

Critical Ecosystem Partnership Fund Process Framework

Project Title: Promoting Community Based Collaborative Management to Strengthen Long Term Conservation of Globally Threatened Primates and Trees in Priority Sites of Northern Vietnam
Organization: Fauna & Flora International
Application Code: 55424
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1. Project background

The overall goal of the project is improved conservation of five globally threatened species of primates and globally threatened species of conifers and magnolias at sites of high biodiversity interest in northern Vietnam.

The target primate species are Cao Vit Gibbon (*Nomascus nasutus*), Tonkin snub-nosed monkey (*Rhinopithecus avunculus*), Francois' Langur (*Trachypithecus francoisi*), Phayre's Langur (*Trachypithecus phayrei* - sometimes known as Phayre's Leaf Monkey) and the Western Black Crested Gibbon (*N. concolor*). All these primates are confined to isolated forest fragments, where they often continue to be threatened by habitat destruction and hunting. However, the experience of FFI, within this same region, has shown that the fortunes of a sub-population of primates can be turned around in these forest areas by raising proper awareness among local stakeholders and a continuous, often low-level, set of long-term site based species-focused conservation actions.

Similarly to primates, the northern highlands limestone also offers a significant opportunity for the conservation of globally threatened trees. Nearly half of all conifer species in Vietnam can be found in the northern highlands limestone priority corridor including seven globally threatened species. In addition, neighbouring Yunnan Province supports the highest diversity of magnolia species in China. Recent work of FFI China in Yunnan on conservation of globally threatened magnolias, suggests that CEPF priority sites in Ha Giang Province may also be in the range of some of these species. There is much overlap between the key sites that have been identified for primate conservation and the needs for conifer and magnolia conservation.

1.1. Current experience of partners

During the past decade, FFI has been implementing site-based primate conservation projects for the Cao Vit Gibbon and Tonkin snub-nosed monkey and Western Black-Crested Gibbon in several provinces in northern Vietnam. FFI has used a community-based approach at all sites, usually attempting to integrate local livelihood development activities with conservation objectives. Community consultation and participation in conservation planning and management has played an important role at all locations and has led to the establishment of four protected areas.

The People, Resources and Conservation Foundation (PRCF) has been implementing community-based conservation and collaborative management activities in Bac Kan Province with significance for primates.

FFI has also been supporting the work of the recently established Vietnamese NGO Centre for Plant Conservation (CPC) to conserve globally threatened and endemic conifers in Ha Giang Province, where a small pilot project has been established involving local villagers and Bat Dai Son Nature Reserve.

1.2. The project approach

Eleven sites are included in the project with differing levels of intervention. At eight sites, the project will supplement on-going and well-established interventions where the partner NGOs (FFI, PRCF and CPC) have already well-established working relations with local government agencies and local communities.

There are three main field-based activities which the project will be funding and will included involvement of local communities;

1. primate and tree surveys (components 1 and 2),
2. community-based conservation action planning and (component 3)
3. supporting already established community conservation teams who patrol local forests (also included in component 3).

Component 4 of the project is implemented by PRCF. It is a cross-cutting component, which includes field-based coordination of activities at some sites and guidance on developing and the action planning process and its subsequent evaluation. It therefore includes all three field-based activities described here.

The primate and tree surveys will have no adverse impact on local communities. The main objective will be to gather biodiversity data. There will be consultation with the local communities to identify locations in the local forests where target species are most likely to be found. For each survey, some local people will be requested to support the survey to act as guides and provide logistical support. Surveys will be carried out at the following locations Trung Khanh, Tung Vai, Du Gia, Tay Con Linh, Bat Dai Son, Sinh Long and South Xuan Lac. Tung Vai is not a protected area and the survey in Trung Khanh will take place outside the protected area. Survey results will enable protected area staff to steer management more effectively to target key biodiversity values within the already established protected area.

Participatory species conservation action planning is a central component of the project and a logical next step following the surveys. The project will develop and implement an approach, which begins at the village level and through a consultative process with local communities identifies actions to support conservation of local populations of target species. These consultations will be the basis for the development of species action plans at appropriate government levels, be they district or protected area. The approach will draw from already established methodologies such as Participatory Rural Appraisal and Participatory Action Research and actively address issues regarding possibly marginalised social groups within the communities, following examples of best practices such as World Bank safeguards. It will aim to rapidly establish a strong basis for local species conservation through raised local awareness, clear identification of social and cultural issues, pressures and opportunities for conservation, and support from local communities for conservation actions identified from within. The approach will be implemented at several sites and in so doing may be modified and improved. Guidelines will be produced to describe the approach drawing from the experience of implementing the project. The final output at each location will be an action plan, based upon the comprehensive multi-stakeholder consultation process. As such it will not lead to any adverse impacts on local communities, but should lead to follow-up conservation activities that have been identified through participation of the villages, which are most likely to be involved.

CEPF funding for this project will maintain and strengthen the community-based conservation teams at Mu Cang Chai, contiguous forest in Muong La, Khau Ca, Tung Vai and South Xuan Lac. This is the activity which is most likely to impact the livelihoods of local people. In most cases these teams have been running for several years already and appear to be effective in reducing threats to biodiversity in the forests that they operate in. At Mu Cang Chai, Khau Ca and South Xuan Lac, they operate within protected areas and support the protected area staff monitoring and patrolling the forest. They have limited enforcement powers and at most may confiscate guns and hunting equipment. Hunting wildlife is illegal in

any case. Any resources extraction is illegal in protected areas, but the patrol groups are mainly focussed on key species and in the case of tree conservation will be protecting individual trees of species recognised as being Critically Endangered. Nearly all patrol group members are drawn from local villages. In border areas, a border guard is also included. Tung Vai and Muong La are not protected areas and will most certainly be sites selected for participatory species conservation action planning. In this way the roles and responsibilities of the community conservation teams will be subject to consultation and made clear to local communities. At these two locations, the roles of the conservation teams will mainly be monitoring target primate populations and supporting awareness raising and reporting among local communities. In some cases they may be requested to support some enforcement activities such as collecting traps in the forest. They will be supervised by District Forest Protection Department officials.

There is one other location so far not mentioned. A conservation action plan for Francois' Langur is currently being developed for Ba Be National Park through another project and awareness materials developed through this CEPF project will be used to support follow-up activities there.

1.3. Summary of socio-economic context

To a certain extent, all target sites within the project can be characterised by some similar generic socio-economic characteristics. All sites are within Vietnam's poor mountainous provinces and the remote, ethnic minority communities living inside and on the periphery of protected areas are generally quite poor. All sites are home to populations of Vietnam's ethnic minorities, especially Tay, Nung, Dzao, Thai and Mong peoples. The overwhelming majority of people in Vietnam are Kinh ethnicity, but they are a minority in all project areas. Tay are the majority in the northern highlands limestone and usually hold a significant percentage of the government positions. Culturally and linguistically Nung are closely related to the Tay and may also occupy similar positions. At some locations, protected area staff also include other ethnic groups such as Mong.

As a result of the dominance of what are considered nationally to be ethnic minorities, no Indigenous People's Planning Framework will be prepared, because all measures to mitigate impacts to local communities that are described in this Process Framework will apply directly to local ethnic minority groups.

Nearly all communities close to project sites have relatively significant reliance on forest based natural resources for livelihoods, which typically includes the cutting of timber, hunting, clearance for agriculture (including slash and burn agriculture) as well as collecting non-timber forest products.

Below is a summary of the social context information available on each target site:

1. Cao Vit Gibbon Conservation Area, Trung Khanh, Cao Bang Province

There are no permanent residents living inside the conservation area. However, the numerous small flat areas inside the conservation area are used for small-scale maize production by households from villages living on the periphery, pre-dating the establishment of the conservation area. At present, these agricultural activities do not appear to strongly impact the gibbon population. The local communities are comprised entirely of Tay and Nung villages who mainly practice maize and rice cultivation on the alluvial river banks surrounding the conservation area. There are about 1,500 households in the three surrounding communes adjacent to the Chinese international border.

2. Ba Be National Park, Bac Kan Province

Ba Be National Park is home to four ethnic minority groups (Tay, Mong, Dzao and Nung) who live in 13 villages within the park. Tay people have lived in the area the longest and represent the majority. The Nung and Dzao people arrived about 100 years ago, while the

Kinh and Mong are relatively recent arrivals. There are over 600 households (over 3,500 people) living within the core zone of the park and a further 15,000 people reside within the buffer zone. Communities remaining in the area are dependent on resources from the lake and forest for their livelihoods.

3. South Xuan Lac Species and Habitat Conservation Area, Cho Don District, Bac Kan Province

Key socio-economic issues include agricultural expansion and mining, exploitation of wildlife, timber and non-timber forest products by local communities and mine workers in and around the site. There has been a recent increase in logging large trees inside the protected area and in the Buffer Zone Watershed protection areas. This has been associated principally with Dzao and Mong ethnic minority groups who have insufficient allocations of land for wet rice cultivation and have few other means of deriving livelihoods. Local communities are comprised of Tay, Nung, Dzao and Mong ethnic groups.

4. Bat Dai Son Nature Reserve, Quan Ba District, Ha Giang Province.

There were formerly 15 villages within the boundaries of the nature reserve. This has been reduced to three subsequent to the 2006-2007 forest reclassification process. These are poor villages of Mong and Dzao people with a rapid rate of population increase as well as highly damaging agricultural practices. Ethnic minority groups form the majority of the local population. The Swiss NGO Caritas is supporting communities on one side of the nature reserve.

5. Tung Vai Commune, Quan Ba District, Ha Giang Province

This area is not a protected area, but is home to a newly discovered population of Tonkin sunb-nosed monkey. Pressures exist from hunting and cardamom plantations from the local population. Local communities are comprised of Tay, Nung, Dzao and Mong ethnic groups. The forest lies on the international border between Vietnam and China, therefore it is a sensitive area with restricted access.

6. Tay Con Linh Nature Reserve, Ha Giang Province

About 5,300 people in 10 communes live in and around the nature reserve. These villages are mostly composed of ethnic minorities with high levels of dependence on the forest and destructive traditions of slash-and-burn agriculture and wildlife hunting. Use of the Strict Protection Zone for planting of Amomum (cash crop) represents a particular problem of land use management.

7. Du Gia Nature Reserve, Ha Giang Province

Du Gia is settled by members of the Mong ethnic group, and is cultivated, mainly with maize. Hunting presents a particular threat to biodiversity. The major causes of habitat degradation and loss are mining, clearance of forest for agriculture, fire, and over-exploitation of timber and non-timber forest products.

8. Khau Ca, Ha Giang Province

Khau Ca is surrounded by 16 Villages in 3 communes, containing just under 10,000 people in about 1,800 households. The largest ethnic group is the Tay (7,500 people), Dzao (1500) and the remainder Mong. These villages are mostly composed of ethnic minorities with high levels of dependence on the forest and destructive traditions of slash-and-burn agriculture and wildlife hunting. There is no direct threat from hunting in Khau Ca.

9. Mu Cang Chai Species and Habitat Conservation Area, Yen Bai Province

Mu Cang Chai Species Habitat Conservation Area is located in 5 communes: Che Tao, Nam Khat, Pung Luong, Lao Chai and De Su Phinh without any residential areas inside. Mong ethnic people account for 95.2% of the total population in the buffer zone of the conservation area while Kinh and Thai people make up only 3.54% and 1.26%, respectively. Agricultural land is very small that cannot produce annual sufficient food for residents. Exploitation of non

timber forest products causes significant pressure on the natural resources of the conservation area.

10. Muong La District, Son La Province

There are two major ethnic minority groups – Mong and Thai – living adjacent to the forest in Muong La. Their main incomes are from agricultural crops. There is high human impact on the forest especially from logging due to hydropower dam construction, which is also forcing relocation uphill to this area. Timber is required for new lodgings. Hunting still appears to be a direct threat to the gibbon and there is a long-term threat from habitat loss.

11. Sinh Long Conservation Area, Tuyen Quang Province

There has been little new information on this area since the end of PARC Project in 2004 and the construction of the Gam River Dam that resulted in relocation of 10 villages to other areas and whose impact has not been evaluated. At the time, the major threats to biodiversity at Sinh Long IBA were clearance of forest, hunting, over-exploitation of non timber forest products, timber extraction and isolation from nearby forest areas. It was anticipated that relocations would place greater pressures upon forest resources within the area as people would be forced to depend more heavily upon these resources to re-establish their livelihoods. Local communities are comprised of Tay, Dzaio and Mong ethnic groups.

1.4. Process of project development

At nearly all project sites, there has been engagement of local communities for several years in conservation activities and the project partners have a good understanding of local socio-economic needs and conditions. In most cases CEPF funding supports on-going activities at each site within an already established framework for long-term interventions.

The project has been discussed with all local government project partners, which in every case is the Forest Protection Department, from Provincial to local levels. In some cases, discussion has been explicitly related to development of the CEPF proposal, especially with Ha Giang and Tuyen Quang Provincial Forest Protection Departments where the project leads to a significant increase in conservation activities in the provinces. At other locations, the activities have been discussed with on-going programmes and projects.

At most locations, and at all locations where project partners have been operating for sometime, there has been extensive engagement of local communities in conservation activities. Details of previous community-based planning and socio-economic surveying activities are described on a site-by-site basis below:

1. Cao Vit Gibbon Conservation Area, Trung Khanh, Cao Bang Province

This location has had a high-level of community involvement in conservation planning, lead by FFI. In 2005, an initial resource use assessment collected socio-economic and resource use data from all 29 villages in the two communes (since then one commune has been sub-divided into two) surrounding the conservation area. Also in that year, a survey of attitudes and understanding of conservation was carried out in most villages. This was carried out mainly through interviews with a sample of households in each village as well as community leaders. In 2006, all villages were involved in Participatory Resource Use Planning that led to preparation of 2 commune resource use plans. In 2007 village development plans were developed for 5 villages adjacent to the protected area to guide activities that supported livelihoods with links to conservation objectives. There is a high level of awareness of conservation, particularly for the gibbon among the local communities, as there has been extensive awareness raising since FFI began working in the area in 2002.

The CEPF intervention will mainly be for primate surveys within the broader landscape and will have no adverse impacts on local livelihoods.

Main related references

Nguyen Hung Manh, Luan Viet Quoc and Pham Hoang Linh, 2005, *Initial Resource Use Assessment in Phong Nam and Ngoc Khe Communes, Trung Khanh District*, People, Resources and Conservation Foundation / Fauna & Flora International.

Tran Van Phung, 2006, *Participatory Resource Use Planning (PRUP) in Ngoc Khe Commune Trung Khanh District, Cao Bang province*. Fauna & Flora International.

Tran Van Phung, 2006, *Participatory Resource Use Planning (PRUP) in Ngoc Khe Commune Trung Khanh District, Cao Bang province*. Fauna & Flora International.

2007, *Investment project for establishment of the Cao Vit Gibbon Conservation Area in Trung Khanh District, Cao Bang Province*. Cao Bang Forest Protection Department and Fauna & Flora International.

2. Ba Be National Park, Bac Kan Province

From 1999 to 2004, Ba Be National Park was the focus of a GEF-funded integrated conservation and development project (PARC Project), which took participatory resource use planning as a starting point for guiding combined conservation and development activities. Since the project closed PRCF has been working at Ba Be building on the work that was carried out under PARC Project, albeit on a much smaller scale. Recently this has mainly involved with working closely with villages around Ba Be Lake in a number of key areas:

- Supporting local communities to engage in collaborative management of fisheries and forestry resources;
- Establishing village interest and self-help groups with small-scale micro-credit initiatives and facilitating sustainable livelihood activities;
- Project to locate populations of Francois' Langur and develop a community-based conservation action plan.

The CEPF intervention will mainly be for awareness raising of the Francois Langur in the national park and will have create no restrictions for local communities.

3. South Xuan Lac Species and Habitat Conservation Area, Cho Don District, Bac Kan Province

This protected area was established in 2004, following an intensive participatory planning process involving all surrounding villages. The process was an important outcome for the PARC Project in demonstrating strong community participation in protected area establishment. Leaders from each of the seven local villages are on the management board of the protected area, which is a first for Vietnam. Since 2008, PRCF has been supporting the protected area and is planning to pilot a scheme to enable planned extraction of some forest resources by local communities from designated areas within the protected area. Community conservation teams have been patrolling the forest since 2004.

Main related reference

PARC Project/FPD Bac Kan (2004). *Designation and collaborative management of the South Xuan Lac Species and Habitat Conservation Area, Bac Kan Province*. PARC Project VIE/95/G31 and Forest Protection Department Bac Kan, Government of Viet Nam (FPD) / UNOPS / UNDP / Scott Wilson Asia-Pacific Ltd., Ha Noi.

4. Bat Dai Son Nature Reserve, Quan Ba District, Ha Giang Province.

There have been no detailed community-based planning activities by project partners for this site so far. However two communes on one side of the nature reserve have been supported by Cartias, which has conducted PRA in target villages.

5. Tung Vai Commune, Quan Ba District, Ha Giang Province

In January and February 2009, FFI and Caritas conducted PRA in this commune. Some awareness raising about the Tonkin snub-nosed monkey has also been carried out.

Main related references

Caritas Switzerland, 2009, *Results of participatory rural appraisal (PRA) Quan Ba District, Ha Giang Province 1-2/2009*

6. Tay Con Linh Nature Reserve, Ha Giang Province

This is a new site for project partners.

7. Du Gia Nature Reserve, Ha Giang Province

This is a new site for project partners.

8. Khau Ca, Ha Giang Province

FFI has been working at this location since 2002. Resource use assessments and participatory land use mapping has been carried out among all surrounding villages. This has led to the establishment of a protected area in August 2009.

Main related references

Nguyen Hung Manh and Pham Hoang Linh, 2006, *Initial Resource Use Assessment around Khau Ca area, Ha Giang Province*, People, Resources and Conservation Foundation / Fauna & Flora International.

Tran Van Phung and Truong Thanh Nam, 2008, *Participatory Land Use Mapping (PLUM) for the proposed protected area at Khau Ca*, Thai Nguyen University of Agriculture and Forestry / Fauna & Flora International.

2009, *Feasibility Study for Establishing the Tonkin Snub-nosed Monkey Species Conservation Area – Ha Giang at Khau Ca Forest*, Ha Giang Forest Protection Department and Fauna & Flora International.

9. Mu Cang Chai Species and Habitat Conservation Area, Yen Bai Province

FFI has been working at this location since 1999. The protected area was established following an intensive process of community-based planning. This has also led to establishment of a Forest Protection Council, which is an advisory body to the protected area comprised of representatives of local communities. FFI is currently focussing much of its work at Mu Cang Chai on developing the capacity of the Forest Protection Council and strengthening its involvement in protected area management.

Main related references (available on www.hoanglienson.org.vn)

Dr. Dao Thanh Van, Dr. Dam Xuan Van, Giang A De, 2005, *Che Tao zonation report*.

Sebastian Buckingham, Tu Minh Tiep, Hoang Van Lam, 2002, *Agro-Ecological and Forest resources of Che Tao, Mu Cang Chai District, Yen Bai Province*.

Phan Thi Anh Dao, 2002, *Wild, semi wild natural resources of local people and several ecological issues in Che Tao, Mu Cang Chai, Yen Bai*.

Nguyen Thi Hong Van, 2002, *Gender Assessment Report in Na Hang Hamlet, Che Tao Commune*.

Nguyen Huu Thang, Ho Huu Nhi, Phan Anh Dao, Nguyen Thi Hong Van, 2002, *Socio economic features of Che Tao forest, Mu Cang Chai district, Yen Bai Province*.

Nguyen Huu Thang, 2002, *The impact of organisation and institutional process on protected area and ecosystem of Che Tao Commune, Mu Cang Chai district*

Swan, S.R., S.M.G. O'Reilly, 2004, *Mu Cang Chai Species/Habitat Conservation Area: Communities and Conservation in the Hoang Lien Mountains: Technical Report No.2*.

10. Muong La District, Son La Province

This area is adjacent to Mu Cang Chai Species and Habitat Conservation Area and previously a project site for FFI's Hoang Lien Son Project (2003-2007).

11. Sinh Long Conservation Area, Tuyen Quang Province

An investment plan for this protected area was developed in 2004 following an intensive participatory planning process involving all surrounding villages. The process was another important outcome for the PARC Project in demonstrating strong community participation in protected area establishment. Since the end of PARC Project there have been no conservation activities at this location and the protected area has not been formally established. In 2009, the PRCF initiated discussions with Tuyen Quang Forest Protection Department to develop new conservation initiatives and support the process for formal gazettement of the area as a new National Special Use Forest.

Main related reference

Bezuijen, M.R., L.F. Potess, Quan Van Tue, Trinh Thang Long, Nguyen Hung Manh and P. Insua-Cao (2004). *Development of the Francois' Langur Species and Habitat Conservation Area, Tuyen Quang Province, Viet Nam*. PARC Project VIE/95/G31 and Forest Protection Department Tuyen Quang, Government of Viet Nam (FPD) / UNOPS / UNDP / Scott Wilson Asia-Pacific Ltd., Ha Noi.

2. Participatory implementation

The involvement of local communities in implementation of the three main field-based project activities is described below.

2.1. Biodiversity surveys

Surveys for primates and trees will have no impact on local communities as a direct result of these activities. Surveys will begin with interviews in villages to identify the most likely locations where records of target species can be made. Commune and village heads will be the first points of consultation, and will advise on who among the local communities have good knowledge of the local forests for detailed interviews. It is likely that nearly all, if not all villages, will be comprised of ethnic minorities. The objective of these surveys will be to identify areas of highest importance to protect the target species and any threats to those local populations. Local people will be employed during the surveys to act as guides and provide local information and will be selected based upon fitness and knowledge of the forest. They will also be given training before the surveys.

Sites: Trung Khanh, Tung Vai, Bat Dai Son, Du Gia, Tay Con Linh, Sinh Long and South Xuan Lac.

2.2. Participatory species-conservation action planning

Participatory species conservation action planning lies at the heart of this project. It is during this process that local communities are most engaged and measures identify that can support conservation without adverse impact on livelihoods. The process will be developed in detail as a first stage of the project.

It will be implemented at sites where the need is most urgent to address threats to target species and where the ground work has not been done before, or where it has been done then insufficiently. The process will focus on local populations of a target species, or different species integrated together, e.g. where endangered magnolias might be discovered in the habitat of Tonkin snub-nosed monkeys. The objective will be to rapidly develop an action plan for local conservation of the species in a way that involves the main local stakeholders, especially local villages and local authorities. The process will include data collection, analysis of conservation threats and needs, awareness raising and participatory planning.

As a result of the biodiversity surveys, target villages will be identified with support from local government, in particular protected area staff, as having the most significant impact on the area. The role of the project will be to facilitate dialogue between these two different

stakeholders and find a consensus that supports conservation with minimal impact on local livelihoods and identifies appropriate measure to support local communities.

Once these villages have been selected village-level species conservation action planning will be conducted over several days. Village heads and representatives will be given training and support the process in their respective village. Participatory rural appraisal and participatory action research techniques will be used as a basis for gathering information from local communities. This will include natural resource use, livelihood needs and conservation threats. At the same time awareness raising will be conducted through village discussion and distribution of printed materials. This stage of the process will be concluded with some action points identified by the village based upon local knowledge that would support conservation of the target species.

Guidance described within the CEPF operational manual is comprehensive and entirely appropriate for this activity. Therefore it is quoted verbatim here: *“The process will support develop a more in-depth understanding of: (a) the cultural, social, economic, and geographic setting of the communities in the project areas; (b) the types and extent of community use of natural resources, and the existing rules and institutions for the use and management of natural resources; (c) identification of village territories and customary use rights; (d) local and indigenous knowledge of biodiversity and natural resource use; (e) the threats to and impacts on the biodiversity from various activities in the area, including those of local communities; (f) the potential livelihood impacts of new or more strictly enforced restrictions on use of resources in the area; (g) communities’ suggestions and/or views on possible mitigation measures; (h) potential conflicts over the use of natural resources, and methods for solving such conflicts; and (i) strategies for local participation and consultation during implementation of an action plan, including monitoring and evaluation.”*

FFI staff have strong experience in conducting such activities and facilitation consultation and participation with local communities. The process will be developed in detail and refined during the project to improve effectiveness. Following each village consultation, an internal assessment will be carried out to identify strengths, weakness and adaptations to improve the process. For each site it can be expected that this will be carried out at three or four villages. Prior to conducting the first such process, FFI and PRCF will consult other NGOs and carry out desktop research in order to ensure that sufficient attention is given to issues related to ethnicity, gender and inclusion of other potentially marginalised sectors of the community. World Bank safeguards will be used as guidance, to ensure both compliance with CEPF safeguards during project implementation and a stronger basis for follow-up interventions.

Once several village consultations have been carried out for one site, results will be compiled and presented in a stakeholder action planning workshop at the next appropriate government level, which is likely to be the district. This stakeholder workshop will include representatives from villages, communes, the district, protected areas with technical support from FFI, PRCF and CPC. An output of the workshop should be agreement on the framework for an action plan for species conservation.

Working groups will be established during the workshop to draft the action plan. Once drafted it will be circulated among government representatives. Following feedback and revisions the species conservation action plans will be presented to the initial villages visited for final comments and feedback.

Final action plans should be signed by district and/or protected area authorities and presented to village and commune heads.

Action plans should identify local conservation threats to the species, conservation needs, actions, available and potential resources to implement those actions, stakeholders and their roles and responsibilities.

Sites: This will be conducted at sites, where there had previously been no detailed conservation planning. It is most likely to include Tung Vai, Muong La and Xuan Lac and probably Sinh Long and Bat Dai Son.

2.3. Community conservation teams

At several locations, community conservation teams have already been established, CEPF will support their continuation. In nearly all locations they function within protected areas where extraction of resource is illegal. They are entirely comprised of local villagers (except one border guard at Tung Vai) and are managed by the respective Forest Protection Department / protected area management boards.

These teams will be supported by CEPF at: Muong La, Mu Cang Chai, Khau Ca, Tung Vai and South Xuan Lac.

At Mu Cang Chai, the Forest Protection Council acts as a community-based body for advising on protected area management and therefore the patrol groups. In addition, the patrol groups will support monitoring agreements with local households for maintaining current levels of cardamom cultivation in the protected area.

At South Xuan Lac, village heads on the management board also play a role in supervising the community conservation teams.

At Khau Ca, the community conservation teams currently patrol an area of pristine forest, where there has been very little human activity during the past seven years of project activity. The forest is now inside a protected area.

At Tung Vai and Muong La, the community conservation team currently only has responsibility for monitoring the forest and raising awareness among local communities.

3. Criteria for eligibility of affected persons.

It is unlikely that this project will have an adverse impact on local livelihoods, during the project timeframe, as most of the activities are concerned with surveying and planning. The latter will ensure strong consultation of local communities.

The species conservation action planning will be designed to identify early on any possibly affected persons and even to identify restrictions that are already in place as a result of establishment of a protected area in the past. Solutions will also be identified where conservation actions might lead to restrictions in the future. As stated before, the action planning process will not lead to actions being taken by the project, but will support development of conservation interventions in due course. The process will therefore support mitigation of adverse socio-economic impacts.

Patrolling activities may affect some members of local communities, but in these cases activities of affected persons are likely to have been illegal.

4. Measures to assist the affected persons

The measures to assist affected persons will be through parallel co-financed activities that are implemented by project partners or through coordination with other projects.

FFI and Pan Nature will be implementing an EC-funded project at Mu Cang Chai and Khau Ca to strengthen grass roots participation in protected area management. This will involve establishing village-level institutions and facilitating them to negotiate stewardship agreements with the two protected areas. A small grants programme will be tied to the stewardship agreements that will enable the village-level institutions to develop and

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implement their own small projects to support village development in such a way as to reduce pressure on the forests.

Villages will be selected mainly based upon proximity and impact to the protected area. At the same time this is likely to target the most marginalised communities.

FFI will coordinate between the CEPF project and the EC-funded project at the site level through site-based field officers who will be involved in both projects and at the project management level.

At South Xuan Lac, PRCF is taking steps to facilitate negotiations between the protected area and local communities to develop the type of stewardship agreements, sometimes referred to as benefit sharing mechanisms, to enable local communities to benefit from some limited extraction from the protected area. Funding is being sought to develop this process. Approval has been given by the provincial and central government to pilot this activity. The participatory action-planning process that is likely to be conducted at South Xuan Lac through this CEPF project will take steps to investigate possible mechanisms for a stewardship agreement, although being species-focussed it will be limited.

At Tung Vai and Bat Dai Son in Quan Ba District, FFI and CPC will be collaborating with the Quan Ba Rural Development Project, which is being implemented by Caritas. Already Caritas has supported PRA at Tung Vai and included this commune within its next project phase with a view to support FFI's biodiversity objectives through its own poverty alleviation goal. Therefore FFI's involvement in Tung Vai has already led to planned benefits for local communities, although FFI will not be directly implementing those activities. The Quan Ba Rural Development Project has been operating in two communes on one side of Bat Dai Son Nature Reserve. Caritas, CPC and FFI have had discussions on integrating tree conservation activities within the rural development activities of that project.

At other locations, participatory species conservation action planning will enable measures to be identified that will assist affected persons prior to conservation activities being initiated. For this reason the programme development component of the project is essential to enable funding to be raised for conservation interventions in parallel for measures to address affected persons by any such activities.

5. Conflict resolution and complaint mechanism

The participatory species conservation action planning process should identify areas of potential conflict, possible solutions and, importantly, mechanisms for addressing such conflict. This will mainly occur during the district level workshops, but project partners will ensure that during village consultations there is sufficient opportunity for villagers to raise concerns and identify issues of potential conflict and that these concerns are relayed to the higher level planning meetings.

At Mu Cang Chai, the Forest Protection Council will develop its role for resolving conflicts between the protected area and local communities. No other site within the project has an institution like this, so the experiences with the Forest Protection Council will be used to develop suitable conflict mitigation mechanisms at other sites. At Khau Ca, the co-financing EC-funded project will support development of similar institutions to the Forest Protection Council.

At locations where community conservation teams are operating, they perform the important function of acting as a communications link between local communities and protected area or forest protection authorities. They will therefore serve to identify sources of conflict and report to their supervisors.

On a monthly basis FFI and PRCF will monitor community conservation team patrol reports and liaise with protected area and forest protection supervisors over issues of conflict. The community conservation teams will be the main point of contact for informing potentially affected people of grievance mechanisms. Reports will be provided to project partners. Project staff will follow-up on any reported issues with affected persons directly in the field. Where relevant, the project will support affected persons to contact CEPF RIT.

FFI, PRCF and Forest Protection Department partners work closely with Commune People's Committees in planning activities and reporting on results. This is often the most appropriate level to address local areas of conflict.

6. Implementation Arrangements

FFI will take overall responsibility for managing the project and ensuring appropriate mitigation measures are taken. FFI will ensure that the approved version of this Process Framework is distributed and understood among partners. FFI project staff will conduct on-going monitoring of project activities and implementation of this process framework at all sites where FFI is coordinating field activities.

PRCF will coordinate project implementation in Tuyen Quang and Bac Kan and ensure that sufficient mitigation measures are taken in those locations. Importantly PRCF will also be supporting FFI to develop the guidelines for participatory species conservation action planning and so ensure that sufficient attention is given to mitigation measures within those guidelines. PRCF project staff will conduct on-going monitoring of project activities and implementation of this process framework at all sites where PRCF is coordinating field activities.

The Centre for Plant Conservation will implement all botanical surveys and provide technical input for species conservation action plans.

PRCF and FFI will conduct joint evaluation missions for most project sites towards the end of the project. At locations with an important tree conservation component, CPC will also participate. During the process of action planning at different sites, FFI and PRCF will meet on a regular basis to evaluate the process, make necessary refinements and ensure compliance with the process framework.

The Forest Protection Department and Protected Area Management Boards will be the main government counterparts to the project and will be involved in all field aspects of project implementation. In this way the project will be supporting the Forest Protection Department and Protected Area Management Boards develop their capacity to resolve issues of conflicts between local communities and conservation.

Commune and District People's Committees will be involved throughout the project in planning, reporting and consultations. They will support the project to identify needs of local communities and identify solutions to resolve conflicts. Commune People's Committees will also monitor activities of the community conservation teams.

Budget for monitoring and evaluation of process framework and project

It is very unlikely that activities of the project will adversely impact the livelihoods of local communities. Nevertheless monitoring implementation of this process framework will mainly be included within regular coordination visits at the project sites, but FFI and CEPF staff. Additionally three evaluation missions will be carried out towards the end of the project, which will include most of the project sites, but all project sites where there has been a significant level of activity.

Process Framework: Promoting Community Based Collaborative Management to Strengthen Long Term Conservation of Globally Threatened Primates and Trees in Priority Sites of Northern Vietnam

The co-financed small grants programme for local communities will be implemented regardless of possible adverse livelihoods impacts, but in such a case the project will prioritise use by affected communities as a compensatory mechanism.

Item	Unit	Unit cost	Number of units	Funding sources	Total
Monthly site-based project monitoring					
Food and accommodation	Person day	25	72	CEPF	1800
Travel	Trip	50	36	CEPF	1800
Monitoring and evaluation missions					
Food and accommodation	Person day	25	130	CEPF	3250
Meetings	meeting	60	8	CEPF	480
Car rental				CEPF	1800
Small grants					
Small grant		3000	18	Co-financing	54000