



Japan International Cooperation Agency (JICA)
Sustainable Natural Resource Management (SNRM)

Guidelines for Implementation of the Collaborative Management – PFES approach

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1. Introduction

The Japan International Cooperation Agency (JICA) and the Ministry of Agriculture and Rural Development (MARD) implement the Project "Sustainable Natural Resource Management" (SNRM) to enhance sustainable management capacity of Vietnam's forestry sector. The SNRM project consists of four components including i). Policy support, ii). Sustainable forest management and REDD +, iii). Biodiversity conservation, and iv). Knowledge sharing

The biodiversity conservation component (Component 3) is implemented at the Liang Biang Biosphere Reserve (LB-BR) in Lam Dong Province. The main objective of the component 3 is to establish an integrated and collaborative ecosystem management system to conserve and sustainably manage the LB-BR. To this end, a number of the component 3 activities have been developed and implemented including a Management Plan, Collaborative Management – PFES approach (CM-PFES), Benefit Sharing Mechanism (BSM), Environmental Education, and Biodiversity Monitoring.

The sub-component on CM-PFES, as a community-based forestry form (CBF), aims to improve the effectiveness of forest protection patrols by forest owners (FO) with the participation of local people. The CM-PFES sub-component has been piloting in Da Nhim and Da Chais communes since 2016, focusing on two priority forest areas managed by Da Nhim Forest Management Station of Da Nhim protection forest management board (DNPFB) and of Giang Ly Forest Protection Station of Bidoup-Nui Ba National Park (BNBNP).

This guide, a supplemental part of the "Introductory and Implementation Manual of Collaborative Management Agreements", is intended to provide detailed information for stakeholders to develop and implement the CM-PFES approach. The guideline also presents experiences or things to keep in mind whenever needed. Following the introduction, the guideline will cover the CM-PFES process in section 2. The specific content of the steps is described in section 3. Section 4 is devoted to present supportive tables and forms.

2. Process to implement CM-PFES approach

2.1 Principles to build and implement CM-PFES approach

When landscape actors implement the CM-PFES, some principles to keep in mind to ensure a successful CM-PFES approach include:

- a. Compliance with laws and regulations: CM-PFES activities do not contravene state regulations on forest protection and management.
- b. Consultation and collaboration: CM-PFES approach at the LB-BR is developed and implemented in consultation with LB-BRMB /FOs and in collaboration with provincial departments/ organizations

- c. Ensuring participation: The participation of all stakeholders, especially local people, forest rangers, and commune-level forestry officers should be ensured at the beginning of the implementation process that will help them understand clearly the information, master and involve in the process.
- d. Accessing to clear and complete information: Participants in CM-PFES need to communicate, understand, and agree on the approach, content and implementation method. The full reference of this guideline is a way to help the parties to have the overall picture of the CM-PFES approach and have a basis for development, discussion, and revision during its implementation.
- e. Ensuring monitoring and supervision: Regular and close monitoring of CM-PFES activities under the supervision of leaders of related institutions (e.g. of commune authorities and forest owners) is essential for effective operation of the model.
- f. Adaptive management: The application of adaptive management is very useful in the reality of diverse forest protection management in localities. Landscape actors can rely on the actual context to make changes in the content and methods of the CM-PFES to suit the reality.

Box 1. Note on participation of the stakeholders

It should be noted that participation has many levels from passive participation (e.g., sitting on demand in meetings) to full active participation (e.g. understanding and commenting on the subject in a dynamic and positive way), and self-mobilized. The person in charge of and promoting the process should pay attention to supporting this active participation, avoiding passive participation. The basis for building active participation is the skills of motivating, listening, asking questions, assigning tasks, encouraging, and ensuring necessary information is accessed and understood.

2.2 Process of implementing CM-PFES approach

The main stages of the CM-PFES approach are to establish a CM forest, form an appropriate CM-PFES team for forest protection, sign a CM agreement (CMA), and identify and implement CM activities that support forest protection and benefit the stakeholders, especially involved people. There are several steps or activities in each stage. However, the implementation process is context specific. Below, the process of CM-PFES approach implemented by the JICA-SNRM project in BNBNP is presented for your reference. Four specific stages in this process include preparation and enabling working environment, establishing CM forest and CM-PFES team, drafting and signing CMA, and developing CM activities and implementation as shown in the following figure. It is worth to note that depending on the actual situation, stakeholders may change, truncate, change the order, or take the activities simultaneously if appropriate.



Figure 1. Process and activities of the CM-PFES approach in the component 3 of the SNRM project

3. Contents for CM-PFES implementation

3.1 Preparation and enabling working environment for CM-PFES implementation

3.1.1 Providing enough information to stakeholders

The provision of information to stakeholders at the commune level about the CM-PFES action plan, in particular, CMA in general, is necessary, and can be done through:

- a. Inception meeting / workshop: District/commune leaders and officials in charge of local forestry, leaders of FMBs, and heads of forest protection stations in the area should be invited to participate in activities from the first step.
- b. Information exchange meeting: Officials of organization(s) responsible for the CM-PFES implementation with consultants, if available, can conduct meetings (half day) to disseminate information and exchange project activities with commune authorities and FOs.
- c. Disseminate information through available documents such as leaflets and reports: This form should only be used in addition to the above two forms.

3.1.2 Setting up working mechanism with stakeholders

Involved parties need to work together to set up an initial working mechanism. This activity can be integrated into meeting(s) mentioned in activity 3.1.1. A working mechanism can include identifying party of leading role, time and method of collaboration, and focal point person, etc.

3.1.3 Establishment of legal/collaborative foundation by an MOU

In case of necessity, the signing of a memorandum of understanding (MOU) on the operation (or trial) of the CMA at district level can be implemented. The MOU among stakeholders sets the foundation for regulating and management of CM activities. The content of the MOU should describe the purpose, location, time and contents of the collaborative management. The organization in charge of the implementation of CMA needs to draft a MOU and revise/ finalize it based on comments by related party before organizing the signing and announcing it to the line agencies and units. The draft MOU is shown as an example at Annex 4.1.

Box 2. MOU at the JICA-SNRM project

Because JICA-SNRM's CM-PFES approach involves some stakeholders in activities to be carried out in special-use and protection forests, stakeholders needed a District level Memorandum of Understanding as a legal basis to clarify the activities. Signatories included DPC, DARD and two related FOs (BNBNP and DNPFMB). This MOU is an important basis to promote the full participation of local stakeholders, especially commune authorities.

Note: Current CM-PFES activities were conducted smoothly in good collaboration with landscape actors because the SNRM project activities were approved by the PPC and because the CM-PFES activities were approved by the LB-BR MB. After the termination of the SNRM project, the replication of the CM-PFES activities under the leadership of FOs might face difficulties to obtain active participation and collaboration of stakeholders, considering vertically divided administration system. Therefore, a draft MOU between BNBNP MB and DPC with witness of the LB-BR MB was developed to secure the smooth replication of the CM-PFES activities.

3.2 Forming PFES team and CM forest

Depending on the specific condition, either the establishment of PFES team or CM forest can be done first, or simultaneously. There are several detailed activities including i). reviewing current or potential PFES teams and cultivators on forestland and establishing a CM-PFES team based on current or customary farming area; and ii). examining and identifying the potential CM forest, clarifying the boundaries and patrol paths.

3.2.1 Review forestland cultivators and establish CM-PFES team

In many places, forest owners conduct the forest protection contractual program based on a list of households proposed by the commune authorities according to administrative areas. In most cases, contracted forests are in remote areas, which are not tied to people's real needs and interests, leading to a number of disadvantages such as: i) Reducing enthusiasm and responsibility of people in forest patrolling and protection, ii) increasing the cost and time of patrolling, iii) local people tend to expand their cultivated lands if the place is not in their contracted forest for protection, especially when they contracted by one FO and cultivated on the land of the other. Therefore, the participatory organization or rearrangement of PFES teams, in which contracted forests based on the cultivated areas of the people will increase their rights and responsibilities. The (re)organization of the PFES team is made based on the assumption¹ that people have a higher benefit and a higher incentive for responsibility when they manage and protect the forest areas surrounding lands they are cultivating. Steps for FOs and stakeholders to conduct the task include:

- a. Survey should be made about people's cultivated lands on forest land (number of cultivated HHs, HH's name², cultivated area, plot location). The entire surveyed area includes all cultivated plots which are relatively sketched on a map to identify cultivators/land users (see Figure 2 below).
- b. In respective cultivating areas identified above, a list of cultivated HHs should be made with checking their PFES contract for necessary information (name of PFES team, contracted area, current payment). The form of information to be collected is shown in the Annex 4.2.
- c. A plan should be made to swap the contracted HHs in a way that HHs who cultivate at the same area can work together in the same CM-PFES team as far as possible.
- d. A meeting should be organized with people affected with the above swapping including team members to agree on the changes and to establish new teams. This is an important meeting. In order to do it, FOs and stakeholders should follow the steps below:
 - Make a list of potential HHs nominated for the CM-PFES team, the future contracted area for each HH and the amount of payment. An ideal CM-PFES team is comprised of 10-15 HHs. A sample of the list of potential HHs with related information is shown in Annex 4.3.
 - Print a map of the CM forest to be allocated for each CM-PFES team (area, type, volume and other information).

¹ This assumption is accurate in case of JICA-SNRM project.

² It is noticed that in EM areas, it is easy to misspelling of EM people's names, this may cause confusion.

- Plan the meeting including venue, time, and content/agenda of the meetings.
- e. Organize institutional meeting. Internal governance of the CM-PFES team is important for its effective operation. Based on current situation, it is likely that the hosting party/in-charged person may need to carry out and facilitate additional meeting(s) to help the newly established CM-PFES team to organize and operate, especially at the beginning. Proposed contents of the meeting are:
 - Establish the CM-PFES institutional system (e.g. election of head and treasurer etc.).
 - Set principles of governance (inclusive, transparent, gender sensitivity, etc.).
 - Set role, responsibility and benefits of the team members.
 - Discuss ways and plans to patrol and protect the forest and other activities.

Box 3. Other way to formulate a CM-PFES team

Forest owners may hold meetings with all PFES members and ask them to provide information on traditional farming sites. The information is put into an excel file and sorted by traditional farming locations. Then FO will check the information with the PFES database to plan the (re)organization of CM-PFES teams. The strength of this approach is time saving. However, the weak points are i). People may not provide true information; ii). The officers in charge may have no idea of the local locations provided; iii) Easy to confuse due to the names of the areas in ethnic languages and often have unclear boundaries.

The following figure shows an example of a Google map sketching of farmers' cultivation plot included in forestry land.

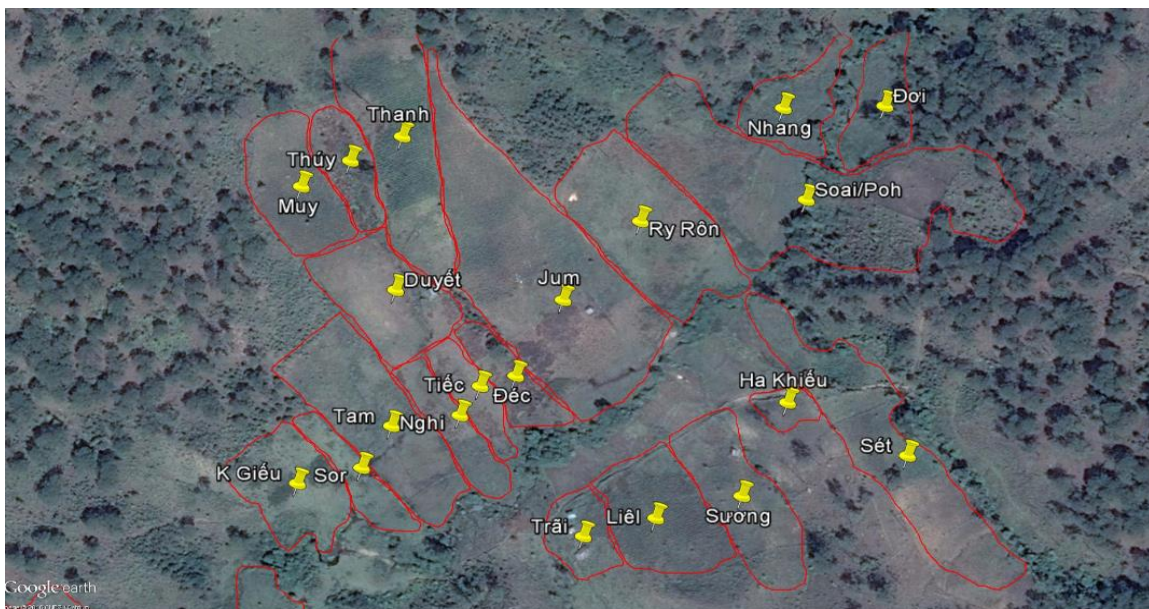


Figure 2. Example of sketching Kon Lach farming areas using Google maps

Box 4. Note on the survey of traditional cultivation land included in forestry land

Where possible, FOs should develop a complete database by surveying all traditional farming areas included in forestry land. This database not only helps the establishment of the CM-PFES team, but also helps the forest owners and stakeholders monitor the land, assess risks and negative impacts, as well as carry out necessary activities to minimize them. This database also helps expand the CM model at appropriate time.

To implement a CM intervention in accordance with CM approach, it is necessary to select a priority CM forest area based on criteria set by involved parties. Common criteria are risk of encroachment, forest value, implementation feasibility (eg. distance from village, the capacity of forest rangers), and preference of local people (eg. Having forest resources, being sacred/traditional forest). Stakeholders can determine their own criteria through a multi-stakeholder meeting which can be integrated with those in activities 3.2.1. In the JICA-SNRM project, most of the agricultural cultivation plots included in forestry land (traditional cultivated land) meet the above criteria. Steps to follow to choose a CM forest include:

- a. Based on the agreed criteria, FOs select, in a refined manner, a forest area(s) in cooperation/ coordination with stakeholders for possible CM intervention with conditions that: i). Its location is close to the cultivated plots of the CM-PFES team members; ii). Its area is large enough to ensure making the new PFES payment amount to each household, which is at least same as current one.
- b. Based on the location of the traditional farming areas, the FOs review the PFES contract data and contract map to initially identify the area of potential CM forest, which is consistent with the capacity of the CM-PFES team and the management of the responsible forest protection station.
- c. FOs officially issue and print the map of the CM forest for the CM-PFES team.
- d. FOs conduct a field visit with the PFES team and CPC forestry officials to confirm and agree on the CM forest with its boundaries. This field work can be incorporated into a survey to identify potential effective routes for future patrolling of the CM forest. Records including minutes and mapping of the work can be useful. Specifically, in this field trip FOs, representatives of local authorities and community/members of the CM-PFES team carry out the inspection and handover of the CM forest with the proposed contents:
 - Identifying boundaries of the CM forest and patrol routes and patrol sites.
 - Examining each household's farming area, especially identify and agree upon the forest boundaries adjacent to household's farming area to establish a "baseline status quo" to ensure every new invasion will be detected quickly and clearly. In the process, the inspection team can mark the boundary by marking (painting) on live trees, setting up landmarks, and recording coordinates. The boundary determination record is shown in Annex 4.4.
 - Identifying suitable areas for CM activities such as NTFP planting under canopy, etc.

- Identifying and adjusting inappropriately proposed locations in the field if needed.

Note: In this field trip, GPS and a map of the CM area with boundary (A3 size) should be carried.



Figure 3. Examining the boundary of the CM forest in JICA-SNRM Project, BNBPN

3.3 Drafting and signing CMA

Different from the MOU signed between district stakeholders, acting as an umbrella framework, the CMA specifically presents activities and cooperation in the field. The CMA helps those directly involved in the tasks understand the overall picture and implement activities effectively. The CMA establishment is a participatory process that can be initiated as early as the establishment of the CM-PFES team.

Depending on the actual capacity of the signatories, the CMA shall be signed by the commune authorities, leaders of forest owners, and representatives of head(s) of villages CMA belongs to (in case of the JICA-SNRM project, it was the newly established CM-PFES teams). To establish a CMA, in-charged party/person shall perform the following tasks: i) Drafting CMA with clear role, responsibility of involved parties, and collaborated topics/activities; ii). Consulting the CMA draft with stakeholders or meeting with related parties to agree on the contents of CMA; and iii). Conducting the signing of the CMA at a CMA signing ceremony.

3.3.1 Drafting the CMA

For the contents of the CMA, the party/person in charge of drafting the CMA needs to consult with related parties throughout the CMA development process. The contents of the CMA may include the following sections:

- a. Legal grounds: The signed documents at provincial, district, MOU, and other documents.
- b. Information on the CM area: Determine the area / resource (e.g. forest) with area, boundary, map, and other descriptions if necessary.
- c. Participants: Being parties to the contract.
- d. CM activities: Depending on local conditions, many relevant activities can be carried out in a CM model. In general, there are the following groups of activities: i) Activities of the CM-PFES team and field activities to enhance the effectiveness of forest protection (eg. Identifying forest boundaries, Drone forest monitoring, build fire watchtowers, and effective patrol paths, etc.); ii). Strengthen capacity for the PFES team and community (using technology equipment, legal knowledge, establish community funds, NTFP development activities, etc.); iii). Capacity building for staff (knowledge of using map skills, use of technology equipment, management software, etc.).
- e. Rights and responsibilities of the parties in the implementation of the CM-PFES.
- f. Other terms including funding sources, coordination mechanism, effective period of the collaboration, etc.
- g. Commitments and signatures of the parties.

It is worth to note that some of the contents of the CMA such as CM forest, CM-PFES team, parts of the roles and responsibility of parties, and some activities, etc. may be different from case to case. Hence, to be easier for replication, this variable information can be left open, moved all or partly to an attachment of the CMA. This is what the JICA-SNRM project did for its latest CM Agreement and a sample is available as attached in the Annex 4.5 . Regarding to this, the JICA-SNRM expects that the CM-PFES activities are widely replicated in the LB-BR after the SNRM project termination. Under the PFES patrol site-based CMA, however, it surely requires lots of advance preparations and of procedures to replicate CM-PFES activities in wider areas, which makes the replication of CM-PFES activities likely very difficult. Thus, the above discussed commune-based CMA covering forestland under PFES contract in a commune was drafted to lessen workload, time, and procedures for the preparation of the CMA.

Box 5. Sources of funding for CMA operation

CMA activity, which is aimed to conserve forests in the LB-BR, is one of the important activities of the Management Plan of the LB-BR (MP). In accordance with the MP, each party of the CMA is required to formulate its own Annual Action Plan of the MP (AAP) each year, which include the CMA related activities/ budget in order to secure the fund for CMA operation. Thus, consensus making on securing necessary budget for CMA activities must be made in advance. Therefore, it is strongly recommended that CMP³ on the establishment of CMA with BSM should be organized in advance to make a consensus / agreement among stakeholders including parties for collaborative activities on CMA with roles / responsibilities. The CMP meeting can be organized as a meeting described at a/ b of 3.1.1.

³ See Guideline and Report on CMP of the SNRM project – Component 3.

3.3.2. Consulting the CMA draft with stakeholders

After the CMA is drafted, the party hosting the CM Agreement holds a meeting with related parties to agree on the contents of the CMA. Proposed contents of the meeting are:

- a. Brief introduction of the establishment of the CM-PFES team, and the CM forest (a clear map is useful) as well as other important updates.
- b. Introduction of the contents of the draft CMA (emphasizing the roles, responsibilities, and rights of the parties, especially benefits to the community/CM-PFES team).
- c. Discussion of the concerns raised by parties, making revision/resolution if needed for the final agreement of the draft CMA.
- d. Planning for the CMA signing ceremony (venue, time, participants, agenda, logistics, etc.).

3.3.3 Organizing CMA signing ceremony and implementation

The parties cooperate to organize the signing ceremony of the CMA with the participation of leaders or high-profile representatives of FOs and CPCs concerned, leaders of CM-PFES teams, heads of village communities and other related landscape actors. The contents of the proposed ceremony are as follows:

- a. Opening remarks
- b. Introducing the content of the CMA
- c. Brief Q&A and comments
- d. Statement of leader / representative of key stakeholders
- e. Performing the signing between the parties
- f. Acknowledgements and closing remarks

Note: It is important to confirm the agreement of all parties on the CMA before the ceremony. Although questions and clarifications are accepted, lengthy discussion of the CMA contents should be avoided.

3.4. Identifying and implementation of CMA field activities

Detail activities (e.g. how to patrol the forest, which species are suitable, what knowledge to be capacitated, etc.) are often not presented in the CMA but identified in participatory follow-up meetings with local people and other related agencies. Hosting party will meet with CM-PFES teams to develop detail CM-PFES activities and plan for implementation. It would be great for all the parties to analyze assumptions and potential risks⁴ associated with the activities and develop mitigation measures if needed before the implementation. In addition, field visit to check the appropriateness of the activities is recommended. Specifically, some important tasks are:

⁴ Risk can be contextual or programmatic, social, cultural, or environmental, etc. and can be analyzed in terms of its impact level and likelihood to be necessarily dealt with or not.

- a. CPC leaders and FOs should nominate and immediately assign staffs to implement the CMA including a focal point person for monitoring the implementation of the agreement.
- b. Concerned parties including local forest rangers /forest protection staff at stations work with the CM-PFES teams to develop detailed activities, provide necessary guidance, knowledge, skills, patrol techniques, and other supports.
- c. Conduct field check/survey to verify the activities if needed.

Box 6. Patrol activities of CM-PFES team in the component 3

Among others, the JICA-SNRM project introduced improved patrol methods to support CM-PFES team members to increase forest protection responsibilities, reduce labor intensity, save time, and avoid omitting report of forest violations. Activities to be carried out include: i). establishing effective patrol routes to the CM forest area with focus on areas with risk of encroachment etc., ii). developing a patrol forms for recording, storing and monitoring patrol results (Appendix 4.4), and iii) equipping and training on how to use patrol equipment including GPS, maps, and forms. iv) discussing any forest change in google map-based photos updated with drone monitoring.

Conducting M&E and adaptive management is very important for effective implementation of the CMA activities in the field. Criteria and indicators for M&E as well as collaboration mechanism among parties including information collection and sharing may be established in the above meeting or in a separate meeting. At the CM-PFES team level, the indicators focus on the outputs of their activities. Regarding forest patrolling, a form for CM-PFES team used to report their patrol result is presented in Annex 4.6. Forest rangers /forest protection staff at concerned stations need to record and update this filled form into the cloud patrol database after the CM-PFES team's submission.

Leaders of the CPCs and FOs should monitor and supervise CM-PFES activities regularly through the cloud patrol database and their focal point staffs. In addition, the hosting party should organize meetings with the leaders of the CM-PFES teams and commune authorities monthly to update the situation of the CM activities, evaluate and improve the coordination between the parties. At the commune level, the CPC and FO leaders shall monitor both the outputs and outcomes of the CM-PFES activities. Hence, concerned parties should allocate human resources for these tasks thoroughly. A form for monitoring and supervision of CMA activities is shown in Annex 4.7.

4. Annex of auxiliary tables and forms

Annex 4.1. Example of an MOU

<p>LẠC ĐƯƠNG DPC THE SOCIALIST REPUBLIC OF VIETNAM SNRM PROJECT MB <i>Independence - Freedom - Happiness</i></p> <p>No. <input type="text"/></p> <p>MEMORANDUM OF UNDERSTANDING <i>on Implementing CM Model for forest protection</i></p> <ul style="list-style-type: none"> - Pursuant to the Law of Forestry 2018¹; - Pursuant to the decision 1164/QĐ-UBND dated 03/06/2016 by Lam Dong PPC on the establishment of the Lang Biang World Biosphere Reserve Management Board (LB-BRMB); - Pursuant to the Project Document and the Operational Plan of the Sustainable Natural Resources Management (SNRM) project approved by Lam Dong PPC; - Pursuant to the Decision No. 440/QĐ-UBND dated 02 March 2017 promulgated by Lam Dong PPC on the establishment of the SNRM Project Management Board, BNBPN (SNRM); - Pursuant to the Decision No. 786/ QĐ-UBND dated April 27, 2018 approving the 5-Year Management Plan (2018-2022) of the Lang Biang World Biosphere Reserve (LB-BR); <p><small>¹ Article 102 on the responsibilities of state management on forestry by People's Committees at all levels.</small></p>	<ul style="list-style-type: none"> - Pursuant to the Decision 198/QĐ-BQL dated 30/1/2018 by LB-BRMB on the establishment of the Collaborative Management Platform (CMP). <p>Today, ath.....,/...../2017, at Lac Duong district; We include:</p> <ol style="list-style-type: none"> Representative of Lac Duong District People's Committee: <i>Mr. (Ms.)</i> <i>Position:</i> Representative of SNRM project Management Board: <i>Mr. (Ms.)</i> <i>Position:</i> <p>agree to collaborate to implement the CM model to protect the forest with the following contents:</p> <p>Article 1. Objective</p> <p>To increase the effectiveness of forest protection and biodiversity conservation in the core and buffer zones of the LB-BR.</p> <p>Article 2. Scope of the collaboration</p> <ol style="list-style-type: none"> Improvement of forest patrol and protection <ul style="list-style-type: none"> - Trial on identification and demarcation of boundaries of agricultural land cultivated on forest land; - Reorganization of contractual forest protection groups toward
<p>connecting forest protection responsibility to HHs to protect the forest surrounding their crop lands;</p> <ul style="list-style-type: none"> - Strengthening the effectiveness of forest patrolling by using positioning equipments (GPS/data logger), drone, and improved patrolling method, and on-line management of patrol results; - Strengthening communication to improve perspectives of targeted communities on forest protection; <ol style="list-style-type: none"> Improvement of local people's livelihoods <ul style="list-style-type: none"> - Improving agricultural production techniques including coffee cultivation techniques, making organic fertilizer using available materials; - Introducing, supporting, and expanding new livelihood models including improved cow raising, shitake mushroom growing; - Establishing market linkages for products produced by local people including persimmon and shitake mushrooms, and coffee Organizing to implement CMP <ul style="list-style-type: none"> - Organize the CMP on a 6 month regularly basis for stakeholders to discuss and to solve local issues relating to forest protection and biodiversity conservation. This CMP is also a venue for parties to discuss and handle problems arising in the CM process at all levels including benefit sharing mechanism and issues affecting local people's livelihood and living environment. - Collaborative management platform (CMP) is operated by SNRM project and LB-BRMB secretariat <p>Article 3. Site for CM model implementation</p>	<p>Target location for the implementation of the CM model is the target villages of the SNRM project of Da Chais, Da Nhim, Da Sar communes and Lac Duong town of Lac Duong district, Lam Dong province. This area belongs to the core zone and buffer zones of the LBRR.</p> <p>Article 4. Implementation arrangement</p> <ul style="list-style-type: none"> - The Lac Duong DPC and the SNRM Project Management Board shall coordinate with BNBPN and DNWSMB of Lac Duong DPC to develop and implement the Cooperative Management Agreements (CMAs) with CPCs and target communities to implement specific activities mentioned in Article 2. - Funds for implementation of the activities shall be discussed and integrated into the source of PFES or other financial sources of the stakeholders and are shown specifically in the CMAs. <p>This Memorandum of Understanding is made in three (03) copies, one (01) for each signed below party, and has the same value.</p> <p style="text-align: center;"><u>Lac Duong DPC</u> <u>SNRM project Management board</u></p> <p style="text-align: center;"><u>LBRR Management Board</u></p>

Annex 4.2. Table presenting survey results of cultivators on forestry land

Information of the cultivators					Information of the HHs current contract				
Name of the hotspot	Name of cultivators	Village	Com mune	Cultivated area	Name of PFES team	Forest station	Compartment, sub-compartment, Plot	Area	Payment amount
Area A									
Area B									

Note: If a HH cultivate in different areas, he/she shall be listed in different row

Annex 4.3. Information form of potential members of the CM-PFES team

Name of the CM forest	Name of the potential CM-PFES members	Old contract		New contract			
		Name of the PFES team	Contracted area	Compartment	Sub compartment	Plot	Contracted area

Annex 4.4. Form recording of CM forest boundary

.....PPC
(.....Forest owner)
 No:../.....

SOCIALIST REPUBLIC OF VIETNAM
Independence – Freedom – Happiness

WORKING RECORD

(On determining the boundary between forest and HHs' cultivated land on forestland)

Today, at ... hour....., dd/mm/yyyy, at the forest compartment no., of commune

..... .We include:

1. Representative of HH:
 - Mr. (Mrs.).....Village:Commune:.....
2. Representative of forest owner.....:
 - Mr.(Mrs.).....Position.....

3. Representative of district forest division:
 - *Mr.(Mrs.).....Position.....*
4. Representative of CPC:
 - *Mr.(Mrs.).....Position.....*

We together check, identify and agree on the boundaries between the forest/forestland and the above HH's cultivated land on forestland with the following specific information:

1. Location: Compartment:.....Sub-Compartment:.....Plot:
2. The contiguous boundary between forest/forestland and HH's cultivated land is marked with landmarks with the following geographical coordinates:

Landmark no.	Coordinates		Note ⁵
	X	Y	
1			
2			

3. Other information (e.g. Number, species, size of forest trees still remain in the HH's cultivated land):

.....

This record is made into (04) four copies at hour... .. the same day, is read to all present, agreed and signed, each party keep (01) one copy with equal validity.

Representative of HH

Representative of forest owner

Representative of district forest division

Representative of CPC

⁵This can be used to describe landmarks such as live trees, newly built landmark, boulders, stream beds, etc.

Annex 4.5 Component 3 - CMA as an example

<p style="text-align: center;">VIET NAM SOCIALIST REPUBLIC Independence – Freedom– Happiness</p> <p style="text-align: center;">-----</p> <p style="text-align: center;">AGREEMENT</p> <p style="text-align: center;">On Forest Management, Protection and Development Collaboration</p> <p><i>Pursuant to the Project Document and Operation Plan of the Sustainable Natural Resources Management Project (SNRM) approved by Lam Dong Provincial People's Committee.</i></p> <p><i>Pursuant to Decision No. 440 / QĐ-UBND of March 2, 2017, of the People's Committee of Lam Dong Province, on the establishment of the SNRM Project Management Board;</i></p> <p><i>Pursuant to the Memorandum of Understanding for Piloting Collaborative Management Activities in Lac Duong District signed amongst four parties: Lac Duong District People's Committee, Department of Agriculture and Rural Development, Bidoup-Nui Ba National Park Management Board and Da Nhim Watershed Protection Forest Management Board dated Oct 16, 2017.</i></p> <p>Today, at , DD/MM/YYYY, at we are(forest owner) and CPC of agree to make this agreement to collaborate in forest protection and management with local communities or PFES groups, as the third party, with the following contents:</p> <ol style="list-style-type: none"> 1. We agree to work together to manage, protect and develop forests according to the details presented in the attached "Content of the Collaborative Management Agreement". 	<ol style="list-style-type: none"> 2. We are responsible for arranging personnel and facilities, providing necessary direction and guidance for relevant officials to implement this Agreement no later than 2 weeks after the Agreement is signed. 3. In the event of any unsolvable issue occurred, we agree to bring the matter to the Lang Biang Biosphere Reserve's Collaborative Management Platform to discuss and agree on the resolution. 4. To facilitate the replication of this Collaborative Management Agreement (CMA), the representative of the local community/the leader of the PFES team, as the third party, shall implement the signing in the attached Annex "Detailed Information of the collaboration". The signature value of the Community Representative/Head of the PFES team (hereinafter referred to as forest protection group-FPG) on the Annex is equivalent to the official consensus signature on the main document. 5. LBBR Management Board will take lead with the collaboration of related parties to review this Agreement (including xx main pages and the numbered annexes are those that cannot be separated) every two years or when a party's request for a review is submitted. The Agreement is valid from the date of signing, replacing any previously signed CMA (if any), each party keeps one copy which has the same value. <p style="text-align: center;">FOREST OWNER CPC</p> <p style="text-align: center;">LBBR MANAGEMENT BOARD (WITNESS)</p>
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<p style="text-align: center;">CONTENTS OF THE CMA on Forest Management, Protection, and Development</p> <p>1. Contents of the collaboration</p> <p>The signed parties will work together to decide specific tasks to implement this CMA. The agreement includes but is not limited¹ to the four collaborative contents below:</p> <p>1.1 Strengthening forest monitoring in vulnerable areas</p> <p>Strengthening forest monitoring is carried out through the following activities:</p> <ul style="list-style-type: none"> - Clarifying and consolidating boundaries between forest and traditional cultivated land to prevent forest encroachment - Enhancing the effectiveness of forest protection patrolling of the FPGs and forest rangers/ forest protection forces - Strengthening forest monitoring by using drones and satellite images. <p>1.2 Capacity building for related parties</p> <p>Capacity building for related parties is carried out through the following activities:</p> <ul style="list-style-type: none"> - Training and practice techniques of using technological equipment, GIS software, Aerial photo processing, and maps. - Training to provide knowledge and practice techniques of collecting and storing patrolling results and building an on-line database of forest protection patrol. - Communication on knowledge about law, regulations, forest protection contract and training on communication skills, etc. <p><small>¹ Adding and/or revised contents will be presented in the Annex for each FP group.</small></p>	<p>1.3 Strengthening exchange of information and forest protection database amongst the parties</p> <p>Increasing information exchange is done through the following activities:</p> <ul style="list-style-type: none"> - Meeting among the parties to discuss and agree on selected criteria and indicators² to monitor the effectiveness of forest protection activities. - Develop and agree on rules for sharing database and information among related parties. <p>1.4 Solving local problems, enhancing rewards and handle violations through Collaborative Management Platform (CMP)</p> <p>Collaborative management platform (CMP) which could function as venues for initial consultations with relevant stakeholders about CMA and especially Benefit Sharing Mechanism (BSM), problem solving in the course of implementation of the CMA, and other local issues negatively affecting local peoples' livelihoods and environment. Hence, the three parties shall conduct a meeting or a CMP to solve emerging issues/problems and to decide on how to provide reward for achievement or to handle violations if necessary³.</p> <p>The level of rewards and sanction shall be in accordance with current state regulations⁴, PFES contract in combination with effective traditional/local solutions (but suitable to current laws).</p> <p><small>² Focus on a few key criteria and indicators such as performance of PFES teams (times of patrol/month, number of violation recorded/discovered, etc.) and impact (eg. encroached area, logging volume, forest fire, reforestation area).</small></p> <p><small>³ This includes small-scale forums such as between forest owner and commune authorities or between forest owners, etc. at different levels and may not depend on the organization by the LBBR Management Board.</small></p> <p><small>⁴ Decree 35/2019/ND-CP dated 25/04/2019 on Regulations on Sanctioning of Administrative Violations in Forestry.</small></p>
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The process to implement a CMP includes i). Identifying local most concerned issue/problem, ii). Organizing the CMP (incl. identifying most relevant stakeholders, developing contents and logistics), iii). Conduct and finalization of the CMP (including report on process, results, and recommendations).

2. Responsibilities

Responsibilities of key parties are shown below:

2.1 Forest owners

Forest owners are responsible for:

- (1) Presiding over and appointing forest rangers at forest protection station to coordinate with the community and the communal government to clarify the boundary between forest and crop land located on forestry land.
- (2) Proposing measures in accordance with the laws and the interests of the people to strengthen the boundaries to prevent encroachment (e.g., tree species, landmarks) and through the line agencies to encourage people to sign commitments not to encroach on forest / forest land.
- (3) Strengthen monitoring and evaluating forests through periodic inspections and weekly briefings between FP station heads and FPG leader.
- (4) Planning, providing technical guidance (including the use of maps, GPS, data logger if necessary) for FPGs and supervising the forest patrol of FPGs.
- (5) Actively collecting the results from technological equipment for forest monitoring and data from FPGs to build databases on forest changes.
- (6) Leading the training to provide knowledge and practice of techniques for collecting and storing patrolling results and develop an online database of forest protection patrols for related parties (including database of farming households on forestry land, violated households, etc.).
- (7) Request FPGs to correct mistakes in patrolling and handle violations at the site when discovered or reported by the FPGs.

- (8) Implementing communication on knowledge of law, regulations, and PFES contracts for local people and stakeholders.
- (9) Leading the meeting to enhance effective forest protection including sharing information and selection of criteria and indicators for forest monitoring.
- (10) Coordinating with local authorities to conduct a meeting or a CMP for making decision on how to reward achievement or punish of violation relating to forest protection and management.
- (11) Finding and building support sources for the FPGs through programs and projects (e.g. Developing programs, projects for investment and development of the buffer zones under Article 16, Decree 156 / 2018 / ND-CP).

2.2 Communal authority⁵

The commune-level government has the following specific responsibilities:

- (1) Appointing CM management staff (e.g. from Commune Forest Management Board) to support CPC leaders to fulfill their responsibilities as follows.
- (2) Coordinating with forest owners and people to clearly define the boundary between forest and crop land located on forestland and periodically monitor and supervise.
- (3) Supporting and proposing appropriate measures for forest owners and people to consolidate the anti-encroachment boundary (e.g., to integrate state-supported programs managed by communal authorities to provide to people crop varieties for planting in legally applicable area, etc.).
- (4) Proactively coordinating with forest owners and FPGs to supervise forest law compliance in the CM area and firmly aware and update forest protection results/status in the CM area (including database of violating households).
- (5) Strengthening necessary capacity to improve the effectiveness of forest management and protection (including facilities and skills such as using maps, technological equipment, database management, communication skills, etc.).

⁵ Article 102, Forestry Law.

- (6) Work with forest owners to select and unify the regulations on information and database sharing among related parties.
- (7) Taking lead in making rewarding and encouraging the achievement of forest protection and management of households in the area (e.g. Prioritizing to participate in state programs and projects) and handling violations of forest laws at the community level (e.g. applying penalties, self-criticizing in community meeting, not giving priority to participate in programs and projects in the area).
- (8) Carrying out other duties in accordance with the law including supporting forest owners to develop programs and projects to develop buffer zones, receiving reports of violations/risks of forest fires, and quickly mobilizing forces, means of organizing firefighting, etc. (Article 16, 51, 53 of Decree 156/2018 / ND-CP).

2.3 PFES teams/CM communities

PFES team or CM community has the following specific responsibilities:

- (1) Taking direction and direct management of forest owners including supervision and guidance on professional skills of local forest protection agencies/forest rangers.
- (2) Supporting local forest ranger stations and local authorities to clarify the boundary between forest and crop land located on forestland.
- (3) Planning and implementing patrols, checking and preventing acts of deforestation, exploitation of forest products, hunting of forest animals, encroachment of forests/forest land and other violations, and risks of forest fires according to regulations of the law on forestry within the contracted area.
- (4) When detecting violations, risks of forest fires, FPGs are responsible for implementing preventive measures under the guidance of forest owners, if necessary taking notes and make a record of the initial inspection, protect the site and the material evidences, and promptly report it to the forest protection officials to make a written record of handling violation according to regulations.

- (5) Actively improving forest patrolling capacity by participating in training and practice in using technological equipment (cameras, GPS, "data logger"), maps, recording patrol forms, or updating knowledge of forest protection laws and regulations.
- (6) Participating and contributing opinions in meeting with other parties to decide on how to reward achievements or to deal with violations relating to forest protection and management.
- (7) Working with other parties for communication to the community on laws, regulations on forest protection and sustainable forest management.

3. Benefits

- (1) The benefits or interests of stakeholders involved in the CMA are at the core of ensuring the CMA sustainability. Although it is known that the most important benefit for state stakeholders including local authorities and forest owners is that forests are better protected or forest protection efficiency increases simultaneously with the improved capacity, in order to encourage the contributions of directly involved staffs, leaders of local government and forest owners agree to seek appropriate resources within the legal framework to support these people including but not limited to travel expenses, responsibility allowances, providing opportunities to improve knowledge, techniques, skills and equipment.
- (2) The most important benefits for local community/people are unanimously presented below.
 - A. Sources of benefits may be considered:
 - i. Payment for forest environmental services (PFES)
 - ii. State programs and policies (such as Decree No. 75/2015/ND-CP; Decision no. 1600 / 2016/QĐ-TTg; Decision 24/2012/QĐĐ-TTg; Degree 156/2018/ND-CP; Decision 297/2019/QĐ-TTg) including buffer zone development and investment programs and projects developed by BNNP (stipulated in Article 16, ND156 / 2018 / ND-CP).Details will be decided by stakeholders through CMP.

- iii. ODA projects as well as other foreign-funded projects
- iv. Non-financial benefits such as enhanced knowledge, skills, market access.
- v. Non-timber forest products, forest products, appropriate areas intermingled with agricultural crops, cattle grazing within the scope of the law (Decree 156/2018 / ND-CP).

- B. Specific benefits that will be available to the people agreed during the term of this CMA are shown below. Responsible parties will conduct consultations with local people and relevant departments to have a detailed implementation plan.
- i. Forest owners shall consider to spend a part of the PFES management fee to pay and reward teams / individuals who have made achievements in forest protection and management according to the law.
 - ii. Forest owners prioritize FPGs to participate in community-based activities such as eco-tourism and scientific research.
 - iii. Forest owners give priority to members of FPGs to participate in the buffer zone development and investment programs and projects.
 - iv. Local authorities give priority to CMA-involved FPGs and individuals with achievements in receiving local state support programs, including but not limited to capital borrowing, participating in capacity improvement activities including knowledge and skills of agricultural production and market connectivity. The implementation of livelihood improvement support shall be undertaken in accordance with the procedures and regulations of the respective departments concerned and the collaboration of related parties through the implementation of the CMP.
 - v. Forest owners and local authorities prioritize involved CM FPGs and individuals with achievements in forest protection and management to benefit from activities initiated and/or replicated by the SNRM project, including mushroom cultivation, improved coffee production and market connectivity, improving cow-shed, participating in providing eco-tourism services, etc.

- vi. Forest owners (of protection forests) consider for the FPGs to collect NTFPs in natural forests and forest products in the planted forest (if any), or conduct combined models of forestry and agricultural and fishery production in appropriate areas according to law provisions (Articles 20,21, 25, Decree 156/2018 / ND-CP).

4. Dealing with agreement violation

- (1) Any party to this Agreement may request a (CMP) meeting when find violation(s) of a party during the implementation of the Agreement. When unsolved issues remained, the party may request the support of LBBR Management Board in writing or call to notify the Secretary of the LBBR Management Board.
- (2) Individuals who are state officials participating in the implementation of this Agreement if violated are handled by his/her supervisor according to state law.
- (3) If involved FPGs/individuals violate forest protection regulations, they shall be punished in accordance with the law (Decree 35/2019/ND-CP), PFES contract and other appropriate forms decided in the (CMP) meeting (which may include but not limit to a self-review in front of the community, subtraction of PFES payment, or termination of PFES contracts, etc.).
- (4) The competence to handle violations is stipulated in Article 34, Delineation of sanctioning competence, Decree No. 35/2019 / ND-CP.

5. Implementation arrangement

- (1) Local authorities (CPC) and forest owners nominate appropriate staffs to monitor and implement this Agreement within 7 working days after the Agreement is signed and inform related parties (full name, title, phone number, email).
- (2) Forest owners take the lead in coordinating and encouraging related parties to carry out necessary tasks (including detailed planning, time arrangement, manpower and facilities) to complete the activities in the Agreement.

- (3) Forest owners coordinate with stakeholders to hold regular meetings in the first week of each quarter to monitor and evaluate the Agreement implementation. The meeting may include but not limited to the following contents:
 - i. Review and update new regulations and changes of Lang Biang Biosphere Reserve or new relevant legal regulations on forest protection and management.
 - ii. Evaluation of performance and results achieved in the last quarter
 - iii. Lessons and experiences in the implementation process, proposing solutions to handle emerging problems including forest violation.
 - iv. Identify activities and make plan with clear assignment of responsibilities to the parties for the next quarter.
- (4) Forest owners actively report the results of the implementation of the Agreement to LBBRMB every quarter after the quarterly meetings with involved parties or when there are requests from LBBRMB or competent authorities. The report may include but not limit to the followings:
 - i. Progress of implementation against schedule
 - ii. Implementation results
 - iii. Difficulties, advantages, lessons learned
 - iv. Activities, plans for the next quarter
 - v. Conclusions and recommendations
- (5) Budgets for the organization, operation, or participation in the CMA activities (e.g., regular or irregular meetings to evaluate the outcome of the Agreement) will be incorporated into the approved PFES source or other appropriate budget lines of the organizations.

ANNEX (no.) Detailed CM information of FPG

1. Venue:
 - 1.1 The area carried out the monitoring and management of forest protection:
 - Compartment: Sub-compartment: Plot:
 - Area: Forest type:
 - FP station: Forest owner: Administrative area:
 - Other description (including resource status, etc.):.....
 - Location and map: (attached)
 This area is mentioned as the CM Area or CM forest in the main text and below.
 - 1.2 The area where the support activities are carried out:

Activities to support the CM can be carried out in the above CM area or in target villages that are the habitat of the people related to CM forest.
2. Additional Agreement (if any):

Below is the contents of the parties agreeing to amend and supplement:

 - i.
 - ii.
3. List of the FPG members
 - i. Full name: Address:
 - ii.
4. Commitment statement

My name is, I am (position)....., representative of the FPG (name) read and understood clearly the content and agreed together with the team's members, and pledged to fully implement the contents of the CMA.

Signature:Date:.....

Annex 4.6 Record form for CM-PFES patrol



PATROL RECORD FOR CM-PFES TEAM

Team:...../ number of participants.....

Date://..... **Patrol type:** Regular Irregular

Patrol route:/From:..... To:.....

to and end at

Patrol result:

Forest fire: Description:

Team's response:

Forest cut: Description:

Team's response:

Trap/hunting: Description:

Team's response:

Logging: Description:

Team's response:

Land encroachment: Description:

Team's response:

Other violations: Description:

Team's response:

Team's suggestion:

.....

Representative of the team (signature)

Annex 4.7 Form for monitoring CMA activities

CM activities	Target/objectives	Indicators	Sources of data	Responsibility	Time of monitor