

People Resources and Conservation Foundation

Vietnam Country Program

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CEPF Final Project Completion Report

Organization Name	People Resources and Conservation Foundation	
Project TitleStrengthen Co-Management Measures at Nam Xuan Lac SHCEstablish Forest Benefit-Sharing in its Ban Thi Extension		
CEPF Grant Number	CEPF-075	

CEPF Hotspot: Indo-Burma Ecosystem Hotspot

Strategic Direction:	SD4. Empower local communities to engage in conservation and management of priority key biodiversity areas. Investment Priority 4.1 Raise awareness about biodiversity conservation legislation among target groups at priority sites, 4.2 Pilot and amplify community forests
Grant Amount:	USD 19,978.0
Project Dates:	Start 01 Aug. 2017 – 31 Dec. 2019 (several no cost extensions)

PART I: Overview

The overall project aim was to provide institutional support for villagers in the landscape Xuan Lac SHCA, particularly ethnic minority communities living in the buffer zone of the protected area, by securing their rights to manage and sustainably use forest resources within a designated multiple-use zone of the special use forest, supporting biodiversity conservation in the entire landscape. Due to the lengthy process of securing government permits and endorsements, many of the project activities and therefore objectives were not met. However, a strong foundation for collaborative management between local communities and government agencies for needed conservation management action was initiated.

1. Implementation Partners for this Project

Bac Kan Department of Agriculture and Rural Development (TQ DARD)				
Involvement	Overall endorsement of project activities. PRCF's official counterpart, through a Memorandum of Agreement to support biodiversity conservation in the landscape of the Xuan Lac SHCA.			
Xuan Lac SH	Xuan Lac SHCA Management Board			
Involvement	Overall support and monitoring of project implementation; provision of direct official support to PRCF on project activities; on behalf of BK province TQ DARD is the direct official counterpart for project implementation.			
Six target vi	lages			
Six target vinagesInvolvementProject beneficiaries and direct stakeholders, of particular importance for the project, as they participate in participatory conservation planning aspects. In Ban Thi commune the villages of Khuoi Ken, Keo Nang, and Phia Khao; in Dong Lac commune Coc Toc village; and in Xuan Lac commune the villages of Na Da, and Ban Khang. Most villagers are of the Tai ethnic minority, with very few households of Kinh ethnicity.				

2. Overall project results/ impact

Project results

This project unfortunately suffered a number of great delays due to the the lengthy and noneforthcoming endorsements and permits needed from Bac Kan province departments. Approvals to proceed with project activities, under a reduced timeframe, level, and number of activities was finally received in early 2019. The project thus only started core implementation in 2019 although not being able to meet all items in the project proposal, as stated below:

Activities completed by closing date 31 Dec. 2019

- 1. Mapped Ban Thi extension to Nam Xuan Lac, defining conservation, restoration, and sustainable harvest areas. Completed.
- 2. Established foundation and principles for a participatory monitoring system to keep track of non-timber forest product harvests. Completed
- 3. Nam Xuan Lac SHCA Five-Year Conservation Management Strategy and Action Plan to support biodiversity conservation and sustainable use of forest resources. Completed.

Activities completed by closing date 31 Dec. 2019

4. Estimated carrying capacities for each *A. xanthioides* and *A. melaccensi* in areas defined for sustainable harvests and define participatory harvesting regulations. Not completed.

This was not completed due to the lack of time accomplish the task, given the seasonality of harvests and one year timeframe remaining available for technical implementation.

5. 2018-2019 and 2019-2020 XLCA Operational Management Plans to support biodiversity conservation and sustainable use of forest resources. Note completed.

The strategic planning sequence and operational measures for protected area conservation management were changed by the central government. The Bac Kan government therefore suggested that the project should concentrate on producing the Five Year Plan instead of One Year Plans, and that once the longer term plan is in place, annual plans would be produced by the protected are management board (although beyond the present project timeframe).

6. Key priority activities in the 2018-2019 plan implemented, and key priority activities in the 2019-20 plan started with direct involvement of local communities. Not completed.

As per Item 2, above, the conservation management plans sequence were adjusted to accommodate Bac Kan's request for a Five Year Plan instead of annual plans. One year prescriptions were defined as to what the present project would provide, but mostly describing what additional conservation management prescriptions would be needed within five-years.

Other than the above, the project was able to involve and encourage households from each of the six target villages into working together for conservation purposes, and with the Nam Xuan Lac SHCA Management Board, in a participatory manner, towards the production of key conservation management and planning documentation.

Project impacts

Project impacts include the bolstering of interest by local communities and government authorities into working together for the management of Ban Thi/ Xuan Lac forests for both conservation (within the protected area boundaries) and sustainable harvest of non-timber forest products (within external buffer zones to the protected area).

Project results (documentation)

- Map of Xuan Lac SHCA with Ban Thi extension, defining conservation, restoration, and sustainable harvest areas, produced in a participatory manner between local communities and relevant local government officials
- Conservation Needs Assessment to the Xuan Lac SHCA, produced through a participatory workshop including 18 participants from local villages and three government officials;
- Five-Year 2019-2024 Conservation Management Plan for the Xuan lac SHCA, produced through a participatory workshop with representatives of six villages, Xuan Lac SHCA, and Bac Kan DARD.
- Guidelines for the conduction of Conservation Needs Assessment, so that Nam Xuan Lac SHCA officials can carry out such assessments on a bi-annual basis, updating the status of conservation at the site, and the corresponding Five-Year Conservation Management Plan.

3. Actual progress towards the overall project goal

Overall project aim	Summary of actual progress towards this goal
The biodiversity of the Nam Xuan Lac Species and Habitat Conservation Area (XLCA) landscape is better conserved, and the livelihoods of the ethnic minority communities which live in the XLCA buffer zone are supported, through securing their rights to manage and sustainably use forest resources within a designated multiple-use zone within the protected area.	Although the project worked closely with the communities of six villages in the Nam Xuan Lac SHCA landscape, and was able to start a participatory process for conservation needs and management in the protected area landscape, the project was not able to secure rights to manage sustainably forest resources within designated multiple-use zones, due to lack of time.

4. Success/ challenges of the project toward achieving its overall goal

Although the project was unable to fulfill most of its the most significant success of the project is that of initiating a participatory process for the defining of conservation needs and management options in the conservation landscape (comprising the conservation area and its surrounding buffer zone).

5. Unexpected impacts (positive or negative)

An unexpected positive impact of the project is the interest of local communities to participate into conservation management aspects of biodiversity in the landscape, both inside and outside the protected area. Also, concerned government authorities showed great interest in collaborative management possibilities.

Unexpected negative impacts where those caused by delays in provincial government endorsement and permit for project implementation. Interestingly, the project encountered rejection from the Bac Kan Forest Protection Department (BK FPD), but acceptance by the Bac Kan Department of Agriculture and Rural Development (BK DARD); the project main counterpart was BK DARD.

PART II: Project Objectives and Activities/Deliverables

6. Project objectives and progress

Objective 1:		
Local communities have strengthened representation and participation on the XLCA Management Board, including the Ban Thi extension multiple-use		
zone. Villages have greater involvement in management decision-making regarding the reserve.		

Activity description	Deliverable(s)	Summary of actual progress/results for activity
Activity 1.1 Advocate representation of local communities in the XLCA Management Board, specifically for village representatives from Xuan Lac, Ban Thi, and Don Lac communes.	XLCA Management Board restructured through decision of provincial authority.	Although the project was not able to further the restructuring of the Xuan Lac SHCA Management Board, prompting of community memberships in the management board took place,
Activity 1.2 Strengthen the roles and functions of local community representatives, by providing training on grassroots democracy, self-reliance, and participation, recognized by the provincial government and local communities.	Seven training workshops involving 90 participants (~20 trainees) held.	Four training workshops took place during the course of the project, for conduction of Conservation Needs Assessment, production of Five-Year Conservation Management Plan. Two additional workshops took place for mapping of conservation and development zones in the landscape, and to promote a unified approach in to conservation management in the landscape.
Activity 1.3 Promote acknowledgement of the XLCA co- management initiative by national policy-makers, with Xuan Lac/Ban Thi initiatives included in co-management policy dialogue with similar initiatives implemented by PRCF.	One screen presentation prepared/ and two policy discussions conducted with VNPPA, PanNature, and Vietnam Forestry Administration.	This item was not fulfilled.
Activity 1.4 Promote a unified understanding between the XLCA Management Board and community representatives on common biodiversity threats, solutions, and sustainable harvesting methods to target NTFPs.	Two stakeholder workshops organized with at least 40 participants. Outputs documented in workshop minutes.	One workshop to encourage a unified and participatory approach into conservation management of the Xuan Lac SHCA and its buffer zone forests was conducted, with participants from six local villages and members of the Xuan Lac SHCA Management Board.

Objective 2:

A multiple-use zone has been established within the Ban Thi extension to XLCA, for co-management and sustainable harvesting of non-timber forest products (NTFPs) (particularly *Amomum xanthioides* and *Alpinia malaccensis/Alpinia latilabris*) by the local communities.

Activity description	Deliverable(s)	Summary of actual progress/results for activity	
Activity 2.1 Map the Ban Thi extension to Nam Xuan Lac, defining target areas for sustainable harvest of NTFPs, and areas of strict conservation of the natural resources, including information about forest quality, extent of intact forests, and of areas in need of restoration.	Maps produced, including management zones, and forest condition.	Maps of the Xuan Lac SHCA and its buffer zone forests were produced on the basis of a training workshop to identify biophysical boundaries, and thereafter drafting of maps depicting land-use management areas in the landscape.	
Activity 2.2 Estimate the sustainable harvesting limits for each of <i>A. xanthioides</i> and <i>A. melaccensis/A. latilabris</i> in areas defined for sustainable harvests, and establish participatory harvesting regulations, approved by the XLCA management board.	Sustainable harvesting limints estimated for selected species. Community-defined harvesting regulations approved.	This item was not fulfilled, although the idea was discussed with local communities, for future definition.	
Activity 2.3 Establish a participatory monitoring system to keep track of NTFPs within XLCA, and pilot a levy-collection system to ensure that an agreed percentage of harvests returns to the protected area to support conservation management needs.	Participatory monitoring protocols document agreed. Levy-collection system piloted and documented.	This item was not fulfilled, but members of local communities interested in participating in the monitoring of NTFP harvests were identified, and preliminary monitoring modalities discussed.	

Objective 3:

A participatory 5-year Action Plan and the first two Operational Management Plans for XLCA and its Ban Thi extension multiple-use zone have been developed, to support biodiversity conservation and sustainable natural resources management.

Activity description	Deliverable(s)	Summary of actual progress/results for activity
Activity 3.1 Facilitate production of 5-year Conservation Management Strategy and Action Plan to support biodiversity conservation and sustainable use of forest resources developed with stakeholder communities, and promoted for adoption by by the XLCA Management Board.	5-year Conservation Management Strategy and Action Plan developed.	A Five-Year (2019-2024) Conservation Management Plan/ Strategy was produced through a participatory workshop involving members of the local communities, Xuan Lac SHCA management Board, and provincial DARD. An initial step to prepare the plan was to conduct a Conservation Needs Assessment and definition of a SWOT strategy.
Activity 3.2 Facilitate production of 2017-'18 and 2018-'19 Operational Management Plans (OMPs) to support	2018 OMP facilitated. 2019 OMP facilitated.	This item was not fulfilled.

biodiversity conservation and the sustainable use of forest resources, promoted for adoption with stakeholder communities and the XLCA Management Board.		
Activity 3.3 Implement priority activities of the 2018 OMP, and start priority activities of the 2019 OMP, through direct involvement of local stakeholder communities and support of the XLCA Management Board.	Report on implementation of key 2018 OMP priorities. Plan on implementation of key 2019 OMP priorities.	This item was not fulfilled, but initial collaborative management activities prescribed in the 5-Year Conservation and Development Plan were highlighted for implementation. Items such as the establishment of Stakeholder Management Groups were identified as key activities in the plan, and therefore moved forward into initial implementation setups.

Objective 4:

The XLCA Management Board has facilitated access to payment for environmental services (PFES) funds, for implementation of biodiversity conservation and management, through the assistance of village Stakeholder Management Groups in the XLCA buffer areas.

Activity description	Deliverable(s)	Summary of actual progress/results for activity
Activity 4.1 Promote mechanisms to harness benefits from PFES, that link to biodiversity conservation and to environmentally- friendly village development to support conservation management in the XLCA landscape.	Mechanisms defined, promoted, and documented.	This item was not fulfilled.
Activity 4.2 Promote establishment of Stakeholder Management Groups (SMGs), including definition of draft operational regulations, at seven villages in the XLCA landscape: Khuoi Ken, Keo Nang, Phia Khao in Ban Thi commune; Coc Toc in Dong Lac commune; and Ban Thang, Ban Tun, and Na Da in Xuan Lac commune.	Defined needs to establish seven SMGs, including operational regulations.	Stakeholder Management Groups were identified in liaison with six village committees comprising the Head of Village, Head of Women's Union, Head of Youth Union, and two well established farmers (one male and one female). Guidelines for operational regulations were produced and discussed with the management groups. The Xuan Lac SHCA Management Board was instrumental in the definition and establishment of these management groups, and have pledged to see these move forward into supporting conservation management in the landscape.
Activity 4.3 Facilitate harnessing of PFES funds, to finance XLCA Management Board priority activities under the 2017 and 2018 XLCA OMPs, and the functioning of the SMGs to support biodiversity conservation and sustainable natural resources management.	PFES funds harnessed, and their use documented. Report on activities of the SMGs.	This activity was not fulfilled.

Product	Description	
Conservation Needs Assessment	Through a participatory workshop where both local communities and protected area authorities work together, participants define what are needs and measures needed to further conservation purposes within the Nam Xuan Lac SHCA landscape (ie. Core area and buffer areas).	
SWOT Strategy	Definition of a further strategy to strengthen conservation management action in the landscape of Nam Xuan Lac SHCA, by defining Strengths, Weaknesses, Opportunities, and Threats to the protected area and is natural resources. The strategy defines measures to harness strengths, address weaknesses, follow-up on opportunities, and stop or mitigate threats.	
Participatory planning mechanisms	This involves the full involvement of local communities in project workings, together with the participation of relevant local government officers when defining strategies and making plans.	
Participatory mapping methods	This involves the full involvement of local communities in project workings, together with the participation of relevant local government officers into the production of maps to the protected area and its landscape.	
Five-Year Forest Management Plan	Five-year planning document to manage and develop the target forests under community forest management, highlighting conservation aspects of the forest. The plan is produced by local communities themselves through guidance and facilitation by PRCF, with participation of commune authorities, for approval by the Na Hang district.	

7. Tools, products, methodologies resulting or contributing to results of this project

PART IV: Lessons, Sustainability, Safeguards, and Financing

8. Lessons Learned

Project Design Process

The project was designed as a result of discussions with local stakeholder communities and government authorities, in particular communities of several villages in the landscape of the Nam Xuan Lac SHCA, and the Director of Bac Kan Forest Protection Department. Both parties confirmed interest and willingness to work on the various aspects of the project, and while the local communities did not default on their pledge, the government failed to follow-up. To carry out the project, PRCF had to change government partners, from Bac Kan FPD to Bac Kan DARD.

Project Implementation

The project was implemented with the full participation of stakeholder communities, relevant commune and district government agencies, the Nam Xuan Lac SHCA Management Board, and Bac Kan DARD. Experienced staff and consultants were engaged into technical aspects of implementation during the short project timeframe.

9. Sustainability / Replication

All planning and implementation aspects of the project are replicable, and can be used to support local communities to get involved in conservation management aspects. However, a pre-requisite is interest by local government authorities in allowing local communities to work in a collaborative management fashion.

Summary of success/ challenges on project sustainability/ replicability

In terms of success: the project was able to engage local communities and government authorities in definition and establishment of forest conservation and management measures. All project products were attained in a participatory manner were stakeholder villagers were fully involved, and PRCF (project) staff acted as facilitators and technical advisors into the process.

In terms of challenges: although the approach into community participation in conservation management was readily accepted by local authorities, who showed great interest, support, and participated in the project design, the process of securing the initial permissions for project implementation and thereafter approval of key technical documentation proved lengthier than what was expected.

10. Safeguards

Implementation of required action related to social or environmental safeguards

1-Planned measures to mitigate impacts and assist affected groups and mechanisms to monitor safeguard issues

The project design was discussed with village leaders of the six target villages during planning sessions at the site, when the project was submitted to CEPF as a concept for funding, through village meetings. There was no written document of consent to the project, but a general no objection and endorsement of it by the participants.

Measures to avoid adverse impacts and culturally appropriate benefits

- Periodical village meetings and consultations to learn about emerging socioeconomic issues or otherwise surfacing concerns from local communities regarding project impact to their socioeconomic standing.
- Periodical assessment of changes in socioeconomic standing of vulnerable households from a baseline.
- Quarterly dedicated social assessment meetings, and yearly workshop to discuss and resolve grievances through offset mechanisms such as inputs into forest livelihoods, agriculture livelihoods, or small-scale business development activities.

Mechanism to monitor safeguard issues

Monitoring of social safeguard issues took place on a regular basis through field visits to the project site, and through monthly reporting by project field staff, including any issues brought forth by the local communities as a result of monthly village meetings and consultations by project staff.

11. Additional Funding

Details on additional funding that supported this project

a. Total additional funding: USD 3,500.0

b. Type of funding: 'A'

Donor	Funding Type	Amount USD	Notes
People Resources and Conservation Foundation	A ⁽¹⁾⁽²⁾	3,500.0	 a- Project conservation direction time b- Project Team Leader time c- Project field Officer time d- Telephone/ Fax/ Internet

⁽¹⁾ A- Project Co-Financing (PRCF contributions to the project direct costs

⁽²⁾ A- Project Co-Financing (PRCF in-kind contributions to the project direct costs)

12. Additional Comments/Recommendations

Further comments/ recommendations

The project was unable carry out all of its proposed activities, or to fulfill and deliver on all sought outputs, due the delayed process of securing endorsements and permits from the provincial government for project implementation.

Although the project had been originally designed together with the director of the Bac Kan Forest Protection Department (BK FPD) on the basis of previous PRCF work at the site and the province, by the time the project received approval for funding from CEPF, the BK FPD director had changed positions and his replacement was not familiar with the project concept, design, and strategy therefore rejecting it. Given the absolute rejection by BK FPD, PRCF approached Bac Kan Department of Agriculture and Rural Development (DARD) to receive endorsement. It took almost two years to negotiate between BK FPD and BK DARD, together with the Xuan lac SHCA Management Board for project acceptance. At the time of final provincial endorsement for project implementation through BK DARD there was little remaining time for project implementation.

The lesson learned/ recommendation is to work with more than one government agency when conceptualizing a project design, so that personnel changes will not affect project delivery.

PART IV: Impact at Portfolio and Global Level

13. Contribution to Portfolio Indicators

No indicators specified

(a) CEPF Portfolio Indicators and project contribution(s) to them

Indicator	Narrative

14. Contribution to Global Indicators

(b) Key Biodiversity Area Management

Number of hectares of Key Biodiversity Areas (KBA) with improved management

Name of KBA	# of Hectares with strengthened management *	Is the KBA Not protected, partially protected or Fully protected? Please select one: NP/PP/FP
Nam Xuan Lac SHCA (VNM10)	4,700 ha ^(a)	Fully Protected ^(b)

(a) It cannot be stated that there was a clear strengthening of conservation management at the protected area site, as only identification of needs and plans to strengthen conservation management were delivered through project implementation.

(b) The protected area is Fully Protected under government definitions, but in reality, there is a significant lack of conservation management present, and therefore the project to involve local communities through collaborative management measures.

15. Protected Areas Number of bectares of protected areas created and/o

Number of hectares of protected areas created and/or expanded

Name of PA*	Country(s)	# of Hectares	Year of legal declaration or expansion	Longitude**	Latitude**

No protected areas created or expanded through this project

16. Production landscape

Number of hectares of production landscapes with strengthened biodiversity management

Name of Production Landscape ⁽¹⁾	# of Ha ⁽²⁾	Latitude	Longitude	Description of Intervention
Khuoi Ken village		22.2741	105.48368	CMGT ⁽³⁾ Foundations
Keo Nang village		22.25267	105.49191	CMGT Foundations
Phia Khao village		22.25919	105.52525	CMGT Foundations
Coc Toc village		22.30878	105.56716	CMGT Foundations
Na Da village		22.33313	105.52705	CMGT Foundations
Ban Khan village		22.2741	105.48368	CMGT Foundations

⁽¹⁾ The production landscape does not have an official name. It corresponds to six target villages within three communes, located within the buffer zone to the protected areas. The CEPF Key Biodiversity Area is the Nam Xuan Lac SHCA (VNM10).

⁽²⁾ There is no present information as to the area.

⁽³⁾ CMGT = Refers to Collaborative Management, which was initiated though the participatory process whereby local communities together with the protected area management board define conservation needs and then management measures for the Xuan Lac SHCA.

17. Beneficiaries

17a. Total number of beneficiaries - Combined

Report on the total number of women and the number of men that have benefited from formal training and increased income since the start of your project to project completion.

Total # of men benefiting*	Total # of women benefiting*

*This measurement was not taken during the course of the project

# of men benefiting from formal training*	# of women benefiting from formal training*
24	15

*This measurement was not taken during the course of the project, but calculated on the basis of training workshops for conservation assessment and conservation planning

17b. Number of men and women benefitting from increased income

# of men benefiting from increased income*	# of women benefiting from increased income*
0	0

*Stakeholder communities will benefit from increased income in the future, but not just yet.

17c. Total number of beneficiaries – Combined

Total # of men benefiting*	Total # of women benefiting*
0	0

*Stakeholder communities will benefit from increased income in the future, but not just yet.

18. Benefits to Communities

Name of Community	Co		-		th x)		ics		Type of Benefit (mark with x)						Est. # of Beneficiari es				
	Subsistence economy	Small landowners	Indigenous/ ethnic peoples	Pastoralists / nomadic peoples	Recent migrants	Urban communities	Other*	Increased access to clean water	Increased food security	Increased access to energy	Increased access to public services	resilience to	mproved land tenure	Improved recognition of traditional	Improved representation and	Improved access to ecosystem	# of households benefiting	# of men and boys benefitting	# of women and girls benefitting
Khuoi Ken village	Х	Х	Х										х	Х	Х	Х			
Keo Nang village	х	Х	Х										х	Х	х	Х			
Phia Khao village	х	Х	Х										х	Х	х	Х			
Coc Toc village	х	х	х										х	Х	х	Х			
Na Da village	х	Х	х										х	х	х	х			
Ban Khan village	Х	Х	Х										х	х	х	х			

18a. Information for communities benefited from project start to project completion

18b. Geolocation of each community

Name of Community	HHs	Latitude	Longitude
Khuoi Ken village	16 HH 76 PP (100% Dao)	22.2741	105.48368
Keo Nang village	52 HH 240 HH (100% Dao)	22.25267	105.49191
Phia Khao village	16 HH 78 PP (100% Dao)	22.25919	105.52525
Coc Toc village	47 HH 188 PP 100% Tay)	22.30878	105.56716
Na Da village	57 HH 270 PP (100% Dao)	22.33313	105.52705

19. Policies, Laws and Regulations

Not applicable under this CEPF Grant

19a. Name, scope and topic of the policy, law or regulation

No		(r	cope nark ith x)		Topic(s) addressed (mark with x)														
	Name of Law, Policy or Regulation	Local	National	Regional/International	Agriculture	Climate	Ecosystem Management	Education	Energy	Fisheries	Forestry	Mining and Quarrying	Planning/Zoning	Pollution	Protected Areas	Species Protection	Tourism	Transportation	Wildlife Trade
1																			
2																			

19b. For each law, policy or regulation listed above, please provide the requested information in accordance with its assigned number.

No.	Country(s)	Date enacted/ amended MM/DD/YYYY	Expected impact	Action that you performed to achieve this change
1				
2				

20. Best Management Practices

No.	Short title/ topic of the best management practice	Description of best management practice and its use during the project
1	Collaborative conservation management and participatory planning	The management practice used during implementation of this project is common for PRCF at all of its sites where local communities have the interest and potential to participate in conservation management activities in the landscape. All that the management practice entails acknowledgment that local communities must be involved in consecration management measures that pertain to natural resources within their living landscape. This practice was used at all time in the project, and brought forth to government officers to be used as a common best practice and approach into dealing with conservation both inside and outside the conservation area. All project assessment and planning activities entailed participatory measures whereby local communities would work together with government officials for a common purpose.

21. Networks & Partnerships

No new partnerships established through this project

No.	Name of Network/ Partnership	Year established	Country(s) covered	Purpose
1				

Part V. Information Sharing and CEPF Policy

CEPF is committed to transparent operations and to helping civil society groups share experiences, lessons learned, and results. Final project completion reports are made available on our Web site, www.cepf.net, and publicized in our newsletter and other communications.

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