete the map of land and forest allocation afterwards.

## Step 4: Participatory forest inventory

### Expected results:

- *Map of divided forest areas of the village*
- *Information related to forest resources of each forest block to serve FLA and forest management afterwards*

### Tools applied:

Tool 7: Community based forest classification

Tool 8: Mapping, blocking and calculation of forest blocks

Tool 9: Participatory forest inventory

Tool 10: Data analysis

## Tool 7: Community based forest classification

### Objectives:

Different types of forests, current forest conditions are classified, based on local knowledge and experience and classification criteria of the community. This enables the blocking step and its results become understandable to the community; simultaneously the results can also be used by government staff for future management and monitoring.

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 and what they can be 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 of each type, criteria (indicator plant, soil, degree of richness, size ...) and orientation for use.
- Compare the way of classifying forests with technical classification for management of forests after allocation.

### Preparation:

- Ao paper and pen
- Current forest status map
- Compass, GPS (if available)
- Form a group of 5 to 7 villagers with good knowledge of forest resources

**Process:**

Use a current forest status map to discuss and select the transect walk for forest classification with villagers:

- Transect walk is conducted through every forest condition, in each forest condition, stop and discuss with villagers about the name of the forest condition? Discuss on forest condition and its roles to the livelihoods of community? In each forest condition, criteria is asserted and assessed by asking some common questions: what do you call this forest condition? Why do you call this forest like that? What are the main species, their sizes, their usages and the availability of NTFP's? Traditionally, how do villagers manage this forest condition?
- Record all information in the forest classification table

**Time:** Half day

**Results:** One community based forest and land classification table was provided with technical specific criteria

Table of community based forest classification

No	Names of forest conditions (ethnic or common names)	Criteria of classification (species, soil, rich or poor of forest condition, size of trees: small or big, density regeneration, NTFP,...)	Usage of species in community	Compare with forest condition system as the current regulations
1				
2				
3				



## **Tool 8: Mapping, blocking and calculation of forest blocks**

### **Objectives:**

Forest areas are divided into different areas that have the same characteristics regarding structure, age and management history. These blocks are then used for forest inventory, forest protection and management.

### **Preparation:**

- Forest status map with scale 1:10.000
- Allocated forest and land map to households, groups of households or the community
- Transparencies (large enough to cover the map) with clips
- White board makers and permanent pens
- Compass to locate the direction
- Transparency with squares of 1 x 1 cm to measure forest block area
- Global Positioning System (GPS) to check the boundaries of forest blocks (for this, the map should have coordinates)

### **Process:**

- Form a group of 5 to 7 key farmers, or a self governing board
- Introduce the map and technical characteristics of topographical maps to farmers
- Ask them to orientate the map so that it is easier to understand i.e. North on the map really faces North
- Give time for villagers to examine the map. After a while, explain that they will be marking the forest area in the village on the map
- Put the transparent overlay over the map and use clips to temporarily fix it. Using a whiteboard marker (which can be erased), show them how they can draw on the overlay to delineate a boundary. Show them that it doesn't matter if they make a mistake, because the lines can be easily erased
- Criteria to set up a block are the same forest conditions, the same forest management objective, and is located in a small area. Make use of natural boundaries such as rivers, streams, mountains as boundaries for forest blocks
- Once they have finished – look at the map and ask villagers to propose a name for each block on the map, use local names. Technical staff can add other names to forest blocks such as a, b, c,.. for easy and convenient management
- Measure the area of each forest blocks: Explain that they will need to know the area of each block so that they can calculate how many trees there are. Show them how they can roughly measure areas using squares drawn on a piece of transparent sheet. If the map scale is 1:10,000 then a 1 x 1 cm square is equal to 1 ha. Write down the area of each block on the map

- Identify real boundaries with villagers in the field: use a compass to orientate in the forest. Global Positioning System (GPS) hand receivers (if available) can be used to record the exact boundaries of each forest block. Waypoints will afterwards have to be added onto the map manually
- Finally, go over the temporary lines drawn on the transparent sheet with a permanent marker



**Time:**

- 1/2 - 1 day for field work depending on local area and location of forests

**Results:**

- Forests of the community are divided into different forest blocks in line with the village forest management objectives
- Forest blocks are named as local names (with other names of a, b, c... as the current technical naming regulation) and areas of blocks are calculated

## **Tool 9: Participatory forest inventory**

### **Objectives:**

The participatory forest resource inventory is then carried out based on the results of the forest block description. Carrying out this step with the active involvement of villagers helps to reduce time that is needed for this labor-intensive step. Involved technical staff can benefit from the indigenous knowledge about local tree species and traditional management practices of the local inhabitants. Farmers on the other hand have the chance to learn a simple method how to assess their forest resources.

### **Preparation:**

- A4 paper and colored pens
- Forest map with transparency overlay showing defined forest blocks
- Ruler for distance measurement
- Colored tape measure (dbh tape)
- Each group gets two sets of ropes (20 m rope with a knot at 10 m and 2 x 10 m ropes with knots at 5 m)
- Chalk for marking trees
- Compass, GPS (if available)
- Sample plot recording form
- Form groups of key farmers (those have knowledge on forest of community), village self governing board, VFMB. Each group has 5 persons, including 4 farmers and 1 technical staff
- Groups are given tasks of inventory followed by the transect line whilst considering their capacity to finish the task.

### **Process:**

- Use a transect line system for inventory. Set up sample plots of 10 x 30 m along the transect lines. Transect lines are laid out evenly distributed within the forest block. (In addition, the typical sample plot measuring method can be used to reduce the workload and time; for instance only 3 to 5 typical sample plots are needed to be measured for the area of 50ha. However, this method requires competent technical staff with experience and they can explain to villagers how to select the typical sample plots.
- In each sample plot, measure and record the following data: species, diameter of trees cm at breast height >10 is measured by color tape, there are 4 diameter classes for measurement as: 10 – 20cm, 21 – 30cm, 31- 40cm and >40cm; regenerated trees are measured in 4 corners of sample plot with size of 4 cm (2 x 2 m) (trees with height >1.3m and diameter at breast height < 10cm)
- Discuss with farmers to determine which species can be potential for timbers and

other special uses

**Time:**

The length of time spent for forest inventory depends on how many groups involved; number, area and location of forest blocks. Experience shows that each group can conduct 15 sample plots in a day, one village needs 3 to 4 days for forest inventory.

**Results:**

- Actual tree numbers and diameters in the block are measured to provide quantitative information on the potential of forests. This information is to serve as the establishment of FLA documents and forest management and monitoring afterwards.
- A better understanding of the general structure and composition of forest blocks that are the basics in helping to identify management goals of each forest block.

**Participatory forest inventory, an technical approach is designed to support a community in forest resource assessment; local knowledge can also be shared and used by this approach, so the following principles need to be applied:**

- i. **Simplicity:** color tape is used to measure diameter classes so local people those cannot read or write can also use them. Sample plot with a line shape can be easily established and measured
- ii. **Relevance and effectiveness:** forest inventory is only conducted on diameter classes, species, usage of timber trees and regenerated trees. This information is sufficient for making a plan, and monitoring of CFM. There is no need to measure height of trees.
- iii. **Local knowledge learning process:** to natural evergreen forests, technical staff do not know names of many species, but local people do. Therefore, to specify names of many, villagers need to be involved in the forest inventory. Names of species are recorded by common names and local names. Experience of villagers on the usage of species is very diverse as their livelihoods rely on forests, so these experiences need to be discussed, shared and recorded in the forest inventory process.

**Guidelines for sample plot measurement:**

**i) Number of sample plots:**

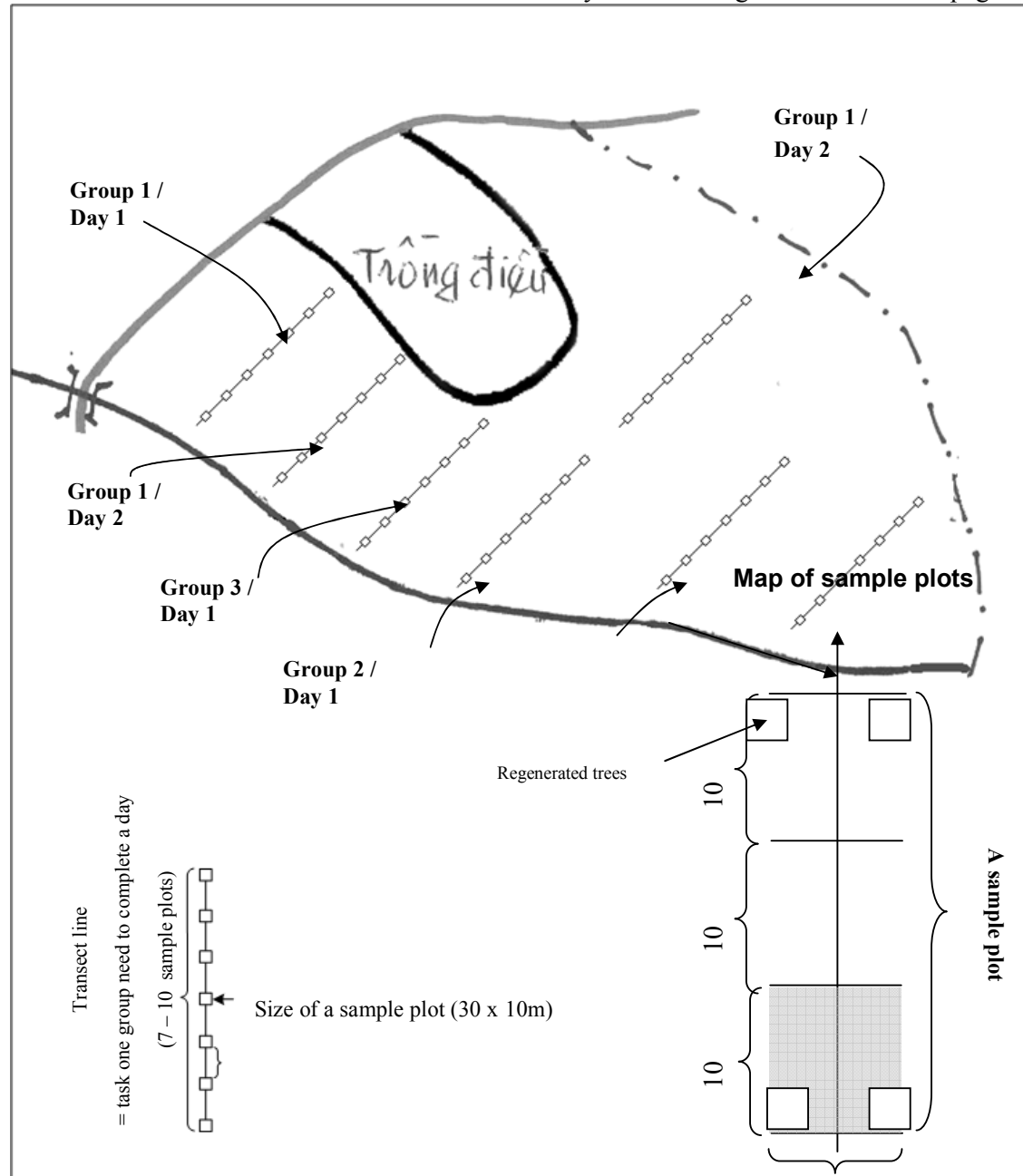
The number of sample plots is defined by the size of the forest area (forest block). For CFM, a sampling area of approximately 1% of the total area is considered to be reasonable. The following number of sample plots is suggested for the respective size of the forest block:

<b>Block area</b>	<b>Number of sample plots (10 x 30 m each)</b>
< 4 ha	At least 2
4 - 10 ha	At least 5
10 - 30 ha	At least 7
30 - 70 ha	At least 15
70 - 120 ha	At least 25
120 - 200 ha	At least 40
> 200 ha	At least 70

## **ii) Establishment of transect lines**

Based on number of sample plots needed in each forest block, the approximate distance between the transect lines can be identified. An appropriate organization of the group work is necessary to make best use of time and labor. The illustration of an inventory design for

one forest block – carried out with three inventory teams - is given on the next page.



**Illustration of a sample plot measurement** 10

### iii) Setting up sample plots and measurement

**Timber tree measurement:** a sample plot (10 x 30m) is divided into 3 small plots for convenient measurement. Name of species and diameter at breast height ( $D_{1.3} > 10$  cm) of any trees are measured by color tape and recorded.

**Regenerated tree measurement:** set up 4 small plots in the corners of a sample plot (10 x 30m), species names are specified and numbers of trees recorded.

*Color tapes are used to measured diameter classes, different colors represent different diameter classes as the below table (width of diameter class: 10 cm)*

Diameter class (cm)	10 – 20	21 - 30	31 - 40	> 40
Color	Black	Stripes	Green	Dots





Recording Form of Forest Inventory

Recorder.....Date .....

Color of soil .....

Village .....Forest block .....Area of inventory.....Sample plot's number .....Forest type: .....

Canopy 

☐ Open

☐ Medium

☐ Dense

Slope

High

Medium

Low

Local Tree Name (mark timber species with asterisk)	Regeneration (H>1.3m and D <sub>1.3</sub> <10cm)	Timber potential 😊				☹️	Non timber potential			
		Black 10 - 20	Stripes 21 - 30	Green 31 - 40	Dots >40		Black 10 - 20	Stripes 21 - 30	Green 31 - 40	Dots >40
Lagerstroemia*										
Microcos										
Total										

Total number of bamboo culms per plot

Number of clusters in a sample plot: .....

Number of bamboo trees in a cluster: .....

## Tool 10: Data analysis

### Objectives:

Based on the data of participatory forest inventory, simple data analysis is conducted for each forest block to gain basic information on forest condition for FLA and monitoring forest resources.

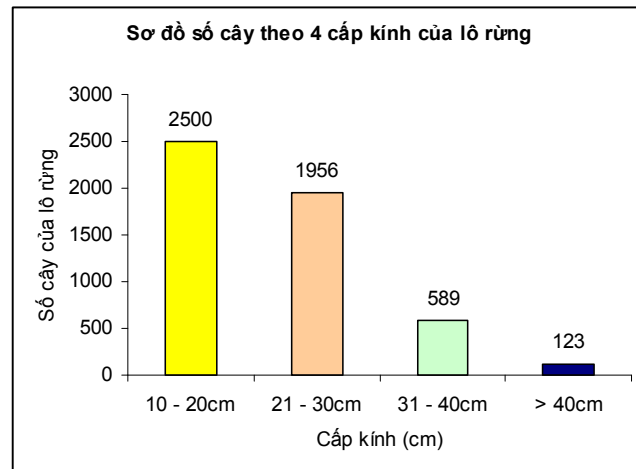
### Preparation:

- Summary form of forest block;
- Calculator;
- Ao paper;
- Color pen;
- Ruler 50cm (with cm); and
- Establishment of key farmers groups, village self governing board.



### Process:

- Facilitators together with key farmers conduct data summary and analysis based on data of recording forms to infer the number of trees corresponding to diameter classes for every forest block.
- One diagram between number of trees and diameter classes is drawn for each forest block based on the data from the above step with four diameter classes: 10 – 20cm, 21 – 30cm, 31 – 40cm and > 40cm. Each block has two diagrams, one represents the total number of trees; the other represents the total number of timber trees only.
- Farmers are explained clearly meanings and roles of diagrams on number of trees and diameter classes. This is a real source of timber of each forest block as represented in different diameter classes.
- This data is recorded in a forest statistic sheet.



**Time:** About half a day depending on number of forest blocks in the village

### Results:

Basic information on every forest block is provided: main species (at least 3 species), number of trees/ ha, number of trees corresponding to diameter classes in four diameter classes (10 – 20cm, 21 – 30cm, 31 – 40cm and > 40cm).

### Guidelines for data analysis:

Gather information of recording forms gained by the forest inventory into a summary form for each forest block.

To calculate number of trees in different diameter classes in a forest block, the following formula is used:

Data analysis as summary of all information from recording forms of sample plots and infer to the number of trees corresponding to diameter classes is difficult for farmers to carry out, therefore, technical staff support to carry out this step.

$$N_{\text{block}} = n_{\text{s,plot}} \times \frac{\text{Area}_{\text{block}}}{(N_{\text{s,plot}} \times \text{Area}_{\text{s,plot}})}$$

*In which:*

$N_{\text{block}}$  = Number of trees in the respective diameter class or regeneration trees per block

$n_{\text{s,plot}}$  = Number of trees in the respective diameter class or regeneration in all sample plots

$\text{Area}_{\text{block}}$  = Area of forest block

$\text{Area}_{\text{s,plot}}$  = Area for sampling of different tree sizes in one sample plot (see table above)

$N_{\text{s,plots}}$  = number of sample plots for inventory

**Forest Inventory Summary Form: .....**

1) Village		2) Forest block		3) Area of block (ha)		
Species	Regeneration of sample plots	Regeneration of block	Potential timber	Black (10 – 20 cm)		Dots (> 40 cm)
				Total in all plots	Total in block	
Potential timber trees (oil trees*)			☺			
			☹			
Non timber potential trees						
Total trees						
Number of bamboo trees in sample plots			Total bamboo trees in block:			

## Summary form of forest resources in all forest blocks

Name of blocks (local name)	Area (ha)	Forest type		Dominant species	Number of trees/ha	Number of trees/block	Number of trees in 4 diameter classes			
		Local name	Science name				10 – 20cm	21 – 30cm	31 – 40cm	> 40cm
a	4.7	Forest with mall trees Bri NDruh	IIIA1	Dẻ, Trâm trắng, Chò xốt	358	1,683	1,000	600	50	33
b	115.8	Old forest Bri Krong	IIIA3	Trâm đỏ, Dẻ, Chò Xốt	473	54,812	34,000	12,000	8,000	812
c	4.9	Shurb	lb							
d	75.9	Old forest Bri Krong	IIIA2	Trâm đỏ, Dẻ, Chò Xốt	473	35,926	25,000	8,000	3,026	900
e	24.3	Old forest Bri Krong	IIIA2 - IIIA3	Trâm đỏ, Dẻ, Chò Xốt	473	11,502	7,500	2,500	502	1,000
g	9.7	Old forest Bri Krong	IIIA2 - IIIA3	Trâm đỏ, Dẻ, Chò Xốt	473	4,591	2,500	1,000	1,000	91
h	1.4	Old forest Bri Krong	IIIA2 - IIIA3	Trâm đỏ, Dẻ, Chò Xốt	473	663	200	350	50	63
i	96.7	Old forest Bri Krong	IIIA3	Trâm đỏ, Dẻ, Chò Xốt	473	45,771	30,000	10,000	5,071	700
k	3.9	Shurb	lb							
l	25.3	Đầm lầy	ĐL							
m	7.9	Shurb	lb							
o	3.4	Old forest Bri Krong	IIIA2	Trâm đỏ, Dẻ, Chò Xốt	473	1,609	600	400	300	309
Agricultur e land	44.1	Agriculture land	NN							
<b>Total</b>	<b>418.0</b>					<b>156,557</b>				

## Tool 5: Consolidation on options for FLA – Second village meeting

### Expected results:

- All information, results of steps 3 and 4 with forest resources assessment, selected options for FLA are informed to all households and discussed to gain feedback for adjustment and improvement.
- Forest and land are registered by households on FLA

### Second village meeting:

One village meeting is organised so that villagers can discuss and consolidate on the options for FLA.

- Participants: similar to the first one
- Place, time: in the village of FLA, 1 day



### Preparation:

- Discuss in advance with village authorities on place, time, content, participants and facilitator for the meeting;
- All information and results of step 3 and 4 (PRA and participatory forest assessment) are summarized on Ao paper;
- Facilitators of the working group guide key farmers on presentation of the results;
- The working group needs to prepare the agenda, the logic of contents presented, logistics and facilitation skills to boost discussion;

### Contents and results of second village meeting:

- Facilitate key farmers to present and discuss in plenary to gain comments and feedback. The following important contents need to be discussed and consolidated by the village:
  - Information on social and economic conditions, resource management, results of PRA are reported to receive feedback for adjustment;
  - Unify on the options for FLA;
  - Consolidate again the locations of FLA to households, groups of households and the community; and

- Consolidate on solutions for forest management of allocated forestland.
- After finishing consolidations on the main points of FLA, allocated forest forms are delivered to households, groups of households and the community and they are informed how to fill the form;
- Discuss on solutions of forest management in village: based on results of the Venn diagram on organization, discuss about forming a village forest management board with its responsibilities and rights;
- All results of the meeting, feedback and comments are considered for improvement of FLA and put in the minutes of meeting; representatives of commune, village and working group signs the minutes.

## Tool 6: Complete forestland allocation documents

### Expected results:

- *Documents of forestland allocation are completed*
- *Related maps: FLA map with presentation of forest conditions, areas, names and locations allocated to households, group of households and the community*

The working group supports the community to make documentation on FLA for approval, including the following maps, data and documents:

1. *Documents on FLA:* all social economic aspects of village are presented; objectives, scale, solutions and expected results of FLA of the locality are also provided. Results of steps 3, 4 and 5 are summarized and are documented.
2. *Maps:*
  - Map on FLA of village, the scale 1:10.000 with presentation of forest blocks, forest conditions, names and areas
  - Other small pieces of map that present FLA to households or groups of households (if FLA to households/groups of households)
3. *Application form of FLA by households, groups of households or the community*



## Form of Forestland Allocation

District People's Committee .....

Socialist Republic of Vietnam

Commune People's Committee .....

Freedom – Independence – Happiness

### DOCUMENT OF FORESTLAND ALLOCATION

Village : .....

Commune : .....

District : .....

Province : .....

**Allottees :** (household/groups of households/Community) : .....

**Total area (ha):** .....

**Approval :**

Village self governing board	Commune people's committee	District people's committee

**Year** .....

## 1. General introduction

<b>The necessity of forestland allocation within the area</b>	Present main reasons of the necessity of FLA in the locality Briefly present the needs of community, villagers on forest protection, development
<b>Basics for project preparation</b>	Present legal framework related to FLA, responsibilities and rights of allocates Commitments of households, groups of households or community to FLA
<b>Description of proceeding method approaches used for the project</b>	Time Participants Main approach applied to community

## 2. Natural, social and economic conditions of FLA area

<b>Characteristics</b>		<b>Article 2:</b> Duration is ..... years, starting from the date of allocation.
<b>Natural conditions</b>		<b>Article 3:</b> 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.
Climate	<b>Article 4:</b> 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.	
Soil	This Decision is effective starting this date of signing	
Topograpgy	<b>Article 2:</b> Duration is ..... years, starting from the date of allocation.	
Forest	<b>Article 3:</b> 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.	
<b>Social condition</b>		<b>Article 4:</b> 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.
Characteristic of village	This Decision is effective starting this date of signing	Tool 1 : Brief village history
Populations, labors	<b>Article 2:</b> Duration is ..... years, starting from the date of allocation.	
Race composition	<b>Article 3:</b> 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.	
Wealthy household classification	<b>Article 4:</b> 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.	
Total land	This Decision is effective starting this date of signing	
Agriculture land (total)	<b>Article 2:</b> Duration is ..... years, starting from the date of allocation.	
Description of forest resources usage, productivity, quantity, species and livestock	<b>Article 3:</b> 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.	Tool 2 : Transect walk Tool 3 : Potential NTFP
Electricity	<b>Article 4:</b> 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.	
Fresh water	This Decision is effective starting this date of signing	
Irrigation	<b>Article 2:</b> Duration is ..... years, starting from the date of allocation.	
Education	<b>Article 3:</b> 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.	
Health care	<b>Article 4:</b> 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.	
Roads	This Decision is effective starting this date of signing	

Village organisation structure	<b>Article 2:</b> Duration is ..... years, starting from the date of allocation.	Tool 4 : Venn diagram on village organisational structure in forest management
--------------------------------	--	--

### 3. Options to FLA

<b>Description of objectives on FLA of community</b>	Tool 5, 6 and results of two village meetings
<b>Scale and location of FLA</b>	Tool 6 : Drawing FLA map (with map of 1 :10.000) Total areas allocated (ha)
Including : <ul style="list-style-type: none"> <li>- Rich forest</li> <li>- Medium forest</li> <li>- Poor forest</li> <li>- Young forest</li> <li>- Bamboo forest</li> <li>- Bare land</li> <li>- Other land</li> </ul>	
<b>Target groups of FLA, options such as FLA to households, groups of households and community</b>	Tool 5 : Determination of appropriate options for FLA Which options is selected: households / groups of households/ Community and state the reasons why? Areas, forest conditions allocated to households, group of households
<b>Characteristics of forest blocks and forest management objectives</b>	Tool 10: information on forest blocks and forest management objectives

### 4. Solutions on forest protection and development after FLA

Solutions	Description
<b>Rights and responsibilities of forest users</b>	Which decisions, policies regulations are guidelines? Local regulations (community made regulations)
<b>Village forest management board</b>	Tool 4 : Venn diagram on organizational structures of community forest management Results of second village meeting: establish village forest management board (3-5 people), name, positions, responsibilities of each member
<b>Support from the government</b>	<ul style="list-style-type: none"> <li>- Extension</li> <li>- Incentive credits for forest development</li> <li>- Forest protection</li> </ul>

## Step 7: Evaluation on documents of FLA

### Expected results:

- *Documents of FLA is evaluated*
- *Documents of FLA and related documents are improved, adjusted and completed for approval*

Meeting and workshop are organized at the district level to ratify and approve the plan.

Participants: district, commune and village authorities, representatives of households, resources and environment section, forest enterprise, economic section, forest protection unit, district extension.

*Preparation:* The working group prepares all documents associated with results of step 6; and the documents of FLA are sent to all related stakeholders one week earlier before the meeting takes place.

### *Principles of evaluation of FLA:*

- 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; and
- Before the meeting on evaluation, there should be an on the spot evaluation to collect the opinions of the forestland allottees.

### Contents of evaluation:

- 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:
  - o Equitableness during allocation in terms of scale and location for different allottees.
  - o The allocation modality is suitable with local conditions.
  - o The plan is feasible, effective and sustainable.
- The assessment council takes the minutes 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 District People's Committees for approval:

- A report on forestland allocation plan enclosed with maps of status quo and forestland allocation
- The minutes of the assessment meeting
- An official letter to request of ratification for the submitted plan
- The application form of FLA

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 evaluation minutes
- An official statement of the unit currently managing the forestland proposing the handing over to local authorities
- An official letter of the District People's Committee agreeing 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 Provincial People's Committee for a decision on withdrawing the land and allotting it to the locality.



## Step 8: Issue of forest and land certificates

### Expected results:

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

This step is carried out by the district resource and environment, commune PCs, comprising:

- The District People's Committee makes a decision to allocate forestland to the land users and issues certificates for forestland use rights to each allottee.

- Organize partition of forestlands in the field. The working group prepares boards with names of forest blocks, names of users and numbers and together with the staff of resource and environment section and allottees to verify and post them in the right block then proceed with the hand-over in the field.

- Have households, groups of households and community draw up registration applications for forestland use rights.

- Staff of resource and environment section finalizes the files, certificates for forestland use rights, paying attention to the copied maps of the red books and make sure that they clearly show the conditions of allocated forests because this is the basis for further supervision and division of interests.

- The District People's Committee makes a decision to allocate forestland to the land users and issues certificates for forestland use rights to each allottee.



### Some regulations relating to forestland allocation record:

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

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

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

## Step 9: Evaluation and Monitoring

### **Expected results:**

- *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.*

After Step 8, the forests and forestlands have already been allocated and the land use rights issued to proper allottees. In reality, the forest management and business 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 and 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, Economic section and AES, of which CPC takes the leading role.

Content and ways of proceeding: 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 businesses comply with the objectives 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. 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 on experiences 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 branches 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:
  - o Forest management and protection before and after the allocation
  - o The role of forestlands and forests in household economy development?
  - o Types of techniques, technologies applied in making businesses out of forests?
  - o Social stabilization and development?
  - o Contribution to environmental protection such as improved forest quality, degree of vegetation cover, soil & water source protection.

## **Some guidance documents**

### **Including guidelines and procedures on FLA:**

- The application form on FLA
- Registration form on the forest use rights
- Decisions of DPC on forest land allocation

**Socialist Republic of Vietnam**

Independence - Freedom - Happiness

-----

**Application form for forestland allocation**

*(Applied for individuals, households)*

**To:** District People's Committee .....

**1. Forest user:**

- Full name of forest user:.....
- Date of birth:.....
- Occupation:.....
- Identification number: ..... issued date ..... in .....
- Name of wife (or husband) of forest user: .....
- Number of members in the family: .....
- Number of labors in the family: .....
- Permanent address: .....

**2. Application to receive forestland, as follows:**

- Total area request: .....ha, in the following areas:

Area:

- Types of forestland allocation:

Permanent: ☐

Contract for short term use: ☐

*(Tick x in the box wanted)*

We would like to request the Commune People's Committee and District People's Committee to allocate forestland for use and management.

We will follow all requirements of the government on forest and land use after receiving land and forests.

*Date      Month      Year*

**Commune People's Committee**

**Village**

*Date      Month      year*

**Forest user**

**Socialist Republic of Vietnam**

Independence - Freedom - Happiness

-----

**Application form for forestland allocation**

*(Applied for group of households or community)*

**To:** District People's Committee .....

**1. Group of households or community:**

- Name of representative:.....
- Date of birth:.....
- Occupation:.....
- Permanent address: .....
- Identification number: ..... issued date ..... in .....
- List of members in the groups:

**2. Application to receive forestland, as follows:**

- Total area requested: .....ha, in the following areas:

Area:

- Types of forestland allocation:

Permanent: ☐

Contract for short term use: ☐

*(Tick x in the box wanted)*

We would like to request the Commune People's Committee and District People's Committee to allocate forestland for use and management.

We will follow all requirements of the government on forest and land use after receiving land and forests.

*Date      Month      Year*

**Commune People's Committee**

*Date      Month      year*

**Village**

**Forest user**

**Socialist Republic of Vietnam**

Independence - Freedom - Happiness

\*&\*

**Application form for forest use rights**

**To: District People's Committee .....**

**1. Forest user**

- Name of breadwinner (households or individuals) (or name of representative if forestland allocation to groups of households and community): .....
- Date of birth (breadwinner, individual, representative): .....
- Identification number:..... issued date...../...../..... in.....
- Number of family members:.....
- Name of wife/husband (household, individual):.....
- Permanent address: .....

**2. This application is to request the forest use rights with the area:.....ha**  
(word: .....)

**Forest blocks registered as the following table:**

Name of block	Area (ha)	Forest or land condition	Purposes	Length of time for usage	Origin of forest management

**3. Along with this application form, added documents are:**

.....

We assure that all information in this application form is true and correct.

Date ..... Month ..... Year .....

**Forest user**

*(Sign and write full name)*

**COMMENT OF PEOPLE’S COMMITTEE**

(Commune, district)

.....

.....

Date ..... Month ..... Year .....

PEOPLE’S COMMITTEE

**Chairman**

*(Sign, stamp)*

**COMMENT OF DESIGNATED RESOURCE AND ENVIRONMENT UNIT**

.....

.....

Date ..... Month ..... Year .....

HEAD OF UNIT

*(Sign and stamp)*



**DISTRICT PEOPLE'S  
COMMITTEE.....**

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

Number. . . . . /QĐ-UB . . . . ., date. . . . month. . . . year. . .

## **DECISION**

*On the allocation of forests to households, groups of households or community*

---

### **CHAIRMAN OF DISTRICT PEOPLE'S COMMITTEE.....**

- Pursual to the Law on organization of People's Councils and People's Committees ratified by the National Assembly of the Republic Socialist of Vietnam on 21/06/03.
- Pursual on the Land Law on 26/11/03.
- Pursual on the Law on forest protection and development dated 03/12/04
- Based on the Decision No. 178/2001/QĐ-TTg dated 12/11/01 of the Prime Minister on interests, obligations of households, individuals who are allocated, leased, contracted to forests and forestlands.
- Pursual to the Decree 181/2004/NĐ-CP, dated 29/10/04 of the Prime Minister on the implementation of the Land Law; the Decree No. 17/2006/ND-CP, dated 27/01/06 of the government on the amendment, adjustment of some articles of the decrees on the implementation of the Land law;
- Based on the Decree No. 23/2006/ND-Cp, dated 03/3/06 of the government on the implementation of the forest protection and development law;
- Pursual to the Official Letter No. 1268/BNN-LN dated 1/6/05 of MARD on the temporary guidelines of steps in forest allocation and contract for forest protection and management to households living in the Central Highlands;
- Pursual to the Decision No. 304/2005/QĐ-TTG dated 23/11/05 of the Prime Minister on the piloting of forest allocation and contract for forest protection and management to households and community as ethnic minority groups in the Central Highlands;
- Pursual to the Official Letter No. 17/2006/TT-BNN dated 14/03/06 on the guidelines of implementation of the Decision No. 304/2005/QĐ-TTg dated 23/11/06 of the Prime Minister;
- Pursual to the Decision No. 186/2006/QĐ-TTg dated 14/8/06 of the Prime Minister on issuing of the forest management regulations.
- 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 allocated to ..... commune. .... ,  
district ..... , area.....ha of forestland for stable and long term use and  
management in line with the forest planning of the locality and the approved plans.

### \* Forest condition allocated:

#### 1 Production forest:

- Natural forest: ..... ha  
Rich forest: ..... ha  
Medium forest: ..... ha  
Poor forest: ..... ha  
Young forest: ..... ha  
Bamboo forest with mixture of trees: ..... ha
- Plantation: ..... ha, specie: ..... age: .....
- Bare land: .....ha

#### 2 Protection forest:

- Natural forest: ..... ha
- Bare land: .....ha

\* **Location:** in the area of: .....- Location: .....belong to the area of  
commune....., district.....Dak Nông Province.

*(Enclosed with the map of scale:..... and the data)*

**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 goes into effective from the date of signing.

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

**Chairman**

(Sign, stamp)

CC:

Copies to: -As Article 4

Remain in VP/UB

**List of households, individuals and groups of households allocated  
forestland**

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

**Village ..... Commune .....**

<b>No</b>	<b>Name of forest user (or list of groups of households)</b>	<b>Block</b>	<b>Area (ha)</b>	<b>Forest condition</b>	<b>Location</b>	<b>Use purposes</b>

*Date.....month ..... year.....*

**District People's Committee .....**

**Chairman**

*(Sign, stamp)*

**Consultant who compiled these guidelines:**

**Associate Prof. Bảo Huy** - Tây Nguyên University

With the contribution of the working group in DARD - Dak Nông

These guidelines have been approved in the workshop dated 29/9/06 organized by DARD Dak Nông

*The compilation and publication has been financially and technically supported by  
Extension and Training Support Project - ETSP/Helvetas Viet Nam*