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**A review of Co-Management and Collaborative Model in
Bidoup Nui Ba National Park, Lam Dong province**

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Phan Trieu Giang,

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EXECUTIVE SUMMARY

International Cooperation Agency of Japan (JICA) implemented Component 3 "Biodiversity Conservation" under the "Sustainable natural resources management project" (SNRM) from 2016 to 2020 in the Bidoup – Nui Ba National Park, Lam Dong province. In preparation for the construction of project activities, JICA project team conducted a review on forest resources co-management models in some localities in the country.

The project team used a combination of both on-desk and case studies research in five provinces of typical forest management including Ngoc Son - Ngo Luong Nature Reserve (Hoa Binh province), Xuan Son national Park (Phu Tho province), Huong Loc, Thuong Nhat, Thuy Yen Thuong communities (Thua Thien-Hue province), Buon Tul (Dak Lak province), and Village 1 and 4 of Da Sar (Lam Dong province) in addition to a collaborative management model conducted by JICA conducted in BNNP from 2009-2013¹. The team interviewed and conducted group discussions with about 63 households in 10 communities, and more than 50 officials and researchers on community-based forestry from state agencies of various levels, universities, research institutes and non-governmental organizations.

In 8 models reviewed, 4 models are community forest management² including Hương Lộc, Thủy Yên Thượng, Buôn Tul và Đạ Sar and 4 models are collaborative management³ gồm Bidoup-Núi Bà, Ngọc Sơn ngỗ Luông, Xuân Sơn, và Thượng Nhật (having both community forest and collaborated forest). Some models are still operating after the project ends (Huong Loc Thuy Yen Thuong Xuan Son, Ngoc Son-Ngo Luong, Bidoup-Nui Ba) while the other models are weakening (Buon Tul), or has failed (Da Sar, Thuong Nhat). Continuing to operate after the project completion is a significant success of many models but most success was incomplete. In some models, such as Ngoc Son-Ngo Luong, Xuan Son, forest law violations has decreased significantly, the forest is well protected but direct benefits to people from forest protection is very limited. In the Huong Loc model, the locals seem to

¹ 1st phase from 2010-013 and 2nd phase from 2016-2020.

² Although, forests were allocated to communities. The forest use rights of the communities however are limited and they often need to work with different sides or under other's supervision to protect the forest.

³ State forest agencies retained ownership but collaborated or contracted with communities to protect their forests.

have benefited greatly from community forests, but their contribution in protecting nearby SUF is uncertain, not to mention the leakage impacts.

Research shows that the structure and operation of the models are quite diverse. Structurally, the models may have some or most of the components including the cooperation of two or more parties, the co-management area, village regulations, the benefit sharing and community funds, representative boards and member groups. Specifically, stakeholders can include state forest owners (NP, NR, FMB), the community and their board of representatives, the CPC, and the forest protection unit or rangers, donors and NGOs.

Co-management areas were assigned to the entire community (Thuong Nhat Thuy Yen Thuong, Buon Tul), to groups of households (Huong Loc), contracted to people by state agencies (Xuan Son, Da Sar), or belonged to individuals (Ngoc Son - Ngo Luong). Particularly in the 1st phase of BNBPN project, collaborative management area has not been determined. Communities are represented by a board of elected representatives. The participating households can be classified into forest protection groups or not. Village regulations exist in many models from a simple forms (Thuong Nhat, Huong Loc, Xuan Son, Ngoc Son - Ngo Luong) to a complex version (Buon Tul) or was absent (Thuy Yen Thuong, Da Sar). Community funds were generally small and have diverse sources from the sale of advanced timber from allocated forests (Buon Tul, Thuy Yen Thuong), from supports by projects (Ngoc Son, Huong Loc, Bidoup-Nui Ba), contribution from households (Xuan Son), from selling non-timber forest products (Thuong Nhat), or from the sale of confiscated illegal timber (Ngoc Son). Da Sa model had no community fund.

In terms of operation, in some well-run models only communities and forest owners worked closely while other stakeholders support effectively only whenever needed. At Huong Loc, Xuan Son, and Ngoc Son, the authorities did not directly involve but performed very good supporting the co-management model. Indeed, a complex operational structure is not necessary and difficult to sustain. In the good cases, the activities of co-management models were somehow integrated into the works or everyday tasks of state related parties (as in Ngoc Son – Ngo Luong, Huong Loc). By contrast, in some models, the participation of some important stakeholders were relatively low such as FPD in Huong Loc, Thuong Nhat, Buon Tul, Da Sar; or communal authorities in Buon Tul, Da Sar, and Bidoup-Nui Ba (phase 1). In addition, the coordination between NP and Management Boards of the buffer zone was also quite limited as in Xuan Son and Bidoup-Nui Ba National Parks. In fact, close cooperation of the local government agencies and community forest owners is an important

condition for the success of the model, especially for forest laws to be enforced seriously. The lax collaboration led to deforestation in many models such as Buon Tul and Da Sar.

At community level, the consensus and support of the community is important for co-management. To achieve this, the activities of the model should be simple, understandable and true to life of the people. Village regulations serves to adjust the operation of the village, however in many places village rules are too complex requiring complicated led to the negligence of the rule implementation (Thuong Nhat, Buon Tul, Da Sar , Bidoup-Nui Ba). Benefit-sharing mechanisms are important to motivate and enhance accountability of the people, however they were not clear in many models. Except in Huong Loc and Nui Ba National Park, people had quite important and stable benefit from critical resources, in other models, benefits are less specific and critical. Although most village funds were managed and and monitored pretty transparent, the majority of the funds were underperforming due to small-size and low efficient way of usage. They were usually used to pay for forest protection patrols (Thuong Nhat, Thuy Yen Thuong, Ngoc Son, Buon Tul), or for loans to households for production (Huong Loc, Ngoc Son, Buon Tul, Bidoup-Nui Ba) . This also reduces the operational efficiency of the co-management models.

The comparison of the models shows that limitations of co-management models are not only in the weak operation, but also in the shortage of critical components and their integration. A number of important issues in the models are:

- i. Co-management area is not clear: Failure to specify the co-management area will cause ambiguity to the parties, reduce the management responsibility, accountability, and effectiveness of the model. However, the allocation of forest to the community is just one of the options which can be effective only if relevant parties have well preparation, coordinate and monitor carefully the models and take measures to avoid the impact of leakages.
- ii. Lack of participation of important stakeholders: Some important stakeholders (such as CPC and influential companies in the local) should be involved in the model at some extent to promote confidence and participation of the people as well as to address the causes of deforestation and forest degradation thoroughly. Yet too complex model also reduces its feasibility particularly when no longer supported by the project.

- iii. The lack of coordination between the parties: The lack of coordination of the parties in supporting community to run the model, to enforce forest laws, and to handle violations can cause disoriented, disrespect the laws leading to the failure of the model.
- iv. Information, communication inefficiency: The communication contents on the role of forests, regulations and sanctions, and activities of co-management models are often generic or too complex. Published documents should be simple, concise, and practical to enhance stakeholders' interests, understanding, and compliance. Lack of communication to non-target communities also makes the model difficult to operate.
- v. Tangible benefits for the community (and governmental staff) are not attractive: Benefits or good clear outputs for takeholders are needed to promote their responsible participation, especially in the southern provinces. For the community, alternative livelihoods should be developed and diversified. The benefit-sharing should be fair and transparent. Wrong management of the village fund can reduce trust and and tangible benefit of the people.

We have some suggestions for the collaborative management model in BNNBP as follows:

- i. Identifying the co-management area: A clear co-management area will make sense of the model and make its operation more effective. The boundaries of the co-management area should be clearly recognizable with landmarks.
- ii. Strengthening the cooperation and responsibilities of stakeholders: Co-management is a multi-stakeholder process. Responsible participation of new parties including DNWMB, CPC, and possibly a number of influential local companies is likely necessary. The multi-party cooperation will help to implement and monitor the operation of the model, will make it more effective and sustainable, especially, to ensure the strict handling of violations and increase the effectiveness of the law.
- iii. Reorganization of the CM network members: The relationship between project activities in target villages needs tighter links with effective forest protection. For this, the reorganization of the CM network members is essential. CM members belong to many interest groups with different concerns, so the project schemes should be developed to suit each group so that they can share interests and responsibility according to their strength. Of which the direct forest patrolling groups play an important role.

- iv. Changing of benefit sharing mechanisms: Specific and fair benefit sharing will help increase the active participation of all parties. Benefit-sharing mechanisms should be effective and transparent and are built with the participation at the start of the project. For state stakeholders, the project activities should be integrated or align with the state's planning and operation to increase officials' participation and accountability.
- v. Improving the effectiveness of Village fund: The fund activities are highly appreciated by villagers. However, the efficiency of the village fund can be improved greatly by applying the model of microfinance.
- vi. Changing in PFES: PFES should not be imposed as a social subsidy policy. It should be used to pay to the real village forest protection force. Forest owners can rearrange or reselect forest protection households, and test to make payment to village communities through the village CM management board to increase the rights and responsibilities of the patrolling households and communities in forest management and protection.

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LIST OF ABBREVIATIONS

BNBNP	Bidoup Nui Ba National Park
BSM	benefit sharing mechanisms
CBET	Community-based Ecotourism
CBNRM	Community-based natural resource management
CFM	Community Forestry Management
CM	Co-management
CPC	Communal People's Committee
CSO	Civil Society Organization
DNWMB	Da Nhim Watershed Management Board
DPC	District People's Committee
EFLO	Environmentally Friendly Livelihood Options;
FLA	Forest Land Allocation
FMB	Forest Management Board
JICA	Japan International Cooperation Agency
LB-BR	Lang Biang Biosphere Reserve
LURC	Land Use Right Certificate
MARD	Ministry of Agriculture and Rural Development
MF	Micro-finance
NGO	Non-Government Organization
NP	National Park
NTFP	Non timber forest product
PA	Protected Areas
PFES	Payment for Forest Environmental Service
PPC	Provincial People's Committee
SFE	State Forest Enterprises
SNRM	Sustainable Natural Resource Management Project
SUF	Special Use Forest
VR	Village Rules
VDF	Village Development Fund

1. BACKGROUND OF THE WORK

1.1 Introduction

Japan International Cooperation Agency (JICA) plans to implement a new technical cooperation project named the Sustainable Natural Resource Management Project (SNRMP) to enhance the capacity for sustainable natural resource management in Vietnam from November 2015. SNRMP will consist four components including Policy support, Sustainable forest management and REDD+, Biodiversity conservation, and Knowledge sharing.

Biodiversity Conservation component is to be implemented in the Lang Biang Biosphere Reserve (LB-BR) in Lam Dong Province. The main objective of the Component is to establish an integrated and collaborative ecosystem management system for sustainable conservation and management of the LB-BR. Specifically, the component aims to: i) establish an institutional framework necessary for management and operations of the LB-BR; ii) upgrade/improve the collaborative management agreement with the benefit sharing mechanisms (BSM) as a tool for conservation of forest ecosystems in the core and buffer zones of the LB-BR; and iii) use the results of forest and biodiversity monitoring for the management of the core and buffer zones of the LB-BR.

1.2 Objective and approach of the review

This review on Co-management in Vietnam aims to provide information to assist Project Management Board (PMB) to identify and conduct appropriate activities to achieve the component objectives. The review was conducted from March to June 2016 using both on-desk and case study approach focussing on community-involved forest management models. Five provinces of diverse forest types and management approaches including Hoa Binh, Phu Tho, Thua-Thien Hue, Dak Lak, and Lam Dong have been studied.

In the study tour, based on a semi-structured questionnaire, the research team⁴ worked and conducted individual and group interviews and discussions with about 63 households in 10 communities, and over 50 officials and researchers from various institutions including State authorities from CPC to Central government, universities, research institutes, and NGOs. The list of institutions and number of people involved in the review is presented in Annex 1.

1.3 Composition of the report

This report presents key findings on Co-management review including a study tour. It comprises four main sessions with detail contents as follows:

Session 1: Introduction. This session is to introduce background, rational, and general information about the study.

Session 2: Background of forest management in Vietnam. This session briefly introduces the contemporary trends of forest management, co-management, and a brief key policy review aiming to establish understanding on the current forest management system and application of co-management model.

Session 3: Co-management (CM) models in VN. This session presents the review of relevant community-related forest management models throughout Vietnam including a collaborative model in BNNP (2010-2014). A discussion on emerged issues and lesson learned is also included to create a basis for the development of CM ideas in Session 4.

Session 4: Conclusion and Suggestions. This session presents key conclusions and some ideas for the improvement of the collaborative model in BNNP.

⁴ Including 1 BNNP staff, 1 Da Nhim MB staff, and a Project consultant

2. FOREST MANAGEMENT IN VIETNAM

2.1 An overview

From a co-management angle, trends in contemporary forest management in Vietnam can be divided into three major stages supported by key policies as followed.

Before 1986: Forestry was a centrally planned and subsidized sector. Forest exploitation was conducted throughout forested area for economic development. During this time, policies (including the Party's three revolutions, namely production relations, science and technique, and idea and culture (UBKHVN, 1986, p. 7-37) have assumed an abundance of natural resources and missions of the state were to exploit these unused resources and to develop forest "backward" dependents (Jamieson, Le, & Rambo, 1998; UBKHVN, 1986). Lands were nationalized and managed by the state through thousands of agricultural cooperatives and forestry enterprises. Based on the "man-made-earth"⁵ point of view, agricultural land expanded quickly at the expense of forests. For example, within the six years from 1978 to 1984, the Central Highlands reduced forest area from 3.3 million hectares to 2.5 million hectares, more than 80 million cubic meters of timber was cut during the period (Dang & Le, 1986; Luu, 1986; Nguyen, 1986).

Beginning in 1986: Under the persistent pressure of food shortages and heavy exploitation, the Vietnamese authorities shifted its ideology from a centralized economy to a more people-based system. The push to collectivize agricultural operations was essentially abandoned (Kerkvliet, 2005, p.232-233). Forestry activities have been under the direction of social forestry via increasing rights, obligations of multi-sectorial bodies involved in forest management, protection, and development. Agricultural and forestry lands were redistributed or returned to its former owners for individual household productions. More sustainable forest management with the participation of people was carrying on supported by key policies such as Land Law (1993), Forest Protection Development Law (1991),

⁵ Adopted from the USSR

Program 327⁶ and Decree 02/1994/CP⁷ (later on replaced by Decree 163/1999/NĐ-CP) etc. Under these policies a lot of barren hills were allocated to local people for greening, especially in the North of Vietnam. However, this trend also had some short-comings including inequality in forest resources access, unfair benefit distribution, and natural forest conversion and forest degradation due mainly to mono-cropping and lack of participation.

Since 2000: A more market-based oriented trend has started. Benefits for forestry non-state actors are emphasized. The role and benefits of households, individuals and also communities as forest owners is identified clearer in the Land Law (2004, revised in 2013), the Law on Forest Protection and Development (2004), and in resolutions by the government. Excepts for communities and state-owned institutions (e.g. National parks), private forest owners enjoy all rights embedded in the LURC⁸. One of the achievements is that the area of plantation forest has increased dramatically with the involvement of about 1.4 million households. Even protected and special use forests are open for utilization at some level (such as in Tourism law 2005, and Decree 117/2010/NĐ-CP⁹, Decree 186/2006/QĐ-TTg¹⁰). Many policies also emphasized benefit for forest-dependence communities including Decision 178/2001/ QĐ-TTg¹¹ Decree 99/2010/NĐ-CP¹², and the Forestry Development Strategy period 2006-2020. In which, Decree 99/2010/NĐ-CP, which has laid a legal foundation for the collection of money from the users of environmental services to pay back to forest owners and forest protectors, appeared as a successful solution that benefited many

⁶ Decision 327/1992/CT Decision by Political Bureau on Some direction, policies for the use of unused land, barrel hill, forest, coastal area and water surface.

⁷ Decree by the Government on forestland allocation and leasing to organizations, households, and individuals for long-term and stable use for forestry purposes.

⁸ Including rights to exchange, assign, inherit, donate, lease or sub-lease land use rights; to mortgage, guarantee or contribute capital using land use rights

⁹ Decree 117/2010/NĐ-CP on SUF organization and management

¹⁰ Decision 186/2002 disallows resource direct use from SUF but scientific, ecotourism

¹¹ Decision 178/2001/QĐ-TTg on benefit and responsibility of households and individuals allocated, leased, contracted forest and forestland.

¹² Decree 99/2010/NĐ-CP on PFES

rural households who involved in forest protection. Decree 99/2010/NĐ-CP has increased an average of 1.8 to 2 million dong/households/year for nearly 350,000 households, 5,700 groups and communities to protect nearly 5 hectares of forest (Review report on 5 year implementation of Decree 99/2010/ND-CP). A list of key policy reflecting the historic trends toward more decentralization and market-based is presented in Annex 2.

At present: Vietnam has over 14 million hectares of forest and forestland which include special use forest (2,1 million ha), protection forest (4,46 million ha), and production forest (6,66 million ha) and some forest area set out of these three categories¹³. There are 164 special use forest areas with the total of 2,2 million hectares under the management of 31 National parks, 58 Nature conservation reserves, 11 Species conservation reserves, 45 Landscape protection areas, and 20 Forest areas for scientific research and experiment.

Forest belongs to various actors¹⁴ including individuals, households and communities, forestry companies and state institutions including parks, management boards, army, and local authorities. Based on LURC holders, at the end of 2014, almost 27.7% forest land area was allocated to households and individuals, 33% belonged to state organizations and only 1.7% were allocated to communities. In addition, about 17.7% (2,8 million ha) have not been allocated yet, and still under the management of CPC¹⁵. The ratio of forest by LURC holders is different from province to province. In the non-state sector, more forest is allocated with LURC to households and communities in Central and North Vietnam rather in the South region including Lam Dong province.

Depending on the size and type of the designated forest, forest owners can establish forest ranger force or just forest protection teams. Forest owners are under the management and/or supervision of either MARD, PPC, DARD, DPC, or CPC. At present, in average one forest

¹³ QĐ 3158/2015/QĐ-BNN-TCLN on 2015 Forest status.

¹⁴ In this report it refers to LURC holders as in Vietnam the Law does not allow land and forest ownership

¹⁵ QĐ 1467/2014/QĐ-BTNMT về phê duyệt và công bố kết quả thống kê diện tích đất đai năm 2013

ranger will be in charge of 1000 ha of production forest or 500 hectares of special use forest (Decree 119/2006/ND-CP)¹⁶.

2.2 Co-management as a forest management approach

2.2.1 Brief introduction of co-management

Co-management is used loosely to imply a model of management with the collaboration among different stakeholders with different levels of right and political power. More strictly and commonly accepted co-management is defined as a ‘partnership by which two or more relevant social actors collectively negotiate, agree upon, guarantee and implement a fair share of management functions, benefits, and responsibilities for a particular territory, area, or a set of natural resources’ (Borrini-Feyerabend et al. 2007, p.69). Thus according to this definition, there should be a fair communication and agreement amongst actors on various concerned issues and an area or a set of natural resources must be identified. Co-management models can be based on extractive resource benefits and/or non-extractive ecosystem service provision and adapted to local situation.

As an overarching spectrum, there are different models of co-management depending on level of power devolution. Indeed, reviewing co-management models, following phrases and activities are commonly appeared: multi-stakeholder processes, selection of representatives of key stakeholders, negotiation and discussion on objectives and accept roles, rights and responsibilities, identification of degrees of participation and inclusion, trade-offs and compensations, benefit sharing, power sharing, commitment and enforcement. Some common terms and concepts defining co-management models are presented in Annex 3.

Brief description of some mile-stone co-management models are presented as follows:

¹⁶ Although Decree 119 only regulates the average number of rangers per area for state’s payment, not specify the number of rangers for the purpose of protection.

State management outreach: is characterized by State authorities acknowledging the needs and aspirations of other stakeholders. Consequently, non-State actors are consulted and informed in issues of natural resources management but they do not participate in the management. State management outreach is simplest and most limited form of co-management (Swan 2010).

Shared governance: constitutes the sharing of power, responsibility and accountability for natural resource management. Governance includes ‘the interactions among structures, processes and traditions that determine how power is exercised, how decisions are taken, and how stakeholders have their say’. In a natural resource management context, governance refers to ‘who holds authority and responsibility and who can be held accountable’ (Swan 2010 cf. Graham et al. 2003, Rojas & Cohen 2004, Borrini-Feyerabend 2008).

Community-based natural resource management (CBNRM): is the management of natural resources by communities who have legal rights and economic incentives transferred from the State. Communities take substantial responsibility for sustained use of these resources. Activities of the communities are operated within the framework of national regulations. Community Forestry Management (CFM) is one form of CBNRM and considered as the far end model in the power devolution spectrum of CM.

Co-management can be in various forms and applied in any ecosystem as this model is very flexible allowing implementers to build, design to fit to local political setting and socio-economic conditions. However, according to Swan (2010) although globally, co-management has demonstrated significant gains for biodiversity conservation and sustainable livelihoods, equally, there are many examples of failure on one or both accounts.

2.2.2 Natural resource co-management in Vietnam

Co-management has been introduced to Vietnam in the early 1990s after the reform policy (1986). The earliest form is probably the allocation of forestland to households for (collaborative) management by state forestry enterprises under the 327 program. Later on, under the supports of international organizations (FAO, SIDA, IDRC, GIZ, DANIDA, RECOFTC) four main aspects are focused including i) community forestry; ii) coastal

management; iii) community-based ecotourism and iv) collaborative management of special use forest (Swan 2010).

Co-management aims to increase equality, more benefits to local people, and improve the effectiveness of forest and coastal protection. Co-management often includes decision making process and benefit sharing (who, what, how) in the activities needed for protection of the natural resources. In making decision, many actors can involve however, the levels of participation vary case by case. In SUF co-management, participation can be made in these stages: i) planning; ii) implementation; iii) management; and iv)governance (Swan, 2010). However, in CM models in Vietnam there is often no equality in power sharing among stakeholders in decision making process but relying mostly on duty-bear state authorities.

Benefit sharing is different among stakeholders. Forest owners and local authorities are mostly benefited from better forest protection. Local people's benefits are often tangible in kinds or in cash derived from natural resources such as wild animals, bamboo, rattan, medicinal plants, etc. (such as specified in Decision 126/2012/QD-TTg), or from payment for ecosystem services (Decree 99/2010/ND-CP).

Although, co-management enhances opportunity for participation, increases rights and benefits for many non-state actors, it also has created natural resource conflicts in many cases due to overlapping of use rights and access to CM areas, unfair benefit sharing, land grabbing, limited access to traditional natural resources for some local people, etc.

Co-management is designed accordingly to fit local context. In most cases, the common ground includes a partnership arrangement between two key stakeholders i.e. local authorities and local people represented by a board, some kind of regulations for monitoring of commitment, and benefit for local users. However, the differences are diverse. Natural resources use rights can remain with the State (most cases), or handle to local people (e.g. Buon Tul, Dak Lak, Da Sar Lam Dong); CM area was clearly defined (Soc Trang model) or not (models in Binh Dinh, Lam Dong provinces); representatives were from communal or village levels, comprising of only villagers or state social organizations; level of management power allocated to each side, village rules or just some principles were

established; the existence of a village fund and how it is run; the existence of negotiation process, etc.

Community forestry – a model at the end of the CM spectrum in which local people supposedly have their own forest and exercise most of their rights is quite popular in Vietnam. To many people, community forestry is not considered as a co-management model in Vietnam because in theory, community is responsible for her forest in all aspects (although in many cases, local communities still rely on FPD for forest protection, they cannot harvest; and in some places, community forestry is used as a strategy to assist NP and PA Management Boards to shield the buffer zone to protect their valuable resources. The results of community forestry cases are varied. Some communities still manage their forest quite well like Kala Tongu in Lam Dong, Thuy Yen Thuong in Thua Thien-Hue, others already lost their forest such as Da Sar in Lam Dong and Yang Mao in Dak Lak province.

Some of the key co-management models will be discussed in more details in session 3.1.

2.3 Legal framework for Co-Management

2.3.1 Legal basis for community involvement

Legal basis supporting the participation of communities, groups of households has been expanding year after year. The 2003 Land Law (Article 29) (detailing in Decree 181/2004/NĐ-CP) and the 2004 Forest Protection and Development Law (detailing in Decree 23/2006/NĐ-CP) open for allocating forest to communities, households and individuals. Even the participation of groups of households (not the whole village/community) as a legal entity is enable in the form of a collaborative team (Article 111, Civil Law 2005) or new cooperative (Decree 151/2007/ND-CP¹⁷). To support implementation, the government enacted Decision 304/2005/QĐ-TTg to allocate and contract forests to ethnic minority households and communities in the Central Highlands.

¹⁷ This Decree supports the establishment of cooperatives and other community-based organizations

Decision 106/2006/QĐ-BNN¹⁸ assisted the process with clearer definition of forest allocation, community forest and communities' responsibility. In 2007, MARD enacted Circular 38/2007/TT-BNN to provide guidance for allocating and leasing forests to households, communities, etc. In an effort to support customary laws in forest management, and the development of traditional village rules, the state also provided some legal basis as stated in Circular 70/2007/TT-BNN¹⁹, Decision 106/2006/QĐ-BNN²⁰ and Decision 17/2015/QĐ-TTg²¹.

The State also addressed its interests in the involvement of non-State stakeholders in management of the most restricted forest. Decision 07/2012/QĐ-TTg opens new road for the implementation of co-management in SUF. Quyết định số 104/2007/QĐ-BNN²² and Decree 117/2010/NĐ-CP²³ pointed out scope and areas for SUF management board to collaborate with other stakeholders to develop ecotourism and to sustain natural resources.

Sharing benefits from forest to other stakeholders, especially to local communities involved in protection, forest management, and reforestation is an obvious tendency. Decision 126/2010/QĐ-TTg piloted sharing benefit and managing responsibility to people in four national parks and protected areas. Decisions No. 08/2001/QĐ-TTg and 178/2001/QĐ-TTg²⁴ were issued to detail regulation of benefit-sharing and the obligations of the households and individuals allocated or contracted forest and forestland, including natural forests, production forests, and barren lands for reforestation and maintenance for all three forest categories. Decree 99/2010/ND-CP increases largely benefit for households and

¹⁸ Decision 106/2006/QĐ-BNN issuance “guidelines for management of community forest”

¹⁹ Guidance to build and organize the village rules to protect and develop community forests

²⁰ Guidance for management of community forests

²¹ This decision also specifies responsibility of CPC in guiding communities to build and implement village rules for forest protection and development

²² Provide regulations on management of ecotourism activities in National Parks, Natural Reserves

²³ On organization and management of the SUF system

²⁴ Detailing the rights of benefit sharing and the obligations of households and individuals who are allocated and leased forest land and forests

communities in many areas through PFES. Recently, Decree 75/2015/ND-CP also helped contracted households receive better benefit from this source. Decision 24/2012/QĐ-TTg supporting villages in the buffer zone of SUF also provided an important financial source for the participation of local people.

Lam Dong province also upholds the role of non-state stakeholders. In official document no. 1704/UBND-LN dated 19/3/2009, Lam Dong PPC addressed directions to push allocation and contract forest to households and communities. In a following up response, DARD also issued Document 887/SNN-KL dated 21/4/2009 to provide guidance for contracting and allocating forests. Later on, PPC issued Decision 22/2010/QĐ-UBND dated 05/7/2010 to provide regulations for forest allocation to villages and communities. According to this Decision, DPC can allocate (not SUF, mainly poor) forest to village communities with a decision to use for forestry purposes for a term up to 50 years. In addition, PPC also supported to reduce poverty sustainably by Decision 561/QĐ-UBND (13/3/2009) bringing benefits to the poor households.

2.3.2 Some legal constraints relating to Co-management

According to the FPD law, village communities can be allocated forest for protection however, they do not have all the forest use rights (Article 5, FPD law). As a result they do not have all the rights as other forest owners. The FPD Law (2004, Article 3) defines village community as "the entire households and individuals living in the same village or hamlet, or equivalent units" that does not reflect the common reality of diverse or multiple-group communities at present. Furthermore, community is not considered as a legal entity causing difficulty for forest/land allocation and co-management in general.

Some requirements²⁵ for forest harvesting in Circular 35/2001/TT-BNNPTNT is too technical and not feasible to households and ethnic minority communities to benefit from allocated forest causing high cost of implementation and discouraging participation.

²⁵ For natural forest harvesting, the requirements include: 1) Harvesting plan, 2) Harvesting design, 3) Harvesting design area map, 4) Tree marking list, 5) Minutes on appraising the harvesting design, 6) Harvesting design dossier, 7) Forest harvesting permit, 8) Checking-and-acceptance record of timber,

Although Decision 186/2006/QĐ-TTg opens some room for utilization of SUF for ecotourism (Article 22), however, this Decision has strict regulations on the use of SUF and almost excludes SUF residents from tangible benefit. Decision 178/2001/QĐ-TTg on sharing benefit from adding growth volume of natural forest is only suitable to places enable for harvest and almost infeasible to households who are mostly allocated with very poor and remote forest with less NTFPs²⁶. In addition, community is not mentioned in this Decision, therefore, it seems to be difficult to apply to forest communities.

PFES under Decree 99/2010/ND-CP has a big payment disparity between basins in a province, even in a district. In many places, payment rate is very low leading to too low benefit to attract the participation of the community, or actually caused conflict between people of different schemes. In some provinces, PFES is used as a social or subsidy policy to distribute benefits widely even to households without contribution to forest protection. This also leads to unfairness and social conflicts.

3. CO-MANAGEMENT MODELS IN VIETNAM

3.1 Review of some Co-management models

3.1.1 Overall information

The research team studied eight models in five provinces including Da Sar, Bidoup-Nui Ba (Lam Dong), Buon Tul (Dak Lak), Huong Loc, Thuy Yen Thuong and Thuong Nhat (Thua Thien Hue), Ngoc Son (Hoa Binh), Xuan Son (Phu Tho). These models either locate in the buffer zones of national parks including Bidoup-Nui Ba, Chu Yang Sin, Bach Ma, Xuan Son, or protected area (Ngoc Son). Detail description of the main characteristics is presented in Annex 4.

9) Packing list of timber, 10) Minutes of placing forest hammer marks (for valuable and large-sized round timber), etc. At present most of natural forests are closed from exploitation.

²⁶ For timber, people can only harvest some adding volume of rich forest. It means they have to grow allocated poor forest to rich forest which will likely take some decades.

Among 8 models 4 are of community management i.e. (poor) forest was allocated to communities with LURC or contract (Huong Loc, Thuy Yen Thuong, Buon Tul and Da Sar), 4 are collaborative management in which the state agencies collaborate with local communities to protect the forest but still retain forest/forestland ownership (Thuong Nhat, Ngoc Son, Xuan Son, and Bidoup-Nui Ba). Most of these models have started around 2010 with financial support from international organizations (ICCO, EU, JICA) or State fund (VCF) and technical support provided by NGO or state agencies and institutions (e.g. CRD, PanNature).

Main objectives of these projects are to raise awareness, improve livelihood, and strengthen the participation of local residents in forest management to ensure the sustainable management of forest resources. At present, some models are still operating after the projects finished (Huong Loc, Thuy Yen Thuong, Xuan Son, Ngoc Son, Bidoup-Nui Ba) while the others are ceasing (Buon Tul), or failed (Da Sar, Thuong Nhat). Although ongoing, the success of the models in terms of forest protection effectiveness and livelihood impacts is a critical issue. In the cases of Thuy Yen Thuong, Ngoc Son, and Xuan Son, violation incidents dropped remarkably; forest is protected quite well. However, tangible benefits from forest to the people are very limited. In the case of Huong Loc, local people seem to enjoy great potential benefit from community forest, however their contribution to protect the Bach Ma national park nearby is questionable. The remaining models failed in both accounts.

Brief introduction of the models is follows:

Huong Loc Model (Thua Thien Hue province)

In 2005, VQGBM transferred 980 ha of poor forest to Hương Lộc commune. In 2009, the CPC allocated the forest to local communities with collective LURC (signed by DPC). In studied commune, 34 households out of 170 households registered to join the project to receive 173 ha of forest including 120 ha of natural forest for protection and enrichment, and 50 ha of barren land which the community currently used for Acacia plantation. Pre and post-plans for land allocation was prepared and conducted by Centre for Rural Development (CRD) with financial support from ICCO. At present the model is still going. Although at present, villagers have not received any benefits, they expect the model will bring them

profit. Villagers have protected well the community forest, however their positive impacts on the adjacent Bach Ma national park are uncertain.

Thuong Nhat Model (Thua Thien – Hue province)

Thuong Nhat commune was selected to pilot Decision 126/2010/TTg on sharing benefit from SUF i.e. Bach Ma and Xuan Thuy national parks. Under this program around 2011, seven villages collaborated with Bach Ma National Park in managing and protecting the national forest and received tangible benefits from the forest under control including wild pigs, rabbits, snakes, snails, bamboo, bamboo shoot, orchid, rattan, honey, etc. At the same time, six of these villages were also allocated forest for community management. At present the collaborative management model is finished, however, communities still maintain their community forests at some level. The exploitation of forest resources in Bach Ma national park is still going on and difficult to control.

Thuy Yen Thuong (Thua Thien – Hue province)

The very rich forest of this commune was exploited heavily after 1975 by both SFE and local people for commercial purposes. In 1999, the commune experienced a horrible flood which caused great damages to the community and changed the community's perspectives about the role of the forest. In response to community's proposal, in 2000 Thua Thien-Hue PPC allocated over 400 ha of nearby forest to the community (represented by a communal management board) for management and protection. The model is sustaining until today. Illegal logging by local villagers reduced greatly due to an only-way-out location and the improved living standard of local people.

Ngoc Son Ngo Luong (Hòa Bình province)

Ngoc Son – Ngo Luong Protected Area was established in 2004 on 19,000 ha of forest land which complicatedly had been allocated to local households with LURC. After the PA establishment forest was harvested heavily because local people were afraid of losing their access to the PA forests. As local authorities could not withdraw LURC from the people due to various reasons including budget for compensation, the PA proposed a collaborative model to solve the situation. In 2010 the CM model was established with EU financial support as a solution compromising the needs of the two sides. There were 5 communities

involved, each represented by a Village board of management. At present the PA has no LURC for most of its land, while people cannot exercise all the rights embedded in their LURC. Local people are benefiting mainly from the ecological services that a good forest brings in such as water source and natural risk mitigation. The model is still going on. Illegal logging has reduced dramatically.

Xuân Sơn (Phu Tho province)

From 1980 to 1995 forest was heavily exploited by immigrants and SFE. As a consequence, at the end of this period lot of forestland in the area was barren. The region was facing with flash and heavy flood so Phu Tho PPC established Xuan Son PA to conserve natural resources. At the end of 1990s, under the support of the 327 program, the PA allocated forest to many households for protection. A lot of barren land was regreen. Beginning 2000, with the funding of 661 program, the Xuan Son PA (later on Xuan Son NP) collaborates with local communities to patrol and protect the forests. NP designates specific area for a community to patrol but retains all the rights for land and resource management. Communities provide hired labors to receive quarterly payment from state programs including 661 program (until 2010), provincial budget for FPD, and currently Decision 24/2012/QĐ-TTg (detailing in Circular 100/2013/TTLT-BTC-BNNPTNT).



Fig 1. Community contracted forest in Xuan Son national park

Buôn Tul (Dak Lak province)

Buon Tul village is in the buffer zone of Chu Yang Sin National park, Dak Lak province. Chu Yang Sin together with Bidoup Nui Ba National Park make a large continuous forested areas of very high ecological value. Before 2000, the forest of Buon Tul was managed by the SFE and contracted to 3-household groups for protection. In 2001, 14 plots of 964 hectares of poor and medium forest were allocated to Buon Tul (village) with LURC to promote community forestry policy. In 2008 Tay Nguyen University under the financial support of GTZ developed a 5 year plan for the community to harvest timber based on growth rate of the forest. It was supposed that this way would create incentives for the community as well as maintain the forest in sustainable way. After the first harvest, the project stopped due to technical and policy reasons. Buon Tul community is protecting the forest for PFES payment on an area of 384 ha. It seems that the community has lost 600 ha since 2001. At present, encroachment is still critical due to overlapping of traditional territories, ineffective patrolling, and the villagers' lost of trust on the vision of the forest.

Đa Sar (Lam Dong province)

Da Sar commune is in the buffer zone of Bidoup Nui Ba National Park. Before 2010, the forest was managed by Da Nhim watershed Management Board (DNWMB) who contracted local households for forest protection. Although contract was made to individual households, the people protected their forest in groups. In 2010 to implement the PPC direction stated in Document 1704/UBND-LN dated 19/3/2009 on pushing forward allocating and contracting forest to ethnic minority communities and households, DNWMB and Lac Duong DPC allocated 605 ha of forest to two villages No.1 and No.4 for management with a Decision attached with a list of household participants. Out of hundreds of households, only 32 households of the two villages forming two 16-household teams participated in the community forestry model. The model did not run well, in 2013 Lac Duong DPC withdrew the forest allocation Decision and returned the forest to DNWMB for management. About 60 hectares of forest were lost during this period due to the lack of participation and agreement of related households leading to overlapping rights and disputes. In addition, post-allocated plans to support the community was not established leading to ineffective operation.

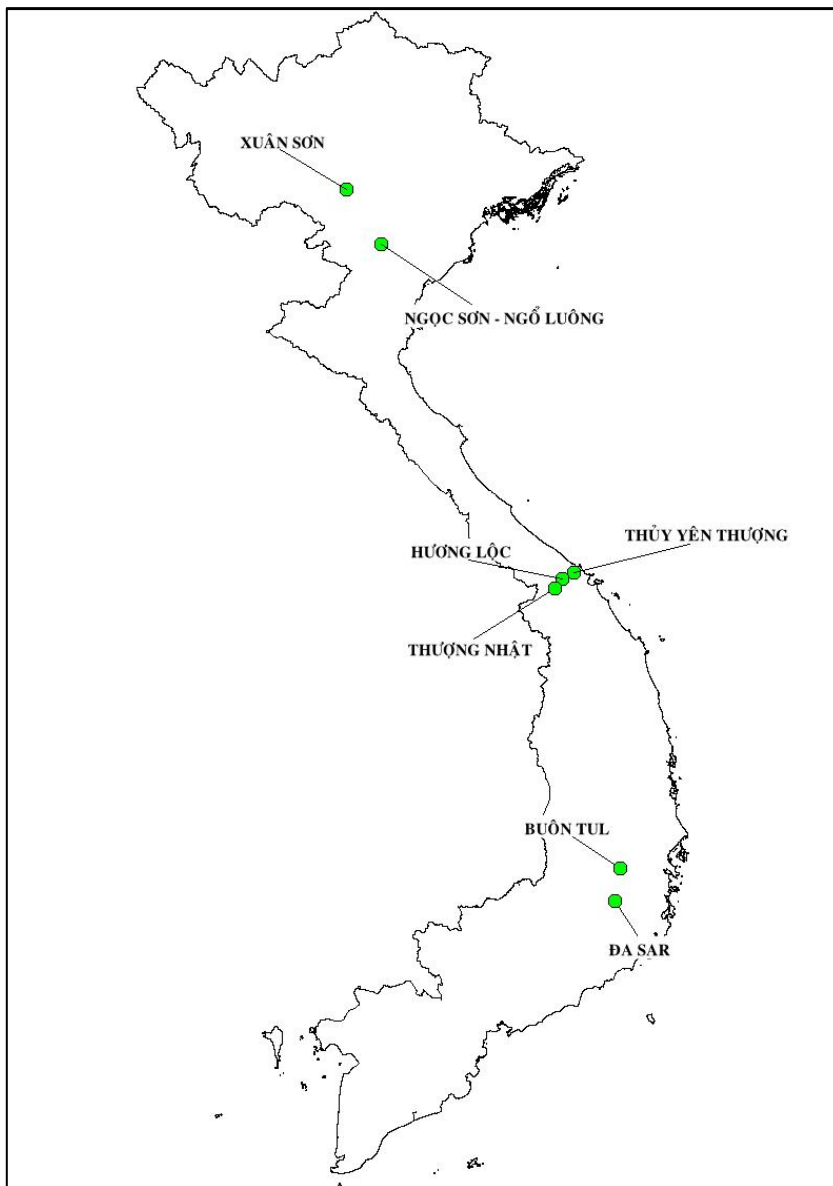


Figure 2. Study sites

3.1.2 Model structure and operation

Model structure:

Stakeholders: Key actors in the co-management models are State forest owners (NP, PA, FMB), communities and their representative boards, CPC, and forest protection units or forest rangers of the district, and donor/NGOs. Depending on models, the number of actors and their role vary.

- State forest owners (SFO): can be of national parks, protected areas, or forest management boards. SFO is responsible for developing and signing contract documents for forest protection; coordinates with local forest rangers and the CPC to allocate forest, to supervise community activities on forest protection, check forest area under community management, handle violations; conduct village meeting to disseminate laws to the people.
- Communal People's Committee (CPC): monitoring the activities of the community /village management boards (MB); collaborate with forest owners to monitor the community forest protection; implement of communication activities on forest protection, policies and laws; maintain close contact with village MB to handle violations. In many places, the authorities support people groups effectively, participate in village meeting to provide advices to villagers on forest management issues.
- Community: Except for some villages, community involvement in co-management does not include all of the households in the village. Representative of a community is a Management Board usually elected by the villagers and approved by CPC. The Management Board is the bridge between the community and other stakeholders. Members of the management board may coincide with the "administrative" body of the village (e.g. The head of the MB can be the village head, the other members belong to organizations such as the village police, women union, etc.). CM members of the community can be divided into groups. CM member and villagers are responsible to inform the CM of any violation found in the area. In Thuy Yen Thuong, forest protection patrol teams are also members of the village defence groups to save costs (funded by villagers and CPC). In Thuong Nhat, two teams was formed

including a group of patrolling to implement forest protection; another group monitoring the licensing process for households' NTFP extraction and monitoring their harvested forest products.

- The village management board (MB): is responsible for building regulations (e.g., operational regulations of the MB, benefit-sharing regulations, regulations on elections); organizing and mobilizing the community to patrol and protect forests, planting and caring of forest plantations, and also monitoring and recording labor invested in their assigned areas. Management Board reports on forest protection to communal authorities and forest owners (in case contracted by State forest owners), and supervises the exploitation activities of villagers and outsiders, deal with violators according village regulations and agreement. MB conducts activities to disseminate related laws to the people periodically. Furthermore, MB is responsible for managing village fund.
- Local forest rangers: are responsible for forest protection, working with allocated/contracted communities, households; and handling violations together with the communities, especially in the buffer zone. In many cases, the district forest rangers operate quite independently from the forest protection forces of the Park, PA.
- NGO/research institutions/donors: often provide local stakeholders with technical and some financial supports. These outside actors often get funding from international donors. NGOs and research institutions play important role in the success of many models.

Village Rules (VR): exist in many models in various forms. Most of them are quite simple and loosely. However, a complex VR does not ensure the success of a model (such as Buon Tul). VR is needed to regulate various issues including working regulations, benefit-sharing mechanism. VR was discussed and agreed by the community and local rangers and approved by CPC to ensure its compliance with the rules prescribed by laws. Village rules may provide guidance for the community on forest products which are encouraged, limited or prohibited to harvest (Buon Tul model). It can regulate types of forest products to be harvested, rate of harvest, the harvesting season, as well as required contribution and the forms of punishment for persons and exhibits of violation (Ngoc Son model).

Community fund: Only a few models have no village fund (Da Sar, Thuy Yen Thuong). Sources of the fund are various. Seed money of a village fund can be from advanced timber harvested on forest growth rate of the community forests (Buon Tul, Thuy Yen Thuong), supports from projects (Ngoc Son, Huong Loc), contributed by households from PFES (Xuan Son) or from extracted NTFP products (Thuong Nhat). Community funds is commonly used to pay for patrolling team, afforestation (Huong Loc), or loan to member households with low interest rates (0.8% / month in Huong Loc).

In most of the models, a co-management area was identified for collaborative protection regardless it is allocated to communities or not. In SUF such as Xuan Son and Ngo Luong, forest sections were set out on maps and on land for better management. Landmarks were also built in some model (e.g. Thuong Nhat). Operation of the co-management models is based on agreements between involving actors, village rules, and operational mechanisms. However, stakeholders' agreement is often loose. A contract-like form for collaboration is often made between forest owners and MB of the communities.

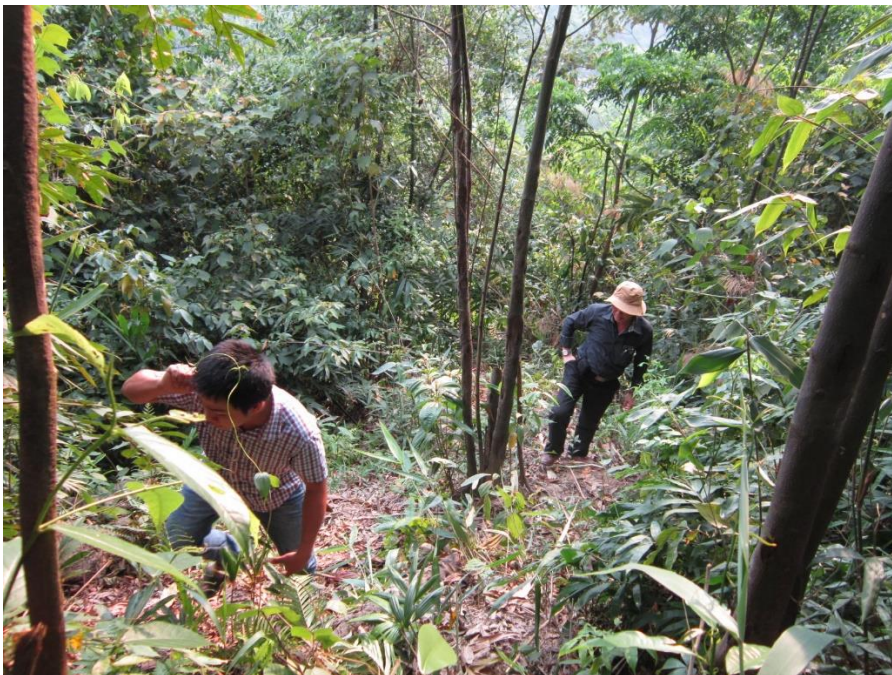


Figure 3. Patrolling community forest

Operation:

The close cooperation of the parties including local governments, forest owners, and the community is a condition for the success of the model, especially for forest law to be complied strictly. In many models, besides high awareness of ecologically important role of the forest, people do not violate the rules because they do not want to face with difficulties. For example, in Xuan Son National Park, forest law violators may be judged in village meeting; his forest protection contract can be terminated by forest owners, his proposals to get loans, or send children to schools, seek jobs or supports from development projects may not be approved by CPC.

A collaborative mechanism on a regular or a periodical basis for all stakeholders is not necessary. In the Northern two models, the collaboration between rural communities and forest owners' staff is essential. Communal authorities do not participate directly in the models, but are always ready to assist. CPC of Ngoc Son works as functioned but is very responsible just for the goodness of the public. At Huong Loc and Thuy Thuong Yen, communities have closer relationship with CPC than with forest owners.

Letting the community operated on their own without support, guidance, supervision, and coordination of the forest owners and/or local authorities often leads to failure, particularly in ethnic minority communities (Buon Tul, Da Sar).

The principal activities of many co-management models are to patrol to protect forests and benefit sharing. Village management board plans and organizes patrols with the households and does timekeeping for members. Yet in many places, although the forest has been allocated to the community, the community is still quite passive, just waiting for the direction or supervision of local authorities and forest rangers to protect the forest. In Dak Lak and Lam Dong, communities often patrol based on plans built by communal forest officials or local forest rangers. The frequency of patrols usually 2-4 times per month depending on the season.



Fig 4. A concrete landmark with information demarcating community forest in Thuong Nhat

The agreements among stakeholders in some models allow communities to apply some rules and sanctions to violators. Some communities are implementing measures to prevent violations including to require violators to leave the community forest; to notify and transport violated exhibits back to the forestry authorities for a legal procedure. Some communities are allowed to sanction, handle exhibits depending on the severity of the violation.

The monitoring of members' participation is tight in many models for timekeeping (e.g. in Huong Loc and Ngoc Son models). The protection and exploitation of community forests are monitored by many parties, especially forest owners. Communities can organize briefings, periodic reports combined in village meeting to report their forest activities where 'superior' stakeholders such as CPC, forest rangers are invited. However, the organization of meetings for reporting is not done often; instead, local authorities and forest rangers were mainly reported by telephone. 'Superiors' stakeholders usually meet each others in their governmental quarterly review meeting or extraordinary occasions.

The monitoring and feedback on the participation of forest owners, local authorities are lax. Almost there is no workable mechanism for people to monitor the relevant ‘superior’ organizations. This causes distrust and uncontrolled exploitation of forests in some areas such as in Dak Lak province (caused by ‘tragedy of the commons’).

3.1.3 Benefit sharing mechanism

Most of the other stakeholders do not really earn material benefits from co-management models, while communities are often subject to be a major beneficiary. Communities can benefit from both tangible and intangible sources, individually or collectively. The benefits include NTFP from natural forests, timber from plantation, PFES, rewards from good forest protection, confiscated materials, and project supports or intangible benefit like stable water source, climate, natural risk mitigation, etc. In Huong Loc model, people collect NTFP from 120 hectares of natural forest, grow precious native wood species for long-term timber needs in 30 hectares, and plant 20 hectares of acacia for short term income, in addition to some agricultural crops integrated in suitable places. After 4-5 years, they will sell acacia to pay for their labor investment put on planting and protecting forests. In Ngoc Son, with an agreement with CPC and PA, local communities can earn some 70% benefit from auctions of confiscated timbers and evidences. In Thuong Nhat during the Decision 126 trial, communities could exploit legally some natural resources listed in the Decision (30 species including wild boar, honey, rattan, etc.). At present, although the trial finished, people still go to the forest to get a wide-range of forest products as before beside earning benefits from their community forest.

Participants in the models can also benefit from village fund and many supports from projects and local authorities. In Thua Thien Hue, agroforestry models, seeds and seedlings, husbandry were introduced and given to appropriate households by ICCO project. In Ngoc Son, many households were supported by a Spanish project to develop homestay tourism. Similarly, in Xuan Son, although rewards for people’s involvement in forest protection is mainly total ecological services (stable water sources, mitigation of hurricane and flood impacts, etc.), active participants got effective supports from local authorities in acquiring reference letters for loaning, children’s schooling, etc.

In Thuy Yen Thuong and Buon Tul, communities were advanced timber for some seed money to run the model. In Thuy Yen Thuong, an estimated adding volume of 10 year growth of the community forest was harvested. In Buon Tul about 1.6 billion dong was collected from selling timber cut on an estimation of a 5 year growth, in which 300 million dong was used for the village fund while the remaining went to local authorities and service providers.

All communities have received benefits from 661 program, other state forest protection programs or PFES. Although in some places, this money is too small to share individually, but this source can assist the management board to operate the model. In Da Sar, PFES was the only benefit for households participated in co-management model that was less and decreased after the model commenced (due to fines caused by ineffective forest protection) leading to low benefits and incentives of the people. Some forest owners also integrated money from Decision 24/2012/QD-TTg to fuel operation of the model (40 million vnd/village in the buffer zone). In addition, member of the communities often get loan from the village fund.

Current laws and experience showed that tangible benefit sharing from special use forest is not encouraged and somehow dangerous for the stability of the forest (as seen in Thuong Nhat and Buon Tul) especially when population increases and in weak law enforcement. Tangible benefit should restrict to some species and for home use only including vegetables, banana, mushroom, and bamboo and shoot. People can grow scattered trees including acacia for local timber demand.

In northern provinces, although people received less tangible benefit, they protect the forest actively due to their wish to protect their living environment. In Southern provinces, clear incentives should be created to attract the involvement of local authorities and people.

3.2 Collaborative management model in BNBNP

3.2.1 Background

A collaborative model was implemented in the Bidoup-Nui Ba National Park (BNBNP) from 2010-2014 with funding from the International Cooperation Agency of Japan (JICA) aimed at strengthening the capacity of the BNBNP to work with local people to better manage natural resources. The project was implemented in 05 villages including Đạ Blah, Đạ Ra Hoa and Đạ Tro of Da Nhim commune, Bon Đung I and B'Nor B of Lac Duong town. Three main components were implemented including Community-based Ecotourism (CBET), environmental friendly livelihood options (EFLO) and collaborative management (CM). These interactive components aimed at helping rural communities to improve their livelihoods in order to reduce their dependence on forests, and to strengthen coordination with the National Park to protect natural resources better.

The project has encountered some complex impacts caused by the emergence of ecotourism, expansion of flower and vegetable companies who are acquiring people's land; ineffective assistance of local authorities in forest law enforcement, and the lack of coordination among forest owners in protecting the buffer zone of the national park.

After two years of project completion, some initial review in 2016 showed that the model in the target villages are still active despite scope is somehow narrower.

3.2.2 Structure and operation

The main parties in the model are the BNBNP and local communities. In which, the park still plays the major role in forest management and protection; people involved in forest management primarily through contracting forest for protection and complying with the law on forest protection. Thus, the direct contribution of target communities in forest protection and management is not much different from other communities in the region.

In the 2010-2013 period the project focused on building communities' capacity through reorganization of the communities and improving their livelihoods. The village households

involved in the project divided themselves into groups of 5 to 10 households and elected a management board consisting of 5 members to coordinate their activities and to make connections to stakeholders.

The livelihood improvement and natural resource protection activities were based on agreed mechanisms including the Village rules (VR) and the benefit-sharing mechanism (BSM); and were supported by a village development fund (VDF).

Every month, village management board with the support of the national park staff built livelihood and forest protection activities, organized and supervised village communities. Village management board was responsible for managing and reporting the use of funds to the village community. Unfortunately, the participation of other stakeholders including forest owners of the buffer zone and local authorities was limited.

3.2.3 Benefit sharing mechanism

People involved in the project were awarded a number of tangible and intangible benefits. Tangible benefits included cash, fertilizer loans of low-interest from the village fund. The intangible benefits such as knowledge households obtained through training on coffee nursery, fertilizing, pruning coffee, knitting, weaving and so on. Some households had enjoyed benefits from the project CBET activities by providing labor, travel guides, and gong services.

The effectiveness of the knowledge provided by the project was clear. So far many households not only still apply what they have learned, but also to spread this knowledge to other households in the community. In addition, many households participated in project activities because they see it as a way to enhance the community strength and to preserve their traditional cultural values.



Figure 5. Consultation with DPC on village rule in B’Nor B village, BNBPN

Village Development Fund (VDF) was established to receive, hold, and share benefits from projects and benefits derived from forest resource collection and voluntary contributions of villagers and organizations. Village fund was a necessary condition to motivate communities to realize their cooperative activities in the village. Initial fund supported by the project was about 160 million dong per village plus a fertilizer revolving fund. Currently (2016), the village fund (of about 220 million dong) is mainly used for household’s loan to invest in production (averagely 5,000,000 dong/household with an interest rate of 0.8% / month), and for supporting members in case of emergency and hardship. Almost all households participating in the project have been benefited from the village fund.

3.3. Emerged issues and lesson learned

3.3.1 Emerged issues

The allocation of forest to the communities can help people be more responsible with their assigned forest area, but it may not increase their responsibility for the protection of other forests out there including usually special-use forests adjacent. The establishment of community forests in the buffer zone can form a protective belt for the core area, but without

a linkage, coordination between community groups and the SUF/buffer zone forest management boards, the phenomenon of leakage impacts on forests may occur; the people continue to exploit SUF is likely unavoidable.

In many models, tangible benefits that people received were negligible. In Thuong Nhat, communities enjoyed tangible benefits prescribed by Decision 126/2012/QD-TTg. However, these prescribed benefits were very limited compared to their real needs, while paper procedures were difficult so that villagers opted not to observe the regulations. As a consequence, local people still overexploited, exploited in improper season, harvested of forest products out of the permitted list; and did not deduct income derived from NTFPs to contribute to village fund as required.

In the BNNBP, due to the fact that a collaborative management area was not identified, so communities' responsibility was quite vague and limited. It is difficult to know how much the project activities (CBET, EFLO, and VR compliance) have contributed to prevent villagers from forest encroachment or logging activities. The cause-effect linkage between livelihood improvement of the target villages and better forest protection is weak, especially when indicators to monitor the linkage has not been set up.

Some critical stakeholders (such as CPC and development companies) have not been involved in the collaborative model to address their drivers for forest loss and damage raising a question and a concern over the effectiveness of the 'village-centred/focused' approach. Land planning and landscape approach might be necessary. The relationship between CM members and remaining villagers and also among communities was not addressed exposing the risk of leaking impacts.

The review in BNNBP (Sugawara, 2016) also showed a common issue observed in co-management models that the management board, as a village fund management organization, often has some shortcomings in terms of transparency, accountability, equity and financial sustainability. In addition, the village funds often has very small loan size raising issues of effective use of the fund to increase its impact. Small size limits coverage and outreach to new members.

3.3.2 Lesson learned

The research shows that the cooperative management between the state forest owners and local people are workable. However, the application needs to be modified to suit the capacity of the parties and the actual conditions.

It should clearly identify the location and forest area which the parties jointly manage, are responsible for the protection and benefit so that the co-management model makes sense. Co-management area should cover not only the areas of high biological value as core zones, national parks or protected areas, but also the buffer zone. In many cases, the protection of the buffer zone is very important to protect the core area. Failure to specify the co-management area will cause ambiguity to the parties, reduce the management responsibility, accountability, and effectiveness of the model. In some cases, the buffer zone is not well protected, along with the lack of coordination between the parties, leading to leakage effects that turns the National Parks into an oasis battling invasion (some areas around Bach Ma national park).

Allocation of forests to people is not a good solution in many cases; however, contracting forest to people for management and protection can reduce their responsibility as it makes them into a kind of “employees”. This raises the question of under what conditions which model works better. Indeed, there is no single solution which can be applied to everywhere; the co-management model should be adjusted to fit local context.

The basic principle of co-management which is consensus, agreement, openness and transparency needs to be done. Indeed, the coordination and the involvement of stakeholders in the development of co-management model is important from the outset to ensure that the model fits the local conditions and the wishes of the parties. The common stakeholders are forest owners, national parks, protected areas (including their forest protection forces and forest rangers) local people, local governments (along with communal forestry boards), and private sectors or companies who are often ignored in the multi-stakeholder process. The strong participation of the parties helps to implement programs and plans as well as to enforce sanctions effectively. The development of the model without the participation of the

parties likely faces conflicts of interests and the unmet needs resulting less enthusiastic participation, even abuse of beneficiaries.

Community capacity is limited. Communities need support and supervision of the parties such as forest owners, local authorities, CSOs, before, during and after the implementation of the model. Community without support is not likely capable to implement effectively community operations, to improve livelihoods, and protect the forest from the infringement.

Effective protection of forests depends largely on the supervision and support of local government. However, except for the northern provinces, the authorities in the South are less responsible for forest protection and development. Instead some show the expression of profiteering from forest resources causing people's distrust leading to the high risk of deforestation in large scale. Inefficient involvement of local governments can be affected by the main reasons including: i) The role and monitoring mechanisms of the community, the superior authorities, and the unions are weak; ii) benefits from 'exploitation' of forest land and forest resources in many places are too large (e.g.. Dak Lak, Lam Dong), while sanctions for violations are unclear or not strong enough. How to attract the effective participation of local government is still a difficult question.

The active involvement of the communal authorities (as well as other stakeholders) is likely relating to the improvement of material and/or political benefits. In some places where local authorities do not involve in the project actively, PPC can issue a decision to require the participation of related authorities to support local socioeconomic development.

Village rules (VR) exist in many models, however the implementation of VR is uncertain. VR should be short, concise and address people's actual concerns for being easy to communicate, easy to remember and to comply, and easy to regulate the activities of the community.

The strict and thorough implementation of forestry law is important. Potential violators (including private sectors and non-forest sector government offices) should understand that penalties and sanctions for violations will be implemented in various forms under the collaboration of various stakeholders; and the losses will be greater than the benefits that

the violation behaviors may bring in. In doing so the cooperation between the parties in monitoring and enforcing forest law is very important, especially in handling of violations and applying sanctions.

The village Fund is matter not in its size but in how it is used. Village funds should be used for practical purposes such as a safety net for households in the village, to support special cases (e.g. to conduct typical production model that can be replicated), to purchase essential inputs²⁷, and maintain the operation of the network members. In BNBPN, VF is responding well to the needs of local people and seems to be the most appreciated component by the villagers because it provides direct benefit to the people through its easy access, convenience and simple procedures.

Communication to raise awareness of the communities is important. People should have enough information to understand that they would have a better life from forest protection instead of felling trees and encroaching forest. In addition, increasing job opportunities and livelihood development programs are important in areas where people's livelihood depends heavily on forest resources and forest land. Alternative livelihoods should be created for effective and sustainable forest management and protection. Livelihood diversification should look for suitable solutions for different groups such as community-based eco-tourism development, increasing agricultural production efficiency, improving product quality and market access, and increasing income from the state projects and programs (such as PFES).

4. CONCLUSIONS AND SUGGESTIONS

Reviews of the CM and models throughout the country showed that a successful co-management model is likely attributed by the following interactive outputs:

- Forest area and location for collaborative management are identified, agreed and well known by all actors;
- Relevant parties involve actively and participate, coordinate collaborative management activities effectively. In BNBPN, private sectors and CPC are not

²⁷ In Ngoc Son, part of the VDF is used to buy good maize seeds for the community as a whole to avoid poor quality seeds which villagers likely get if they purchase individually from local traders.

included. This is probably one of the weakness of the former collaborative management model in BNNBP.

- Communities are capable to manage forest effectively;
- Laws and regulations for forest management and protection are respected and strongly enforced by stakeholders including private sectors and non-forest sector government bureaus;
- Living standard of target communities (in the buffer zone) is improved and developed sustainably through diversification of means of livelihoods.

In order to achieve the above outputs, various components and activities should be conducted which is presented in Table 1.

Table 1. Proposed intervention packages and activities for CM model in BNNBP

No	Proposed CM intervention packages	Outputs	Activities
1	Forest area and location are identified for collaborative management.	Potential CM area is identified	Survey 7 target villages
			Make preliminary report and suggest the potential co-management areas
		Proposal on co-management forests, and how to manage it in a collaborative perspective is produced	Review SE survey report, contractual PFES profiles, contractual PFES maps and actual land use
			Identify criteria, locate project areas, propose to rearrange forest area to match with contractual households (if necessary)
			Conduct works to agree on co-managed areas with other parties (through group meetings and workshops)
		CM area is approved by PPC	Compose the proposal to submit to PPC
CM areas is introduced to relevant parties.	Promulgate approval decision for collaborative management areas.		
			Organize a workshop to introduce project activities (and CM area)

2	Relevant parties involve in the project actively and participate, coordinate effectively in collaborative forest management	Stakeholders (CPC, Da Nhim, 7 villages, BNB, focal/resource persons, companies) are well informed and connected about the project objectives and their role/importance in it (A steering board/focal points can be established)	Conduct stakeholder analysis to assess expectation/needs through consultative meeting with related parties
			Identify and agree on the roles, functions and responsibilities of main related parties (by meetings and workshops)
		Stakeholders (including CPC and private sector) are involved in CM planning/outlining	Consult with stakeholders to draft a CM outline
			Conduct steps to agree on CM outline/plan which meets the project objectives and expectation of stakeholders
		Conditions ensuring effective collaboration are established	Work with parties to identify and realize conditions for collaboration (e.g. forum, hotline, focal persons, resources, and benefits)
			Provide information on conditions/collaboration to all stakeholders by a workshop and relevant documents.
			Conduct necessary training to improve capacity for forest owners and resources persons of CPC, and communities if needed
		Establish databases necessary for co-management of the forest/forestland in the project area	
3	Communities are capable to manage forest effectively	The communities know clearly the forest-agricultural boundary, (designated) use and the regulations for using lands/forest land	Within the project area, work with all parties to identify and make the agreement on forestland, agriculture land and their use, especially on non-LURC land
			Demarcate boundary with land marks with the participation of all parties
		Awareness of communities on forest	Develop training contents and produce training/communication materials

		benefits, the benefits earned from forest protection (PFES), legal sanctions and negative impacts of deforestation and forest encroachment is improved	<p>Conduct TOT training for key persons of related parties.</p> <p>Make plans on how to increase awareness of target populations by trained trainers from parties</p> <p>Implement plans to spread information to target groups by trained trainers (through various channels such as school contests, posters, flyers, village meetings, village elders, social unions, etc)</p>
		Communities' capacity in network management, participatory forest monitoring, and legal sanction procedures is improved	Conduct thematic training
		Communities are empowered and incentivised in forest management	<p>Conduct work with relevant parties to allow communities having more power in forest management including rights to deal with violations, organizing/selecting of forest protection team and scheme (power devolution)</p> <p>Channelize PFES (and...) to VDF to increase power of communities/ the CM network and incentives</p>
4	Laws and regulations for forest management and protection are respected and strongly enforced by stakeholders (including private sectors, CPC)	Key points of forest laws/regulations and VR are well understood, complied, and enforced in CM area (for both villagers and outsiders, officials)	<p>Review current status of VR and related state forest regulations</p> <p>Revise Village Rules with participation of communities alligned with current laws and agreements of other forest owners (with clear instruction for procedures, rewards and sanctions)</p> <p>Raise awareness and understanding of communities (7+) on forest laws and VR through various channels (posters, booklets, meeting, etc.)</p> <p>Create incentives by connecting villagers' compliance with multiple benefits (BSM, EFLO, CPC supports, PFES, etc.)</p>

		Clear mechanism for collaboration and coordination on forest protection schemes and applying sanctions on violators among stakeholders is agreed and approved, (with focus on strengthening the role of communities and CPC)	Compose the draft mechanisms for collaboration and coordination with participation of all stakeholders by consulting each party and conducting negotiation meeting Approve the mechanisms by DPC/PPC with a decision
		Capacity of stakeholders is improved	Conduct training/workshops on related subjects such as state regulations vs. traditional rules, IFM, recording, etc. Collaborate with/in forest owners to make necessary resources and equipments for participatory monitoring available (including database and equipment)
5	Living standard of target communities (in the buffer zone) is improved and developed sustainably	Current agricultural production, especially coffee is more efficient (high yield, low cost)	Conduct survey to develop criteria/plan for sustainable crop development in the areas
			Conduct training to provide know-how to communities (FFS)
			Apply new techniques to increase yield and to reduce costs of production in suitable area
		Agro-products have high and stable prices	Conduct activities to help suitable farmers collaborate and capacitated to ensure producing high quality products
			Identify and connect (some) farmers to potential markets/ companies
		New livelihoods (non-forest exploitation based) are identified and developed	Conduct surveys to identify potential livelihoods that suitable to local resources, habit and demands of people.
Develop, trial and replicate of potential models (eg. husbandry, medicinal plants, etc)			
Develop current CBET with the focus on finding more opportunities to involve local people (Community-Based)			

		Local people use their production and financial resources more efficient	Conduct survey to evaluate current status and understand people's needs on production and financial management Provide thematic training (MF, household production management) to capacitate local people Provide guidance for people to use VDF as seed money for better (practice) financial management
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From current status of the project, the following activities can be implemented:

4.1 Identification of the CM area in a participatory way

A critical co-management area should be identified to make the collaboration meaningful. All parties need to work together to identify the area to suite their needs. Criteria for selection can be high ecological value, close distance, high level of threats or area of interest conflicts, etc. Collaborative area can cover of both the core and the buffer zones. In many places, the buffer zones need to be strongly protected to secure the core zone. In such case, in Vietnam, it needs the collaboration of the management boards of the SUF and the protective forest. The boundary of the collaborative area should be clear on map and on land for each village. Landmarks with information on it can be set up to inform all parties and also neighbouring communities.

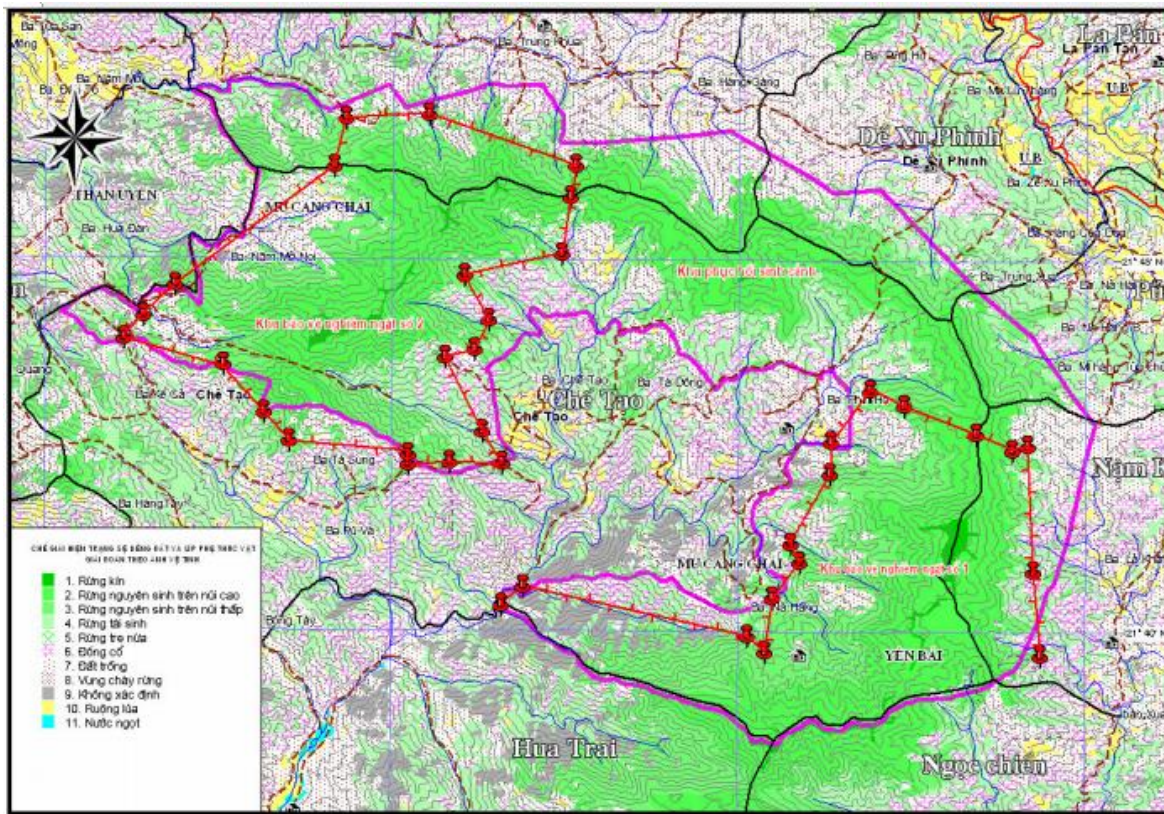


Fig 6. CM area with landmarks in Hoang Lien mountain (FFI project)

4.2. Increasing collaboration and responsibility of relevant parties

Co-management should be a process with full participation of stakeholders. In phase 1, the parties involved were incomplete as the project focused on capacity building for key stakeholders, especially local communities and the national parks staff. In the current collaborative process, it needs the active involvement of new relevant stakeholders including local government/CPC, Da Nhim watershed management board, and probably the companies that locate in the people's area, in addition to BNNBP and the target communities. This multilateral cooperation is necessary for the project's monitoring and sustaining, especially when the project ends.

To increase the participation of CPC and other forest owners, their participation should be recognized and encouraged by PPC. It would be great if their responsibility of involvement

could be mandated officially in a PPC decision. In addition, all actors should be well informed about their role, especially their benefits involving in the project. What in the project for them is an important question to be answered.

The collaboration of the parties is needed significantly to support the community to run livelihood improvement activities and to enforce forest protection rules. In this aspect, forest owners, CPC, and communities, should work together to make sure sanctions are known and respected by people. For example, violation should be reported and response timely, encroached forestland is surely confiscated and returned to forest, and violators are strictly punished²⁸.

Develop a mechanism or forum for the exchange of information between related parties agreed in phase 1. The forum for stakeholders to discuss and propose joint activities should continue to promote the participation of the parties.

For BNBPN, communities on the buffer zones play an important role in the protection and development of the forest, therefore the national park should establish a department or a functional committee to work with the communities and their related problems, as well as to coordinate other stakeholders including the said forum. This department / committee shall ensure the sustainability of the project, hence it should be eligible and supported to continue the work with the communities after the project ends.

4.3 Reorganization of the collaborative management network

The relationship between project activities conducted in the target communities and effective protection of forests needs to be clearer. For this, the reorganization of the collaborative management network members and their activities is important so that the

²⁸ In co-management models in Northern Vietnam, a violator may face one or all following sanctions: i) Review in front of the community in village meeting; ii) exclude from PFES contract by forest owners; iii) Exclude from other administrative supports (loaning, schooling, job application notarization), exclude development projects and programs by CPC; in addition to iv) subject to fines according to law and regulation (eg. Decree 157/2013/ND-CP).

community's activities are more closely linked and contribute to more effective management and protection of forests.

Because a community includes many functional groups with different interests and concerns, so grouping is important to have programs and plans developed accordingly and to promote strengths and characteristics of each group. Project activities can be targeted to certain groups. Relevant groups can share interests, responsibility, and contribute to the general operation of the community, especially forest activities according to their advances. In this aspect, the forest protection contracted groups may need to reorganize to support a stronger role of the communities in forest protection and management.

Besides, it is needed to develop a mechanism for the target villages/ village management board to exchange information and experiences and to connect with other local producers and businesses. A regular exchange can be organized in groups based on geographical distance (2 villages in Lac Duong town, 3 villages in Da Nhim, and 2 villages in Da Chais). The village group meeting can be organized every two months while an all village meeting can be conducted every 3 or 4 months to strengthen capacity and ownership for the target communities. The villages can rotate their role to organize the meeting. Implementation costs of this exchange activity can be extracted or shared from the village development fund and/or calls for support from the state programs, projects, and stakeholders.

4.4 Change of the BSM

In order to have active participation of the parties, there should be a clear and effective benefit-sharing mechanism. For each stakeholder, an important question is what they will benefit from the participation in or implementation of the project activities. Such mechanism should be built in a participatory way at the beginning of the project. For state stakeholders, in addition to an overall goal their institutions should achieve, individual's benefits are important to be considered. Individual benefits can include capacity strengthening and practical experience enrichment through training and frequent opportunities to participate in

the project activities or even tangible benefit shared from the success the communities achieve as a result of their support²⁹.

Besides, project activities should be integrated into the planning and development programs of the concerned agencies and local governments of both district and commune levels. This integration task can be done by the institutions with closer coordination with project staff. As a consequence, state officials' involvement is not only doing the work related to the project but also fulfilling their designated functions.

What benefits to be shared, especially for local communities is usually an important question. The values of forest resources are often not recognized fully. Many government agencies and people only see the forest's economic values leading to direct exploitation without perceiving aesthetic, scientific, ethics, and cultural values that forests provide. So in many places, logging and mining have destroyed the forest heavily. Therefore, although it may allow indigenous people to take some forest resources such as artisanal materials, dry and felled down trees for firewood, some NTFPs for home consumption purposes, sharing benefits from forests should be mainly from ecological services i.e. payment from the water industry, hydropower, tourism and later possibly from reduction of carbon emissions. In doing so the state should create a clear and flexible legal framework for forest owners to collect enough from their ecosystem services and to use it properly for the protection and development of forests.

4.5 Change in PFES payment

PFES today is an important bridge linking communities with forest resources. In Lam Dong, it is likely that PFES fund can be used more effective than that of present. PFES should follow the spirit of Decree 99/2010 / ND-CP i.e. a market-based instrument rather than a social subsidy program as it is applied in the project area. Forest owners should have more rights to use PFES fund to suit their purposes that ensure the provision of best forest environmental services to their clients.

²⁹ In a community in Bach Ma NP, villagers voluntarily shared part of their income on a regular basis to CPC staff for their effective contribution.

BNBNP and DNWSMB should not spread PFES payment to all like a social policy. They should reselect and shorten the list of households to participate in the forest management and protection so that they can pay the real patrolling households with higher rate to increase their motivation and responsibility. By shortening the list, they will likely have remaining fund to use for other purposes including community development in the buffer zones or other suitable operations.

In the project area of BNBNP and DNWSMB a pilot can be conducted to pay the PFES money to community through the village CM management board based on the forest area that the members of the village contracted for management and protection. Village management board use this money in accordance with regulations and to ensure the protection of forest areas assigned. The village management board can pay a part of this money to fewer number of patrolling households (to increase their benefit) and use other part for the community purposes or network operations. In order to do so, network members may need to vote to reselect the patrolling households based on suitable criteria. Thus, the village fund could be developed from the reallocation of PFES funds. As the use of the PFES funds is decided by provincial government, BNBNP can ask PPC for a pilot project to use the fund in a new way³⁰.

4.6 Improving village fund effectiveness

VDF plays a very important role for the activities of the project in the target villages. VDF provides material benefits to create incentives for the participation of households, reduces negative impact to households from borrowing money from traders in case of emergency, and strengthens households' financial capacity and accountability. However, currently the village fund is quite small in size and has not been used effectively. The improvements to the village fund include:

- Increase size of the village fund from other sources, especially PFES.
- Manage the village fund effective and transparent by applying micro-finance (MF) management models. MF can help VDF to be more efficient through faster

³⁰ BNBNP may need to talk to DARD, Lam Dong PFES Fund, and PPC. If needed, a multi-purposed workshop with participants from MARD, scholars can be conducted.

rotating, creating production motivation, changing consumption habits, and improving financial management knowledge. Experiences shows that awareness and practices on money management and savings, credit discipline and responsibility of the people change greatly after joining MF³¹.

- Rebuild and change criteria to use village fund so that it can contribute more effectively to necessary or target groups to make greater contributions to forest management and protection.

In the future, VDF should be eventually replaced by formal services which provide accessible and convenient depositing and withdraw services that local population most desire to have. VDF should be utilized as a temporary mechanism to increase ‘credibility’ of local population through improvement of their financial management capability. However, the connection of VDF with the credit markets needs a roadmap. Projects can incorporate and support MF organizations by initially assessing and providing information on the MF needs in the target areas.

4.7 Other changes

Last but not least, it is very important for the project to receive strong legal support from PPC. Activities to improve the collaborative management model will be easier if an overall scheme of co-management and benefit sharing is built and approved by the provincial government which describe the implementation area, how co-management will be implemented with clear roles and responsibilities of stakeholders and benefit-sharing mechanism. The solutions to ensure the project environmental, economic and social sustainability in accordance with the provincial and central policies. In details:

- PPC issues a decision to approve JICA-BNBNP model as a demonstration MODEL of the province.
- PPC assigns responsibility and punishment for Lac Duong DPC to support and report project activities and consider the progress of the project activities as one of the criteria to evaluate the task completion of DPC.

³¹ The project can work with TYM/CEP (2 experienced MF institutions in VN) to provide technical supports for better management of the VDF

- Lac Duong DPC issues a decision to DNWSMB and communes to implement the JICA-BNBNP model as a demonstration MODEL of the province.
- Lac Duong DPC assigns responsibility and punishment for DNWSMB and Da Nhim and Da Chais CPC to support and report project activities and consider the progress of the project activities at the site as one of the criteria to evaluate the task completion of the CPC and DNWSMB.

At the national level, the CM of LBBR would be most benefited with the change in the legal system as followed:

- Institutionalize “household groups” (nhóm hộ), “community” (to be a full legal entity) to support community management and co-management replication
- Institutionalize co-management to be an option to replace contracted form for forest protection in suitable areas.
- Review and establish guidance for co-management in different types of forests and owners including guidance for community forestry management (Specify and integrate statutory and customary laws, etc.)
- Amend and revise contents on benefits from natural forest in Decision 178/2001/QD-TTg for all 3 forest categories and for all types of forest owners.
- Have strict regulations to stop or apply serious punishment for illegal attempts for forestland conversion (even of officials and private sector i.e. companies) and make sure potential violators know about this.

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ANNEXES

Annex 1. List of institutions involving in the review

No.	Organizations	Number (person)
1	Communities	63
1.1	Hương Lộc	5
1.2	Thượng Nhật	10
1.3	Thủy Yên Thượng	3
1.4	Xóm Khú	5
1.5	Xóm Rộc	3
1.6	Xóm Đền	7
1.7	Xóm Lạng	9
1.8	Xóm Dù	7
1.9	Xóm Vượng	10
1.10	Buôn Tul	4
2	CPC	6
2.1	Hương Lộc	1
2.2	Thượng Nhật	2
2.3	Ngọc Sơn	2
2.4	Ngọc Lâu	1
3	Forest owners	17
3.1	Bắc Hải Vân Protected Forest	2
3.2	Bạch Mã National Park	4
3.3	Ngọc Sơn - Ngõ Luông Natural Serve	5
3.4	Xuân Sơn National Park	6
4	Forest rangers	9
4.1	Phú Lộc FPU	2
4.2	Huế FPD	3
4.3	Đăk Lăk FPD	4
5	Universities	9
5.1	Nong Lam University -CRD	3
5.2	Nong Lam University -Faculty of Forestry	1
5.3	Hue University -Post graduate Dept.	1
5.4	Tây Nguyên University, Agriculture and Forestry Dept.	4
6	CORENAM	2
7	TROPENBOS	1
8	PANNATURE	3
9	SRD	1
10	RECOFTC	1

11	ICRAF	1
12	MARD- Forest Development Department	1
13	EU REDD	1
14	Former MARD officials	2
	Total persons	117

Annex 2. List of key policies relating to CM

Laws, policies	Contents/meanings
327/CT(1992) dated 15/09/1992	Promulgating directions, policies on the the use of unused lands, bare hills, forests, and coastal mudflats and water. This program helped to promote FLA and improve livelihood of rural people.
Decree No. 02/CP dated 15/01/1994	Concerning the allocation and leasing of forest land to organizations, households, and individuals
Decision 661/QĐ-TTg dated 29/07/1998	On objectives, tasks, policies and implementing the project on planting 5 million hectares of forest
Decree 163/1999/NĐ-CP dated 16/ 11/1999	Replacing Decree 02/CP on the allocation and leasing of forest land to organizations, households, and individuals
Decision 08/2001/QĐ-TTg	Issuing regulation on the management of natural special-use, protection, and production forests
Decision No. 178/2001/QĐ-TTg	Detailing the rights of benefit sharing and the obligations of households and individuals who are allocated and leased forest land and forests
Land law (2003, revised 2013) detailing by Decree 181/2004/NĐ-CP dated 29/10/2004	Community was recognized as "a subject for land allocation with land use rights." The definition for community is broader including people of the same clan
Forest Protection and Development Law (2004)	Identified community is a subject to FLA, but community is not recognized as a forest owner in the 7 types of forest owners
Decision 23/2006/NĐ-CP	Detailing the FPD law for implementation. Regulations on rights of People's Committees on forest protection and development; regulations on conversion of forest land use purposes
Tourism Laws (2005)	Support community-based ecotourism and co-management
Civil Law 2005	Providing legal basis for the participation of households in form of a collaborative team (not the whole village/community) as a legal entity (Article 111)
Decision 304/2005/QĐ-TTg dated 23/11/2005	Piloting forest allocation and contracting forest for protection for ethnic minority households and villages in the Central Highlands.
Decision 186/2006/QĐ-TTg dated 14/8/2006	Issuing the forest management regulations

Decision 106/2006/QĐ-BNN dated 27/11/2006	Issuing the "Guidance for managing community forest" which clarifies the definition of community forests and include guidance for building village rules
Decree 151/2007/ND-CP	Support the establishment of cooperatives and community-based organizations
Circular 38/2007/TT-BNN dated 25/4/2007	Guiding the procedures for allocation or lease forests and forest revoke for organizations, families, individuals and rural communities
Circular 70/2007/TT-BNN dated 01/08/2007	Guidance to build and organize the village rules to protect and develop community forests
Decision 104/2007/QĐ-BNN dated 27/12/2007	Provide regulations on management of ecotourism activities in National Parks, Natural Reserves, and to support tourism development fostering the participation and benefit of communities
Document no. 1326/CV-LNCĐ dated 07/9/2007	Guidance for making plan for community forest management
Decision 561/QĐ-UBND dated 13/3/2009 (Lam Dong PPC)	Enacting quick and sustainable poverty reduction programs in the province of Lam Dong
Document 1704/UBND-LN dated 19/3/2009 (Lâm Đồng PPC)	On Pushing forest allocation and leasing to households and communities in Lam Dong province.
Decree 117/2010/NĐ-CP dated 24/12/2010	On organization and management of the SUF system. It specifies the scope and limits so that SUF MB can cooperate with other stakeholders to develop ecotourism to ensure the sustainable use of natural resources.
Decree 99/2010/NĐ-CP dated 24/09/2010	On Payment for Forest Environmental Services
Document 887/SNN-KL dated 21/4/2009 (Lam Dong PPC- DARD)	Providing guidance on forest allocation and contracting to communities and households
Circular 35/2011/TT-BNNPTNT dated 20/05/2011	Guiding the implementation of exploitation and utilization of timber and non-timber forest products. This guidance is too technical and not feasible to households and native communities causing high cost of implementation and discouraging participation.
07/2012/QĐ-TTg dated 08/02/2012	Enacting some policies to strengthening forest protection tasks
Decision 126/QĐ-TTg dated 02/02/2012	Piloting CM and BSM in some national parks including Xuân Thủy (Nam Định), Bạch Mã (Thừa Thiên Huế).
Decision 24/2012/QĐ-TTg	On investment and development policies in SUF for 2011-2020 period. This encourages activities including forest environmental services, eco-tourism business in special use forests, to support

	investment and create mechanisms for benefit of the economic sectors including village communities in the buffer zone. In particular, this supports communities to co-manage special-use forests 40 million vnd/village/year.
Decision 17/2015/QĐ-TTg dated 09/6/2015	Enacting regulations on forest product exploitation in protected forest . This decision also specifies responsibility of CPC in guiding communities to build and implement village rules for forest protection and development
Decree 75/2015/ND-CP dated 09/09/2015	On mechanisms and policies for the protection and development of forests, associated with policies on poverty reduction quick and sustainability and ethnic minorities support in 2015 – 2020 period. This supports contracted households to receive better benefit from PFES

Annex 3. Some concepts of co-management models

(adapted from Borrini-Feyerabend et al. 2007, p.65)

Concepts	Content
Adaptive management	A guiding principle for the design of the interface between society and biosphere, between community and ecosystem, between household and environment.... The release of human opportunity requires flexible, diverse and redundant regulation, monitoring that leads to corrective action, and experimental probing of the continually changing reality of the external world.... The emphasis is on social learning about the complex adaptive systems of which we are a part. Human institutions are crucial factors in this learning. (Holling, 1978 and others quoted in Roling and Maarleveld, 1999)
Co-management 1	...a political claim [by local people] to the right to share management power and responsibility with the state... (McCay and Acheson, 1987)
Collaboration	The pooling of appreciation and/ or tangible resources (e.g., information, money, labour) by two or more stakeholders to solve a set of problems neither can solve individually. (Gray, 1989)
Co-management 2	The sharing of power and responsibility between government and local resource users (Berkes, George and Preston, 1991)

Community forestry	The control and management of forest resources by the rural people who use them especially for domestic purposes and as an integral part of their farming system. (Gilmour and Fisher, 1991)
Co-management of protected areas	The substantial sharing of protected areas management responsibilities and authority among government officials and local people. (West and Brechin, 1991)
joint forest management	Collaboration in forest management between agencies with legal authority over state- owned forests and the people who live in and around these forests. (Fisher, 1995)
Collaborative management (of protected areas)	A situation in which some or all of the relevant stakeholders are involved in a substantial way in management activities. Specifically, in a collaborative management process the agency with jurisdiction over natural resources develops a partnership with other relevant stakeholders (primarily including local residents and resource users) which specifies and guarantees the respective management functions, rights and responsibilities. (Borrini-Feyerabend, 1996)
Joint protected area management	The management of a protected area and its surrounds with the objective of conserving natural ecosystems and their wildlife, as well as of ensuring the livelihood security of local traditional communities, through legal and institutional mechanisms which ensure an equal partnership between these communities and governmental agencies. (Kothari et al. 1996)
Participation	A process through which stakeholders influence and share control over development initiatives and the decisions and resources that affect them. (World Bank, 1996)
Collaborative management for conservation	A partnership in which government agencies, local communities and resource users, non governmental organizations and other stakeholders negotiate, as appropriate for each context, the authority and responsibility for the management of specific area or set of resources. (IUCN, 1996b)
Co-management 3	True co-management goes far beyond mere consultation. With co-management, the involvement of indigenous peoples in protected areas becomes a formal partnership/ with conservation management authority shared between indigenous peoples and government agencies... or national and international non-governmental organizations. [...] true co-management requires involvement in policy-formulation, planning, management and evaluation. (Stevens, 1997)

Collaborative management agreement for a conservation initiative	Representatives of all key stakeholders agree on objectives for the conservation initiative and accept specific roles, rights and responsibilities in its management... [They] ensure that the trade offs and compensations are clear and that all parties are aware of the commitments made by the others. (Borrini-Feyerabend, 1997)
Natural resource co-management	The collaborative and participatory process of regulatory decision-making among representatives of user-groups, government agencies and research institutes. (Jentoft et al., 1998)
Co-management 4	A system that enables a sharing of decision-making power, responsibility and risk between governments and stakeholders, including but not limited to resource users, environmental interests, experts and wealth generators... Essentially a form of power sharing... by degrees... through various legal or administrative arrangements... often implying a discussion forum and a negotiation/ mediation process. (NRTEE, 1998).
Platform for collective action	A negotiating and/ or decision-making body (voluntary or statutory) comprising different stakeholders who perceive the same resource management problem, realize their interdependence in solving it, and come together to agree on action strategies for solving the problem. (Steins and Edwards, 1999)
Co-management of natural resources	A situation in which two or more social actors negotiate, define and guaranty, amongst themselves a fair sharing of the management functions, entitlements responsibilities for a given territory, area or set of natural resources. (Borrini- Feyerabend et al., 2000)
Multi-stakeholder processes	Processes that bring together all major stakeholders in new forms of communication and decision-finding (and possibly decision-making),... recognize the importance of equity and accountability... and the democratic principles of transparency and participation. (Hemmati, 2002)

Annex 4. Key aspects of the reviewed models

Contents	Models						
	Hương Lộc	Thượng Nhật	Thủy Yên Thượng	Ngọc Sơn	Xuân Sơn	Buon Tul	Đa Sar
Background	- 2011, Community forestry (170ha) supported by ICCO, conducted by CRD	- 2011 Community forestry (about 100-200 ha/ village) supported by CRD and WWF - Collaborative management (on Dec. 126) in 2010 finished in 2014	- Community forestry (405ha) in 1999 supported by state fund, conducted by FPD	Collaborative management in 2011, funded by EU, conducted by FFI, PanNature - HH has LURC on PA	Collaborative management (state fund) 1999, implemented by Xuan Son NP	- Community forestry (Nearly 1000 ha, lost 700ha) 2007, funded by GTZ, conducted by Tây Nguyên Univ.	2010, funded by state fund, conducted by DARD - Community forestry (600 ha, lost 70 ha) - CF Finished in 2013
Key stakeholders	CPC, part of village communities (29/170 households)	Village communities, NP Forest rangers, CPC	Village community, FPD	Village communities, PA rangers, CPC	Xuân Sơn NP rangers, village communities, CPC	Communities, CPC Chư Yang Sin NP rangers	Da Nhim MB and rangers PFES teams, Communal Forestry board
Village organization	- community (only 29/ is divided into groups of 5 households per group	- A group for patrolling - A group for monitoring - All households have the rights to collect	- A community represented by a village management board. - Patrolling team is also	- MB of 7 members represented for the village community	- Mainly village head represented for the whole village community	- MB mainly from state organization represented for the village community.	PFES teams worked with the communal forestry MB

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	- Elected MB of 5 members	designated products	village civil defense team				
Village fund	VF is create with support from donor and used for loaning and paying labor of members	VF is from contribution of hunters and gatherers (but it did not work)	VF was from advanced timber logging at the beginning and last year from PFES	VF was from donor (40-45 million vnd), confiscated timber auction, FPD fund, used for loaning, buy maize seed and MB operation	No VF, MB raised from members, extracted from state FPD fund whenever needed for patrolling, minor infrastructure-	VF was from advanced timber logging Recently from PFES	No VF
Village rule	VR was developed with supports from CPC	VR was developed based on Decision 126/2012/TTg by the Prime Minister	No VR but FPD regulations	Some key principles agreed by villagers	Simple VR was developed with support and approval by CPC	Complex VR was developed with support from Tay Nguyen University but was not very feasible	No VR but FPD regulations
BSM	- Community used part of the allocated barren forestland to grow acacia plantation for short term benefit (4-5 years), other part for native species for future	- Community used part of the allocated barren forestland to grow acacia plantation for shortterm benefit (4-5 years) - During the CM model,	- Early 2000, community was benefited from selling advanced timber - Currently almost no benefit from forest.	- Communities are benefited from state fund for FP and extracted money from confiscated timber auction - VF supported community	- Almost no benefit except some NTFP for home use. - MB operated on limited payment from state fund for FP	- 2008 community was benefited from selling advanced timber - At present FP on PFES - Community is benefited	- Incentives from CF was low. Member could cultivated on barren land, and collect firewood, fallen trees

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	generations (>40 years). Money from Acacia can pay for invested labor in addition to PFES and Agroforestry application.	communities benefited from forest products according to Dec 126/QD-TTg - Currently, HH are paid for FP from CarBi và PFES	- Since 2014, patrolling team and MB operated with support from PFES	with loans, seeds	- Good members are supported to participate in state, loan programs	from NTFP mainly for home use	- Team members were benefited mainly from PFES.
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