Establishment and Multifunctional Uses of Local Watershed
Protection Forests in
Ha Tinh, Quang Binh, Quang Tri Provinces

by Franz Schmithusen

Report on
Consultancy on Protection Forests and Forest Legislation

July 19 - August 07, 1998

Project MARD/KfW/GFA

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Executive Summary

The report examines the ways and means to establish 10,000 ha of local watershed protection forests as part of the afforestation project of the Ministry of Agriculture and Rural Development and the Kreditanstalt in the Provinces Ha Tinh, Quang Binh and Quang Tri.

The findings of the report refer to the protective functions of trees, forests and forest plantations in the three provinces; to the need of constituting a network of communal watershed protection forests in the foothills of the Western mountain ridges; to rural development objectives and physical land characteristics as the principal criteria for establishing this category of forests; to the need to involve local farmers and households on the basis of secured land use and management rights in setting up protection forests; to joint land management responsibilities between local land users and provincial and district authorities based on minimum requirements for sustainable protection management; to multipurpose uses of protection forests combining productive forest development and maintenance of protective values; and to diversified and locally adapted plantation schemes providing short term economic benefits for subsistence and market products as well as long term economic incentives from sustainable wood production.

The recommendations related to the afforestation programme focus on the need to continue the already established project methodology based on village land use planning, site mapping and plantation design and to integrate the zoning of protection forests into this scheme; to ensure that provincial and district authorities have sufficient capacity of preparing and delivering land-use certificates (Red Books) for a total of approximately 6,000 land users extending to 10,000 ha of protection forests within four years in the three provinces; to monitor the process of classifying watershed protection forests for the communities involved in the afforestation programme and the formal process of allocating land use certificates with the same attention as silvicultural and plantation operations; to promote locally adapted species selection and planting designs providing a suitable mix of species yielding short and long term economic benefits to land users; to rely on locally available knowledge and information in order to increase the proportion of native species suitable for the plantations; and to foster in-service training, extension work and collaboration with regional institutions in view of an increasing demand for technical advice and assistance to farmers once that the protection forests have been established.

The recommendations addressing activities at the national level refer to the necessity to continue the integration of forest development components as part of overall rural development objectives; to reinforce and expand forestry expertise within the provincial and district Agriculture and Rural Development Departments; to distinguish more clearly between protection forests of national importance and those of provincial and local importance by giving equivalent weight to each of these categories in their respective social and economic context; to develop a broader vision of multipurpose forest management which provides economic opportunities from forest utilisation in combination with protection forest management; to develop flexible land use arrangements for local farmers and households; to define more closely alternative responsibilities of national or provincial forest management including the allocation of usage and management contracts; to establish minimum requirements for forest utilisation and management practices in the various categories classified as protection forests; to revise and consolidate the relevant decrees and regulations by simplifying their structure and wording; and to rely more systematically on process steering instruments which allow for regional and provincial solutions.
1. Assignment and Implementation of the Mission

Terms of Reference: The terms of reference provide for an analysis of the legal and administrative framework for establishing protection forests; for an assessment of the potential of this category of forests within the project areas of the three provinces concerned and for a proposal on their utilisation and management by local land users within an integrated perspective of agricultural and rural development. The results of this analysis and relevant recommendations were to be presented during a workshop organised by the Ministry and the project staff. On the whole it has been possible to follow the terms of references as determined in April 1998. However, in view of some new developments that have occurred during the last months it was necessary to make modifications in the sequence of the work of the consultant. In accordance with the national project director and the chief technical advisor the implementation of the mission followed the work plan as set out below.

Participation in the GTZ-MARD Workshop on Organisation of Local Forestry Management for the Implementation of the 5 Million Hectares Afforestation Programme (July 20-21): The workshop was an important national event which offered an opportunity to high level representatives from the Ministry of Agriculture and Rural Development (MARD) and to representatives from political and technical authorities from the province to review their co-operation in agriculture and forestry and to identify bottlenecks which, at present, limit the effective use of field personal at the provincial, district and local levels. It showed the new orientations of the Ministry to operate through the existing forest organisation under the responsibility of the Department of Forest Protection as well as to promote a new and more integrated approach towards forests through sub-directions or sections under its Department of Forest Development. Whereas the forest protection organisation would retain its specific responsibility and organisational structure as determined by the forest law, the forest development units are designed as part of the provincial Departments for Agriculture and Rural Development (DARD). The creation of these units, which will ensure a closer relationship between forestry and rural development activities, is of considerable relevance to the project on afforestation in the three provinces.

Contacts with representatives of Ministry; Review of Available Documentation; Review of National Consultants Reports and Technical Discussions (July 22-23): The contacts with the representatives of the Ministry showed their awareness of the afforestation project’s potential for making a significant contribution to national policy development by establishing local protection forests. The practical experiences to be gained in the three provinces would also be a useful contribution to the process of revising national regulations for which a first draft has been prepared in June 1998. The review of the available documentation and in particular of the comprehensive and detailed reports prepared by the three national consultants for the workshop on protection forests showed that there is already a considerable amount of material available which identifies the principal issues and possible options at stake. The technical discussion with the national consultants confirmed their competence and in-depth knowledge of the subject. There was agreement that there is a need to deal with protection forests at the provincial level in a flexible way in order to leave room for region and locality specific solutions and to involve farmers and rural households in reforestation activities on the basis of assured land-use and forest management rights.

Participation in the Project Workshop on Management and Utilisation of Forest Products in the Protection Forest (July 24-25): The workshop offered an excellent opportunity to bring together the orientations as presently discussed in the Ministry and the experiences of the provincial representatives on the level of directors of the Department of Agriculture and Rural Development. The presentation of the results of their findings by the three national consultants were the central piece of the workshop and their conclusions and recommendations found generally support and agreement in the discussions. The summary statement on the conclusions of the workshop confirms the need of making some management decisions at the ministerial level with regard to local watershed protection forests as well as a general agreement on the promotion of local uses based on a suitable mix of tree species in the afforestation areas.

Field Travel in the Provinces Ha Tinh, Quang Binh and Quang Tri; Technical Discussions with Provincial and District Authorities; Visit of three Communal Afforestation Areas; Visit to the Forest Faculty of the Agriculture and Forestry University in Hue (July 27 to August 1st): The field travel showed a common pattern of geographical zones in all three provinces from the coastal belt to the mountain ridges following the border to Laos and the importance which trees and forest vegetation have for the protection of natural resources. It also demonstrated the considerable efforts made so far in tree planting but also the still large areas to be afforested in the future. The project organisation at provincial and district levels centres around the departments for agriculture and rural development and, as far as could be assessed during the short time of the visits,
appeared under the guidance of competent personnel. Altogether the discussions gave an indication for the considerable initiative and practical experience which the provincial and district authorities have in organising forest plantation activities and their commitment to foster forest development in favour of farmers and local communities. In two provinces examples of locally planned protection forests where visited and the criteria explained for making the decision appeared consistent and convincing. In the third province afforestations classified at present as production forests were visited. In all cases the need to transfer land use rights as a prerequisite for assuring the involvement of local land users in forest plantation establishment and the need to provide a species selection which ensures rapid economic benefits and cash income was strongly advocated. The visit to the forestry faculty showed another facet of rural forest development which is training of forestry and extension personnel as well as in service training with emphasis on the integrative role of trees and forest vegetation as part of rural development. The possibilities of a closer co-operation between the forest faculty in HUE and the afforestation project in the three provinces should be explored.

Discussion of Findings with Project staff and National Consultants; Presentation of Findings and Recommendations to Representatives of the Ministry; Preparation of Report (August 2-7): The major findings of the consultant have been discussed with the chief technical advisor and project staff. The recommendations were reviewed and discussed with the national consultants. Findings and recommendations were presented to the national project director and his staff on August 5. Comments from the project and the Ministry have been considered in the final version of the report.

2. Major Findings

Reference to the National Consultants Reports: The following statements on major findings draw on the analysis and material presented in the three national consultants reports. They are a valuable source of documentation on the national framework for constituting protection forests at national, provincial and local levels. They also contain factual information on local land use requirements as well as on silvicultural aspects in the project areas of the three provinces.

2.1 Need for the Constitution of Protection Forests

Important Protective Functions of Forest Lands in All Geographical Zones of the Provinces: In the three provinces the remaining forests as well as large areas to be afforested have important protection functions. This refers to the coastal belt in which afforestations for sand dune stabilization, protection of the sea water front and of river beds are of major importance. It refers to the westerly adjacent belt of irrigated agricultural land in which trees and village wood lots provide shelter for settlements and protection of local water resources. Protective functions of natural forest vegetation and of large-scale afforestations are probably of greatest importance in the zone of the Central Mountain Ridge and, in particular, in the foothills which form the transition to the agricultural plains.

Establishment of a Network of Communal Watershed Protection Forests: The activities of the afforestation program extend largely along the critical zone of the foothills of the Central Mountain Ridge. Forest lands and afforestations situated in this zone protect the water resources for large areas of irrigation developments and prevent or reduce soil erosion effects to adjacent agricultural areas, settlements and home gardens. Protection of clear water supply form local water points is the third important protective value of forest vegetation.

2.2 Criteria for Establishing Protection Forests

Integrated Land Use and Rural Development Patterns as Principal Criteria for Identifying Areas to be classified as Protection Forests: The principal criteria for classifying communal watershed protection forests should be the importance of such areas within the overall land pattern and its contribution to an integrated rural development which allows for productive economic utilization of agriculture water and tree resources in a framework of sustainable land management. This implies that areas to be reforested upstream of check dams, water storage basins and irrigation systems are clean water supply for settlements is essential. The functional importance of areas to be classified as local protection forests is to be judged according to present and future local demands and in accordance with prevailing land use options of the farming households and local communities.

Physical Land Criteria as Indicators for the Importance of Areas to be Protected: Exposition, slopes and major wind directions as well as depth and soil permeability in combination with other soil physical and chemical indicators are important complementary criteria which can be used for determining the need to classify land as local protection forests. The proposals made by the national consultant in respect appear to be valid in this
context. Based on exposition and slope, local relief differences and risks of soil erosion they provide a
classificatory grid, which serves as an indicator for the decision on the urgency to constitute a determined area
as protection forest. It is suggested to simplify the proposed classification to two levels by distinguishing
between highly important and important characteristics. With regard to slope, which is one of the principal
physical criteria, a gradient between 10 and 30 percent would be an indicator for average importance. Slopes
above 30 percent will generally be an indication for a classification as highly important.

2.3 Multiple Resources Development Objectives

Productive Resources Development and Protection Role of Forest Land as Complementary Objectives of
Equal Importance: If forest land in the foothills and mountainous regions of the provinces has important
protective functions, it is also a valuable resource for local supply and complementary agricultural production.
Moreover, considerable cash income and employment opportunities may be generated in the afforested areas.
Protective values combined with local uses and economic income opportunities are the principal reason, why
local protection forests are of importance to households and communities. The concept of multiple uses and
values of protection forests appears to be somewhat new in the country’s forest policy framework. However,
the field visits in the three provinces have clearly demonstrated the need to put protection and production at the
same level of importance, if households and communities should develop an immediate as well as a long term
interest in establishing and maintaining reforestation in such areas. One may also add, that the concept of
multifunctional uses and management of protection forests in mountainous regions is a modern and consistent
practice of forest development in European countries as well as in other parts of the world.

2.4 Long Term Use and Management Rights

Long Term Use Rights of Farmers and Households as the Major Incentive for Reforestation and Sustainable
Management of Protection Forests: The protection forests to be established at local level in the three provinces
are an important element of the rural space and need an integration into the overall land use opportunities for
agriculture, home gardens and water management. In addition they supply a wide range of goods and services
from trees and the forest vegetation. This implies that the usage rights as well as the management
responsibility for land to be afforested as local watershed protection forests should be clearly established in
favor of the households of the farming communities. Since the protection forests can only play their role in a
long-term perspective, it is necessary to transfer the use and management rights to the farmers on a long-term
basis. Long-term security of tenure is essential in order to ensure that the land-users have access to the newly
created forest resources and develop management techniques consistent with sustainable resources
development.

Implications of Long-term Use Rights of Households for Current Land Use Right Allocation: The principle that
local watershed protection forests will be used and managed by the farm households of the community in
which they are established implies that land-use right certificates in form of ‘Red Books’ are given to the
members of the community. By transferring long term land use rights, the farmers shall enjoy the benefits from
the forest plantations which they establish and become major agents for their management. The allocation of
long-term land rights in communal watershed protection forests may be based on Section 5/ Article 7 of
Circular 02 on the Allocation of Forest Lands of 15.01.94. This article stipulates that the State transfers land
use certificates (Red Books) to organisations, households and individuals for tree planting and long-term use
within protection areas of lower priority in communes and districts.

2.5 Balance between Interests of Land Users and Public Interests

Joint Management Responsibilities Combining Interests of Land Users and Public Interests of the State: The framework for operating local protection forests by farmers and local households needs to be based on joint-
forest management responsibilities. This calls for a new relationship between the public forest authorities and
the land users. They should be seen as agents of resource development, which are interested in the allocated
land parcels according to their overall requirements of subsistence, economic income generation, farm
development and employment. In this respect the forest administration in co-operation with other rural
development agencies has primarily the task to facilitate long-term land use practices by providing technical
advice and support. On the other hand the land users have to accept that local protection forests are not only a
resource for individual benefits but that they are also of considerable importance to the community as a whole.
This implies that they must refrain from devastative utilization practices, respect certain minimum requirements
in the public interests, and accept supervision of their activities by the forest administration.

District Boards and Village Rules as an Instrumental to Ensure Public Interests in Protection Forests: District
management boards play an important role in preparing the constitution of local protection forests and in
assisting local communities in defining the respective land use options. They also are as important actors in
advising on future forest utilization and management practices with regard to minimum requirements for
maintaining public protection values. Village Rules may be a valuable complementary instrument to ensure that individual land users respect the interests of the whole community. They should provide for collective decision-making processes at local level, which help to balance individual usage requirements with the need to maintain the protective functions of the forest cover as part of the communal space.

2.6 Minimum requirements for Sustainable Management of Protection Forests

Objectives of Land Users and Minimum Requirements to Safeguard Public Interests related to Protection Forests: The land users should be largely free in determining uses according to their prevailing needs and in accordance with the opportunities which they expect from long term management practices. On the other hand the establishment of protection forests by the state reflects the high value of forests respectively forest plantations for the public interest. This justifies that the transfer of utilization rights and management responsibilities to households and individuals will be subject to certain conditions. These management prescriptions comprise in particular the obligation to maintain the allocated land permanently under forest cover, to replant or to ensure natural regeneration after timber harvesting, to refrain from clear-cutting practices, and to favor forest management systems which maintain an uneven-aged multi-story structure of forest stands. In this context the allocation of more land, for example up to 50%, could be discussed as a possible compensation for restrictions incurring through joint management.

Combination of Private and Public Benefits from Protection Forests as Justification for an Exemption from the Land Use Tax: In as much as the land users have to respect minimum requirements of forest utilization in local protection forests an exemption from the land use tax appears to be justified. In as much as the households have the full usage rights they should not have to pay forest products taxes. Such tax exemptions are in fact to be seen as an incentive respectively a public compensation for the management responsibilities, which the land users have to accept for maintaining a protective forest cover. On the other hand it is evident that this kind of tax arrangements should only be made if an effective long-term use of the protection forests is guaranteed subject to an appropriate supervision of the forest authorities.

3. Recommendations

3.1 Recommendations to the Project

Implementation of a Network of 10 000 Hectares of Local Watershed Protection Forests: It is recommended to implement the project target of ca. 10 000 ha of local watershed protection forests as a central element of the afforestation program. With ca. 50 communities involved in the three provinces and with an average area of 200 to 300 ha per commune this target appears to be realistic. In fact, as the results from village land use planning become available it may well be, that the project target of 10 000 ha could be the lower limit of the possible requirements.

Continuation of Already developed Project Organization and Plantation Methodology in Combination with the Decision-making Process on the Constitution of Protection Forests: The project organization at provincial and district levels which has been set up since June 1997, appears efficient and should be continued. The developed methodology based on village land use planning; soil mapping and plantation design offers a solid basis for determining the areas to be classified as protection forests. In future communal project proposals this should be standard practice. In the village land use planning, studies already prepared an assessment of areas to be classified, as protection forests should be undertaken prior to the start of planting operations.

Preparing and delivering of Land-Use Certificates and monitoring of Provincial and District Working Capacity: The allocation of land use certificates to the farming households is indispensable for a successful involvement of the local population in the afforestation program. The capacity and readiness of the provincial and district authorities for delivering the certificates prior to the planting season is a key element in order to ensure that the program can be implemented according to schedule. The allocation of land use certificates is consequently an important part of project planning and implementation and needs careful monitoring.

Complementary Inputs for In-Service Training and Extension in Sustainable Protection Forest Management: Species selection and species mix is the most important aspect of the plantation design. An appropriate choice decides primarily on the economic benefits to land users as well as on the protective value of the newly established forest cover. The efforts already undertaken to identify suitable native tree species both with short-term economic outputs as well as with particular protective functions should be expanded. The use of available expertise from national consultants, research institutes and teaching institutions such as the forest faculty in HUE should be promoted. The decision-making on plantation design within each community requires a close
dialogue with the future land users. The actual practice of the project to consider their preferences with regard to species choice and planting schemes should be continued.

Increased Efforts with Regard to Species Identification and Selection of Mixed Planting Schemes including Native Tree Species: With the success of the plantation program the need of land users, local communities and district boards for advice and technical assistance in managing the protection forests will increase considerably. This calls for additional efforts in forestry and farming extension as well as for a change in attitudes of forestry personal within a common perspective of rural development. The project management organisation both at provincial and district levels should take up this issue already now by providing in-service training to a large number of field staff.

3.2 Recommendations related to the National Level

Contribution of Forestry to Rural Development: The afforestation programme in the three provinces is an example of integrating forest land management into a comprehensive rural development approach which benefits farmers and households both through economic production and water resources protection. It has considerable potential in providing field experiences for the Ministry’s new integrative land management policies at the national level. With regard to trees and forests the creation of the Forest Development Department together with sub-direction or section as part of the provincial Agriculture and Rural Development Departments is the principal step in this direction which has been undertaken recently. It is strongly recommended to continue and consolidate these efforts. It is a complementary and indispensable element to the tasks of maintaining the country’s forest cover and regulating industrial timber harvesting which is mainly attributed to the Forest Protection Department.

Protection Forests at Different Levels of the Community: The applicable regulations distinguish between critical and less critical forest protection areas implying at the same time a criteria for national and sub-national priorities classification. In the future the regulatory approach should more consistently define the importance which protection forests have at different levels of the community. Such classification would lead to three categories of protection forests; those of national importance, those of provincial importance and those of local and communal importance. In relation to their respective protection objectives, the three categories should be considered of equal weight. Regulations should be made which allow for differentiated utilisation and management arrangements. The present variations in delegating competencies for the constitution of protection forests, as regulated in Art.11 of the Circular 02/CP on Forestry Land Allocation in combination with Art.8, Sec.1-3, of Decree Nr.17-HDBT (General Forest Regulations) appear to be a reasonable basis for this kind of amendments.

Multiple Uses Forest Management: It is recommended to introduce and to elaborate more systematically the concept of multiple use forest management. Protection and production objectives may be combined in many cases but in other circumstances they are mutually exclusive. It is important to develop policy orientations and management guidelines, which determine the conditions under which multifunctional forest practices are an acceptable approach for combining protective values and economic forest production. Since the protective functions of the forest cover play a predominant role in mountainous areas their safeguard should be the principle point of orientation. The potential of economic uses and in particular timber harvesting in forests with important protective values should therefore be adjusted according to regional variations of the vegetation and to local socio-economic conditions. If the sustainable utilisation of resources cannot be ensured, protection forests should be excluded from utilisation. On the other hand the flow of economic benefits that can be generated by a long term multiple use land management system is an important incentive for the users to maintain protection forests. This is relevant in particular for the management by private and communal land users, which experience in a rather direct way the effects of good as well as of bad utilisation practices.

Minimum Requirements for Use Practices in Protection Forests: It is the task of forest law and regulations to establish the minimum requirements which may continuously satisfy the public interest related to forests and forest lands. In forests with important protective functions the responsibilities of the land users are considerably higher than in other forest areas. As has been set out for the afforestation program in the three provinces it is urgent to define for all protection forests within the country the minimum levels of management responsibilities as well as the limitations of acceptable forest uses and timber harvesting practices. According to experiences in countries with large mountainous forests the adjustment of the annual cutting volume to the long term production potential, the obligation to maintain the forest cover, the prohibition of clear cutting, the obligation for replanting or natural regeneration, and the responsibility to practice silviculture close to nature leading to uneven and multi-story forest stands are fundamental prerequisites for protection forest management.

Alternative Land Use Arrangements in Different Categories of Forests: It is suggested to distinguish more clearly between the legal constitution of different categories of forest lands and the decision on alternative forms of land tenure rights. The establishment of production, protection and special use forests, as foreseen by
the prevailing forest law, is primarily the result of policy decisions at national, provincial and local levels according to socio-economic objectives and physical land use potentials. The decision whether the various categories of forest lands should be used and managed by local land users, industrial production units or by the state administration is a question of economic opportunities, the role of the private and public sectors and of practical considerations as to what extent public and private interests may be combined under alternative land tenure arrangements. A clear distinction between the legal status of forest lands and alternative options for land tenure arrangements will allow for a more flexible pattern of forest resource protection and development.

Revision and Consolidation of Legislation related to Protection Forests: There is a considerable amount of regulations and provisions referring to protection forest uses and management. The importance of this category of forest land in Vietnam appears as sufficient justification to revise and consolidate the applicable decrees and regulations. This refers in particular to the need of improving the structure and sequence of provisions, to simplify the wording of relevant clauses, and to indicate in a concise manner the relevant objectives, the applicable obligations and prohibitions as well as the various incentives for sustainable uses and management practices. The revision of the forest protection regulations, that has been launched recently, will be an appropriate occasion for such a process of consolidation and amendments.

ANNEXES

Annex A/1: Terms of Reference

1. Review and analyse the report of the working group „Protection Forest”
2. Analyse the final report of the workshop „Protection Forest”
3. Discuss the distinction between Production Forest and Protection Forest under silvicultural, management of natural resources, administrative and socio-economic aspects.
4. Propose necessary amendments or changes to existing laws, decrees and rules & regulations concerning the management of natural resources
5. Review existing policy with regards to the classification of forest land
6. Examine the feasibility of the current forest legislation for the implementation of the afforestation in Ha Tinh, Quang Binh and Quang Tri Provinces.
7. Suggest a set of options for the compensation of farmers who are interested to participate in the afforestation program on land designated as Protection Forest
8. Elaborate a system of utilisation rights for plantations in Protection Forest areas.

Annex A/2: Persons met during the Mission

Ministry for Agriculture and Rural Development, Hanoi

- Prof. Dr. Nguyen Ngoc Lung, Director General, Department of Forestry Development, National Project Director

- Dr. Pham Quang Minh, Head of Silviculture Division, Department of Forestry Development, National Chief Co-ordinator

- Dr. Nguyen Hong Quan, Vice Director General, Department of Forestry Development

Project Staff and National Consultants

- Mr. Carl-Georg Arendt, Chief Technical Advisor

- Mr. Luu Minh Thanh, Assistant to CTA

- Mrs. Bui Thi Hong, Administrative Officer

- Mr. Dirk Kloss, Expert VLUP, Training Extension

- Mr. Ha Van Hung, Assistant VLUP
Annex A/3: Documents consulted


Doan Diem, 1997: Participatory Land-use Planning and Forest Land Allocation in Vietnam. MARD/FAO Project
Annex B/1: List of Laws and Regulations Relevant to Protection Forests


Decision Nr.327/CT on Some Measures and Policies for the Utilisation of Bare Lands, Denuded Hills, Forest, Alluvial Flats and Water Regime. Decision Nr.327/CT, 15.9.1992.


Decision by the Prime Minister on Ratifying the Afforestation Feasibility Project in Ha Tinh, Quang Binh, Quang Tri Provinces. Decision 435/TTg, 16.6.1997.


Annex C/1: Reports Prepared for the Workshop on Management and Utilisation of Forest Products in Protection Forests
Annex C/2 Objectives and agenda of the workshop "Protection Forest"

General

The objective of the project is to:

- Stabilise and improve the soil condition
- To improve ecological environment by upgrading the forest cover and to
- Improve the standard of living of the farm households participating in the project

To achieve these objectives, the project is charged with the afforestation of 21,000 ha of bare land and denuded hills, in ecologically endangered areas in Hà Tĩnh, Quảng Bình & Quảng Trị Provinces. The project is active in 10 districts with a total of 46 communes.

Almost 50% of the area envisaged for afforestation are forests likely to be classified as protection forest. Plantation, management and utilisation of these forests will differ substantially from the respective procedures in the production forest.

Knowing this, it is mandatory to review existing rules and regulations within the framework of national forest legislation for their suitability for the establishment and sustainable management of new protection forests with the motivated co-operation of local farmers. A continuing flow of revenues in cash or kind over an extended period is of paramount importance for both participating farmers and the forest administration to ensure the long-term achievement of the projects objectives.

Objective of the workshop

The workshop intends to consult decision-makers of different project levels as well as specialists from related
Ministries and institutions about their view on achievements and constraints on the issue of protection forest. The active involvement of all participants in the discussion is required to contribute significantly to the formulation of protection forest guidelines designed in particular for the swift and uncomplicated implementation of the project in Ha Tinh, Quang Binh and Quang Tri Provinces.

The baselines for discussions were laid out by the project by distributing the draft of *The regulations on management and utilisation of the protection forest* (June 1997) prepared by the Vice-Director-General Dr. Nguyen Hong Quan, and three reports prepared by Mr. Vu Long, Dr. Vu Van Me and Dr. Nguyen Ba Chat on the three focal points of the work-shop: *Forest legislation in Vietnam*, *Silvicultural Approach to the protection Forest* and *Issues and Constraints of Forest Protection*.

On the base of these reports the participants are invited to discuss:

- The standards for classification of protection forest in the project (What is the protection forest area of the project?).
- Silvicultural methods suitable for protection forest in the project. (How to ensure that forests maintain production and protection functions?).
- Policies on protection forest management and utilisation (rights and obligations of farmer households participating into protection forest plantation and management of the project).

**Time:** From 24 July 1998 to 25 July 1998

**Place:** Kim Lien Hotel, Hanoi.

## Workshop agenda

**Management and utilization of forest products in the protection forest**

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<th>Agenda</th>
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<tr>
<td>8:00 – 8:15</td>
<td>Participant registration and distribution of handouts</td>
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<td>08:15 – 8:30</td>
<td>Opening of the workshop</td>
<td>Mr. Nguyen Quang Ha, Vice Minister, MARD</td>
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<td>8:30 – 8:45</td>
<td>Project objectives in plantation and management of protection forest</td>
<td>Pham Quang Minh, National Project Coordinator</td>
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<td>8:45 – 9:10</td>
<td>Basis for identifying land for establishment of protection forest in the project area</td>
<td>Mr. Vu Van Me, ICD</td>
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<td>9:10-9:30</td>
<td>Questions and answers</td>
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<td>9:30 – 10:00</td>
<td>Tea break</td>
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<td>10:00 –10:20</td>
<td>Selection of tree species structure for planting protection forest and techniques applied for protection forest</td>
<td>Mr. Nguyen Ba Chat, FSIV</td>
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<td>10:20-10:45</td>
<td>Questions and answers</td>
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<td>10:45 –11:10</td>
<td>Socio-economic policies for encouraging the local participation in planting and co-management of protection forest in the project area</td>
<td>Mr. Vu Long, FSIV</td>
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<td>11:10 – 11:30</td>
<td>Questions and answers</td>
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Annex C/3 Summary statement of the workshop

A total of 56 delegates from National Project Management Unit, the 3 Provincial Project Management Units, departments, divisions, Farmers’ Unions, Women’s Unions of the 3 provinces and from projects belonging to the Ministry of Agriculture and Rural Development participated in the workshop. The participation of Professor Dr. Schmithuesen from ETH Zuerich University needs to be mentioned.

The workshop started at 8 h 15’ on 24 July 1998 in Hanoi.

Vice – Minister Nguyen Quang Ha, Chairman of the National Project Steering Committee, delivered an inauguration speech for in which he emphasised three objectives that the workshop needs to attain:

- The classification of protection areas
- Silvicultural solutions for protection forest plantations.
- Benefits and obligations for participating farmers.

The following reports have been presented and were discussed:
- Characteristics of the project "Afforestation in Ha Tinh, Quang Binh and Quang Tri provinces" financed by Germany through KfW.

- Criteria and methods for the classification of protection forest areas in the afforestation project.

- Selection of tree species and plantation techniques in protection forest area.

- Socio – economic policies on benefits and obligations of participating farmers.

- Draft of adjusting management regulation on protection forest.

- Management and utilisation of protection forest in Ha Tinh, Quang Binh and Quang Tri provinces.

Three groups have discussed these objectives and made the following recommendations:

**Conclusion of the workshop:**

The farmers participating in the plantation programme in less crucial protection areas are allocated land, financed through the project and will benefit from the products (100% of forest products, but under the guideline of forestry services) according to the management regulation on production forest. The questions was raised, if farmers were to pay taxes or other levies on the income from yielded forest products. This subject requires further discussion and will be regulated by a governmental decree. The question could not be finally decided as important questions need further discussion;

- Open questions concerning the increasing investment in protection forest plantation, tax - free land use and forest co-tenure;

- The capacity of farmers planting protection forest in crucial areas and very crucial areas to contribute to the cost of investment for plantations in the project area;

Areas in the project requiring protection for watershed management purposes do belong to the less crucial protection level. In these areas the management regulations for the production forest area will apply (Decree – 02). If an inter-compartment area is smaller than 50ha, the site should not be classified as protection area. The National Project Management Unit is requested to issue standard guidelines, in with special attention to criteria of slope to facilitate the classification of protection area by the end of 1998 according to the methods and procedures agreed by the State.

The workshop has affirmed the suitability of 104 tree species recommended by the Forestry Science Institute for the plantation in protection forest areas in the project. The orientation of mixed forest plantations along strips needs to refer to technical procedures of protection forest plantation. An urgent matter is the formulation of silvicultural guidelines including prescriptions on density, gradient of mixed planting, soil preparation, vegetation treatment, plantation and thinning, final felling and environmental protection.

**Annex D/1 Provincial Districts and communes involved in the project**

"Afforestation in Ha Tinh, Quang Binh and Quang Tri Provinces"

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<tr>
<th>Province / District</th>
<th>Communes</th>
<th>Note</th>
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<tbody>
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<td>Ha Tinh</td>
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<td>Duc Tho</td>
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### D/2 Plantation Projections for 1998

**Quang Tri Province:** 1165.3 ha
Ha Tinh Province: 879 ha
- Ky Anh District 293.1 ha
- Duc Tho District 282.5 ha
- Huong Son District 303.4 ha

Quang Binh Province: 846.7 ha
- Quang Trach District 266.1 ha
- Bo Trach District 278.8 ha
- Le Thuy District 301.8 ha