

UN-REDD
PROGRAMME



Report

**Field Testing of Indicators and data
collection tools for Participatory
Governance Assessment for the
REDD+ in Vietnam.**

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OUTLINE

Outline	2
List of tables	4
List of Abbreviation	5
I. IntroDUCTIoN	6
1.1. Background for PGA field-testing of indicators and tools for collecting data	6
1.2. The Testing Team	7
1.3 Steps of PGA Testing	9
II. TESTING PROCESS	10
2.1 Revisiting the set of indicators and reviewing tools for data collection during the pre-testing workshop	10
2.2 Selection of sites for field testing and profiles of interviewees.	14
2.3 Task appointment for team members:	15
2.4 Field testing of indicators and data collection	17
2.4.1 Preliminary findings from group discussion in the field	17
2.4.2 Assessment of the indicator set and tools for collecting data	18
2.4.5. Revising tools after the field testing	22
2.5. Follow-up activities	23
2.5.1. Data entry and management	23
2.5.2. Data analysis of collected data	23
III. Conclusions and recommendations	23
3.1. Conclusions	23
The field testing process	25
3.2. Recommendations	25
Appendix 1: Detail workshop schedule	27
Appendix 2: List of workshop participants	29
Appendix 3: List of participant divided into groups for discussion of related matters.	30
Appendix 4: Sources and data collection tools, result of the discussion on detail work plan for field testing	31
Appendix 4.1.1: Removed indicators agreed at the workshop	31
Appendix 4.1.2: Sources and data collection tools	33
Appendix 4.1.3: Detailed work plan for field trip of the two groups	36
Appendix 4.1.4: Check lists for field testing:	38
Appendix 4.1.5: The actual field testing activities in each district	39

Appendix 5: Table of secondary data, key informant questionnaire, household questionnaire before the field test	41
Appendix 5.1: Secondary data collection form for forest owners	41
Appendix 5.2: Secondary data collection form for District Forest Protection Department	45
Appendix 5.3: Secondary data collection form for District Office of Internal Affair	48
Appendix 5.4: Secondary data collection form for Commune People’s Committee (CPC)	49
Appendix 5.5: Main issues/questions for group discussion	54
Appendix 5.6: Interview questionnaire for Commune/Village staff	55
Appendix 5.8: Interview questionnaire for household	60
Appendix6: Sources of data and collection techniques	68
Appendix 6.1: Sources of data and collection techniques	68
Appendix 7: Table of secondary data, key informant questionnaire, household questionnaire revised after the field testing	71
Appendix 7.1: Secondary data collection form for forest owners	71
Appendix7.2: Secondary data collection form for District Forest Protection Department (FPD)	75
Table 7.2.2: Information concerning the number of violation case detected and settled in 2012	76
Appendix 7.3: Secondary data collection form for Commune People’s Committee (CPC)	77
Appendix 7.4: Main issues/questions for group discussion	83
Appendix 7.5: Interview questionnaire for commune/village forestry committee staffs	84
Appendix 7.6: Interview questionnaire for FPD at commune level	87
Appendix 7.7: Interview questionnaire for household	90
Appendix 7.8: Interview questionnaire for forest owners (This is a new questionnaire proposed at the final meeting)	97

LIST OF TABLES

Table 1: Participants in the workshop for PGA's indicators testing	7
Table 2: Member of 2 groups participating field testing activities.	8
Table 3: Prioritized issues and main components in forest governance	10
Table 4: Selected indicators with priority and level of importance	11
Table 5: Changes in the new tools compared to the June 2013 workshop	13
Table 6: Overview of the testing site	14
Table 7: Assignment of specific tasks for each member of the two teams.	16
Table 8: Result of the revised field testing tools	22

LIST OF ABBREVIATION

CRD: Center of Rural Development

CORENARM: Consultative and Research Center on Natural Resource Management

CFB: Commune Forestry Board

CPC: Commune People's Committee

DIA: District Office of Internal Affairs

DonRe: Department of Natural Resource and Environment.

FAO: Food and Agriculture Organization.

FD: Forest Department

FPU: Forest protection Unit

PanNature: People and Nature Reconciliation

PGA: Participatory Governance Assessment

PRA: Participatory Rural Appraisal

SRD: Social Research and Development

REDD+: Reduction of Emission through Deforestation and forest Degradation.

UNEP: United Nation Environment Program

UNDP: United Nation Development Program

I. INTRODUCTION

1.1. Background for PGA field-testing of indicators and tools for collecting data

The United Nations Program on Reduced Emission from Deforestation and forest Degradation (UN-REDD) is a collaborative program among FAO, UNDP, and UNEP aiming at developing common approaches, analyses, methodologies, tools, data and guidelines that facilitate REDD+ readiness work.

Participatory Governance Assessment (PGA) for REDD+ is an initiative of the UN-REDD Global Programme being piloted in 4 countries namely Nigeria, Ecuador, Indonesia, and Viet Nam. PGA is an approach that aims to produce robust and credible governance data relevant to REDD+, through an inclusive process of consultation and with contributions from both government and civil society as joint developers and owners of the process. In Viet Nam, PGA has been introduced through a series of technical indicator workshops and field testing started in March 2012 in Lam Dong province. The province was selected as the only one pilot province for PGA due to the high level of commitment and interest from local stakeholders and a large forest area in which parts are exposed to high risk of being deforested.

The province is rather distinctive with uneven access forest land with households and individuals accounting for only 1,6% of forest allocation¹ among which over 90% of the allocated forest are contracted forest. Poorer households are potentially benefited from contracted forests. However it was similar to situations in other provinces where targeted households had a low level of education and capacity for forest protection, pairing by limited capacity of local staff from the Forest Protection Department.²

In order to develop an understanding on key considerations in the development of an indicator set for further use for PGA in Vietnam, a training workshop in April 2013 brought into fore the main elements of and main steps for developing indicators and help different stakeholders, who came from different backgrounds to become aware of key considerations for data collection and what to have in mind when deciding on data collection methodologies relevant to PGA. This workshop was followed up with the second indicator workshop in June which aims at finalizing a set of indicators and data collection tools for field testing in Lam Dong province. Before the field testing was conducted in Lam Dong province from 30th July to 02nd August, a preparation workshop took place on 23-24 July to revisit and refine indicators and tools for collecting data. The field testing was followed by a session to reflect participants' experience of the testing.

The above mentioned process has been continuously facilitated by senior staff from an international NGO and three Vietnamese NGOs with extensive experience in developing tools for forest governance issues including RECOFTC, Consultative and Research Center on Natural Resources Management (CORENARM), Center for Rural Development (CRD), and People and Nature Reconciliation (PanNature). Though not all organizations could participate in every PGA activity, the facilitators have worked closely with the PGA coordinator and FAO-UNDP colleagues in organizing workshops and delivering sessions on introduction of working methodology such as PRA (Participatory Rural Appraisal) techniques. In the field testing, facilitators provided onsite coaching for participants. Afterward, they facilitated the reflection sessions and compiled lessons learned, and document the process for further improvement of the methodology. It is equally

¹ Institution and Context Analysis for PGA in Vietnam

² Key note speech by Mr. Nguyễn Khang Thiên – Vice-director of provincial Forest Protection Department in the opening of the preparation workshop before the field testing.

important that based on this experience, a better understanding on the roles of stakeholders in the PGA could be achieved, in order to facilitate the implementation of PGA in the next phase of the program.

This report is prepared by the two facilitators from CORENARM who facilitated the latest two activities of PGA in Lam Dong to document the process and reflections from both the pre-field testing workshop (23 to 24 July) and the field testing. In this report, the pre-testing workshop, the field testing and the post-testing reflection session were treated as three consecutive events in the testing, where technical implications were discussed chronically to reflect a learning process of the testing.

The report is composed of three main parts: Part I introduced background of the testing, included the context, team combination, site selection and timeline of the testing; Part II described process and results of the testing in terms of the methodology itself (how indicators were selected and how it was used in the testing through different tools for data collection); Part III provided discussions and recommendations for following up. Most of lesson learned were included in boxes presented in relevant sections of part I and II. It is notable that this report does not include data analysis from the field testing as this was planned for a separate report afterward. However, preliminary findings from group discussion during the field testing and changes made in tools for collecting data are presented in [Appendix 7](#).

1.2. The Testing Team

The Testing Team comprised of 16 people, including 3 females and 14 males.³ 12 participants from Lam Dong province (2 females, 10 males) of which there were 8 people coming from district and commune level. They had participated previous PGA workshops.

There are two facilitators coming from CORENARM (2 males). They also participated in previous PGA workshop.

Table 1: Participants in the workshop for PGA’s indicators testing

Organization	Female	Male	Total
<i>Participants</i>	2	10	12
- Commune officer	1	4	5
- District officers	0	3	3
- Province Officer	1	3	4
- REED’s representative	1	0	1
<i>Facilitators</i>	1	2	3
- PGA coordinator/UNDP	1	0	1
- NGO	0	2	2
Total	4	12	16

It was notable that the number of women participated in the testing rather low (25%) comparing to that of men. That was explainable as few women work in the forestry sector. It was not clear how this combination would affect the efficiency of the team in reaching out to local community (supposed including both men and women). However, as a principle for effective participation, a team with members of diverse background and gender competences would be ideal.

³ The lists of participants are presented in [Table 1](#) (their full names and positions are in [Appendix 2](#)).

In the field testing, the composition of the team was slightly changed, without affecting major structure of the team during the field work. The team was split into two groups:

Table 2: Member of 2 groups participating field testing activities.

#	Affiliation	Lac Duong/Da Sar	Di Linh/BaoThuan
1	Consultant + facilitators	Ngô Trí Dũng	Đỗ Phương Thảo + Trần Nam Thắng
2	Provincial staffs	Hoàng Công Hoài Nam (FPD) + Lê Thái Sơn (FPD)	Nguyễn Bá Lương (FPD) + Võ Minh Tâm
3	District staff	Thân Trọng Toàn + 01 local FPD	Nguyễn Thế Liêm (Bảo Thuận forest ranger)
4	Commune staffs	Mo LomSứ, K' Brọt	K'Brêl, K'Bồi, Trần Thị Linh

Notes: The full name, positions of each member is in [Appendix 2](#)

In Lam Dong, according to the Forest Protection Department, commune forest protection unit (FPU) and local forest ranger play very important roles in forest protection and management. These groups have good experience and skills in community approach. However, FPD staff are not trained properly with more than 50% are at intermediate level. Many of them are at the age of 50. The project is encouraged by FPD to involve young staff on board with the PGA testing, while it is strongly recommended by FPD that the PGA should be introduced and conducted in a way which helps their staff fully engage and master the techniques of the assessment.⁴

Lessons learned in the PGA Team building

1. A team with members from diverse backgrounds would be ideal.
2. Team members with knowledge about local language and local tradition create favourable condition for data collection, and save time. Such team members could be more efficient in engaging local people, help them to better understand the purpose of the survey, in particularly when working with ethnic minority people.
3. It is equally important to involve more staff from relevant department, such as MONRE/DONRE, and representative of households from the very beginning of the PGA process when indicators are selected. This early participation allowed a better analysis on feasibility of selected indicators, as well as for logistic planning.
4. Be prepared for changes in team members composition. This is not a preferable situation, but it happened in a field work where a team is comprised of members from different sectors.

⁴ Key note speech by Mr. Nguyễn Khang Thiên – Vice-director of provincial Forest Protection Department in the opening of the preparation workshop before the field testing.

1.3 Steps of PGA Testing

During the process of testing in Lam Dong, the PGA was treated as a working tool in development, which was open for continuous adjustment. After a number of indicator workshops which helped participants get familiarized with designed indicators and methodology for collecting data for field testing. The field testing, in one hand, provided participants with real experience how these tools actually work out. On the other hand, the field testing aimed to provide necessary adjustments for the tools based on the reflection of experience by participants.

As stated by the name itself, PGA should be conducted in a way which maximizes participation throughout the process, both indoor (among PGA team that is created by workshop participants) and with relevant stakeholders during the field testing (which include forest owners and local people). This principle was reflected in the working methodology of both pre/post testing as well as during the field test. It was also employed as a key principle for reflection on the methodology to conduct a PGA, in addition to considering efficiency of data collection.

The PGA testing steps could be summarized in Chart 01.

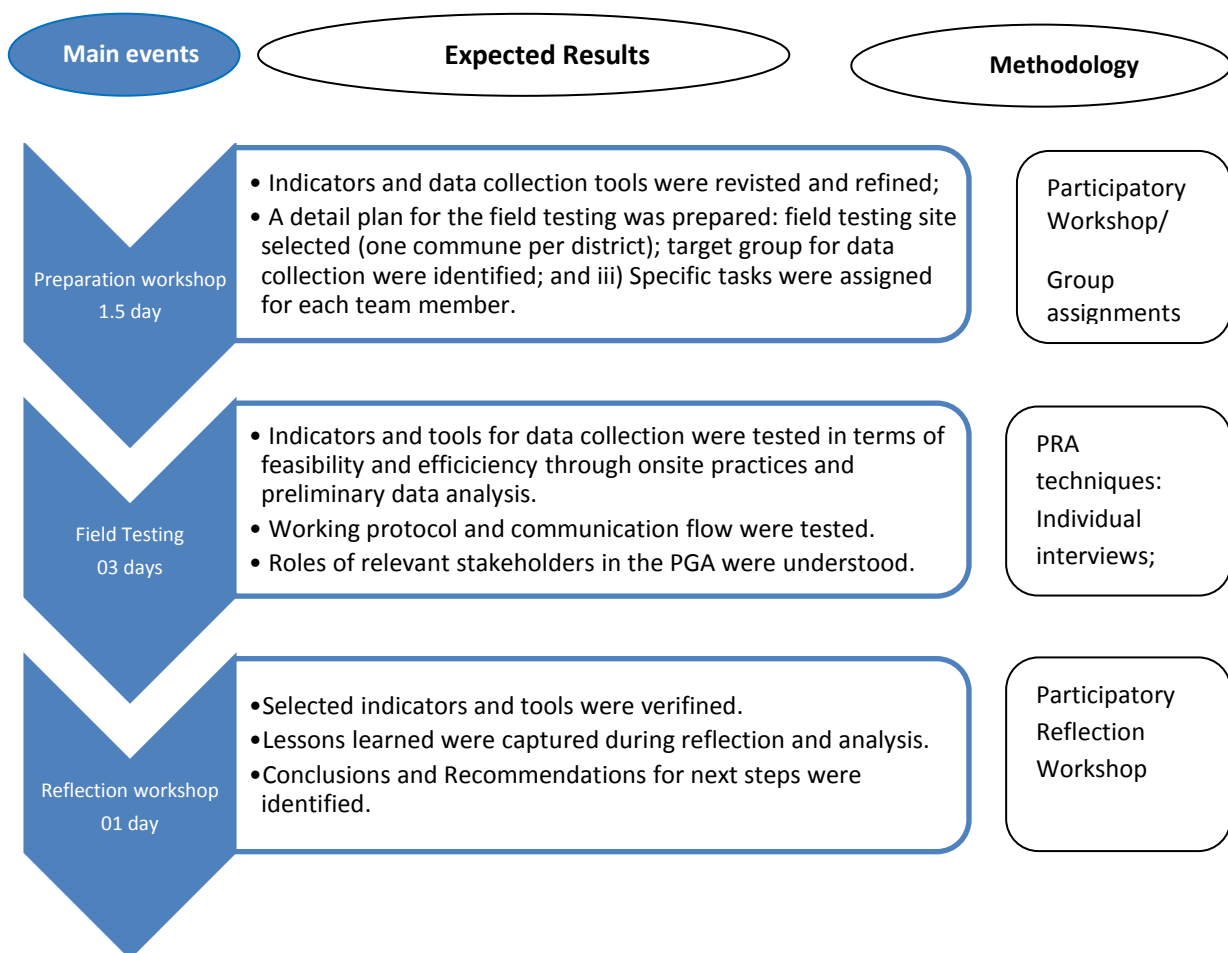


Chart 01: PGA Testing process in Lam Dong Province, 2013.

Details agenda and timeframe of these events were provided at [Appendix 1](#).

II. TESTING PROCESS

2.1 Revisiting the set of indicators and reviewing tools for data collection during the pre-testing workshop

Methodology for indicators review and selection:

Two major governance issues were selected for the PGA testing in Lam Dong: A. Participation of local (commune) authority in decision making process related to forest management; and B. Forest Allocation/Contract of forest to local people (for livelihood improvement of local people). Two respective sets of 40 indicators developed from the previous technical workshop in June were available for workshop participants to revisit and make ranking/selection. Two criteria for ranking were **Relevance** (to main governance issues A and B) and **Possibility to collect relevant data**. Participants were also asked to proposed new indicators which they consider relevant to the two main governance issues, and indicated which indicators could be highly potential for long term monitoring of changes in forest governance. In the last step, participants identified sources of data for selected indicators, tools for collecting information, and developed questionnaires or list of key questions for targeted groups. Table 3 bellows presents the two selected main governance issues and their six components:

Table 3: Prioritized issues and main components in forest governance

Governance issues	Components
A. Participation of local (commune) authority in decision making process related to forest management <i>(Group 1)</i>	A.1. Management and implementation capacity of communal authority
	A.2. Mechanism for receiving and sharing information
	A.3. Policy on timely and suitable allowances
B. Allocation of forests to local people <i>(for livelihood improvement of local people)</i> <i>(Group 2)</i>	B.1. Forest status before allocation
	B.2. Rights and responsibilities in forest management after allocation (Transparency in payment amount and time)
	B.3. The effectiveness of forest management after allocation (Forest protection and livelihood).

Conduct of selection exercise

Participants were divided in two groups No.01 and No.02. Each group was assigned with one main governance issues (A or B) and the respective set of indicators. Group No.01 worked with issue A, included components A1, A2 and A3 which were divided into 21 possible indicators. Group No.02 worked with issue B, included components B1, B2 and B3, which were divided in 19 possible indicators.

Each group was asked to work on clarification of terms and meaning of each indicator in their list. As a result of this exercise, participants found out confusion between the term “forest allocation”

and “forest contract” in the indicator set. In Lam Dong, more than 90% of the contracted/allocated forests were in the form of contract for protection. Participants did not see the connection between land allocation and livelihood improvement, stated that land allocation was not practiced in their province. Therefore, everybody agreed to replace the issue No.2 from “*Allocation of forests for local livelihood improvement*” to “*Forest protection contract for local livelihood improvement*”.

To select indicators, participants in each group used color cards to mark their priorities in three sections: Most related/relevant (category1- Red card); Related/relevant (category2 –yellow card); and Less related/relevant (category3 –green card). Based on this exercise, 19 indicators were selected as in the following table 4. 19 removed indicators were presented in [Appendix 4.1.1](#) with full explanation of the removal, mostly because participants ranked them either too low or not relevant, or too difficult to be verified.

Table 4: Selected indicators with priority and level of importance

#	Indicators	Rate of importance		
		Very important	Less important	Not important
A	Participation and collaboration of local authorities and functional departments in forest management and decision-making process			
A.1	Management and implementation capacity of communal authority			
A.1.1	Number of commune officials above intermediate degree	✓		
A.1.2	Number of commune officials trained in forestry and participated in Commune Forestry Board (CFB)	✓		
A.1.4	Number of years working in areas of forest protection and management of CFB members	✓		
A.1.6	Number of complain letters successfully solved	✓		
A.1.2	Number of commune officials trained in forestry		✓	
A.1.7	Number of legal documents issued per year			✓
A.1.8	Number of recommendations submitted to higher levels be accepted		✓	
A.1.9	Number of cases of violation discovered and handled	✓		
A.2	Mechanism for receiving and sharing information			
A.2.1	Quantity of legal documents received by the commune per year		✓	
A.2.2	Number of people/workshops per year for disseminating forest protection law	✓		

#	Indicators	Rate of importance		
		Very important	Less important	Not important
A.2.4	Radio program on forest protection law per quarter		✓	
A.2.7	Number of cross-sector meetings to share the work done on forest protection per quarter	✓		
A.3	<i>Policy on timely and suitable allowances</i>			
A.3.1	Amount of allowance for forestry staff/month	✓		
A.3.3	Number of commune staff getting reward/year	✓		
B	<i>Forest protection contract for local livelihood improvement</i>			
B.1	<i>Forest status before allocation</i>			
B.1.2	Area, function, type of forest, condition	✓		
B.1.3	Standing volume of timber and non-timber forest products (NTFPs)	✓		
B.1.4	Distance from the residential area to forest		✓	
B.1.6	Forest cover			✓
B.1.7	Area of forestry land designed for non-forestry uses;		✓	
B.2.	<i>Rights and responsibilities in forest management after contract (Transparency in payment amount and time)</i>			
B.2.1	Amount of payment for forest protection/household	✓		
B.2.3	Number of households involved in forest patrol/month	✓		
B.2.4	Number of households violate the contract	✓		
B.2.5	Volume and area of damaged forest (month, year, quarter)	✓		
B.2.9	Numbers/area of forest fire discovered and stopped per year	✓		
B.2.10	Number of contracted households hired to plant, tender forest.		✓	
B.3.	<i>The effectiveness of forest management after contract (Forest protection and livelihood).</i>			
B.3.1	Area of forest before and after allocation	✓		
B.3.2	Change in timber volume/year	✓		
B.3.6	Change of incomes from allocated/contracted forest per households per year	✓		
	Total	19	7	2

(Note: only 19 indicators ranked as very important were finally selected).

Based on the list of prioritized indicators, participant revised the tables, forms and tools for data collection accordingly. The removal of 19 indicators resulted in a significant reduction of the

number of forms and tables used in the data collection (see table 5). Changed forms and tables were provided in the respective appendix.

Lessons learned in the indicators selection

5. Three main criteria for the ranking exercise should be repeatedly mentioned during the selection exercise:
 - Is the indicator really related to forest governance?
 - Is it possible to collect data for this indicator in the field.
 - Is it possible to use this indicator to monitor forest governance in the future?
6. Give adequate time for participants for group discussion, grading and voting.
7. Participation of all members in the selection should be maximized. Encourage participant to look at the issues, indicators with their working experience and aspects. The participants are asked to answer following questions: Will these indicators be achievable (able to collect), are the table and form are properly arranged, will all the information put in a table be collected from only one stakeholder?

Table 5: Changes in the new tools compared to the June 2013 workshop

Tools	Number of tables	Changes (+/-) compared to June workshop	Changes in details of the table (Y/N)	Appendix
Source of data and collection tools	1	0	Y	4
Secondary tables for forest owners	4	- 6	Y	5.1
Secondary tables for Internal Affair office	1	0	Y	5.3
Secondary tables for district FPD	2	- 4	Y	5.2
Secondary tables for CPC	5	- 7	Y	5.4
Topics/Questions for Group discussion			Y	5.5
Questionnaires for in-depth interview of commune/village officers			Y	5.6
Questionnaires for in-depth interview of forest			Y	5.7
Household questionnaire including 3 main topics (i) Benefit from the contracted forest) (ii) Mechanism for			Y	5.8

receiving and sharing information and (iii) Complaint				
Instruction for using of tools in the field			Y	5.9

Lessons learned in the tool refining

8. Check what forms are available in use by related stakeholders (FPD, forest owners, CPC etc.), PGA table and forms could be adjusted based on these forms and tables.
9. It would be best if all the information in a table can be collected from one source of information, creating favourable conditions during the data collection process.

2.2 Selection of sites for field testing and profiles of interviewees.

Facilitators presented a quick overview of research methodologies, including quantitative and qualitative research. Principles and methodology for sampling were also presented, including a briefing on random sampling, systematic sampling and stratified sampling. Based on this knowledge, participants discussed and chose study site and profile/criteria for targeted population of the field testing.

After discussion for the study site and the sample size in consideration with the available personnel and resources (3 days field work with two teams, each composed of 7 people), the workshop agreed to choose two communes: Bao Thuan in Di Linh district and Dak Sar commune in Lac Duong district as site for the field testing. Number of households was selected based on the proportion of household with forest contract in each village as in the table below.

Table 6: Overview of the testing site

#	Commune	Villages	Number of households interviewed	Notes
1	Bao Thuan	Hang Por	25	Poor village
		Kla Tô Kreng	5	Average village
		Kla Tàn Gu	4-5	This village is special because it is one of very few villages that has forest allocation to the community. 4-5 members were invited for group discussion to provide a different overview to the topic of forest contract vs forest allocation
2	Dak Sar	Village 1	15	The group discussion composes of villager from these two villages.
		Village 4	15	

Criteria for selecting interviewees were set as the following:

- **For household interview:**
 - Household with forest contract

- High dependency on forest resources
- Household wealth ranking (poor, average, better-off)
- Gender (ensure at least one third of the participants are females).
- **Households for group discussion:** Chosen from interviewed households and other members in the villages and communes:
 - Individuals with some knowledge about forest contracts for protection
 - Village head, elder people who have knowledge and experiences.
 - High dependency on forest resources, participated in forest protection.
 - Some people who participated in NTFPs harvesting, forest contract, forest allocation (only in Bao Thuan commune).
- **Key informants:**
 - People with knowledge about forest management, forest governance.
 - To be in charge of the work related to the assessment.
 - To be in connection, work directly or indirectly with related stakeholders in forest management and protection.

Lesson learned about logistic preparation for field testing

10. Having participants from different locations of the region helped to select the testing site with higher degree of representation and practical inputs for the logistic plan of the field work.

2.3 Task appointment for team members:

The workshop discussed time allocation for the field test as well as the team members of each district/commune. Each of the two teams lists out its members (including provincial, district and commune staffs and also facilitator), voted for team leader to coordinate their team, assigned specific task for each member of the team. The information is presented in **table 7**. The full name and position, affiliation of each member is fully described in **Appendix 2**.

- Team 1: BaoThuan commune, Di Linh district: Mr.Lương, Mr.Thông + Mr. Liêm KL, Mr. Thâm, Mr. K’Brêl, K’Bôi, Mrs.Lê, Mr. Thắng + Mrs. Thảo. Team leader: K’Brêl
- Team 2: DakSar commune, Lac Duong district, Mrs. Nam, 02 forest rangers, Mr. Toản, Mr. Trung, Mr.Sứ, M. K’Brợt, Mr. Dũng. Team leader: ThânTrọngToản

Table 7: Assignment of specific tasks for each member of the two teams.

#	Tasks	Specific task of each member of the two teams	
		Lac Duong/Da Sar (team 1)	Di Linh/BaoThuan (team 2)
1	Communication and HH selection	Thân Trọng Toàn	K'Brêl
2	Secondary data collection		
a	Forest owners	Hồ Huỳnh Dũng + Cao Đức Anh Trung	Võ Minh Thâm, Trần Nam Thắng
b	FPD	Hoàng Công Hoài Nam	Nguyễn Bá Lương
c	CPC	Mo Lom Sứ, Ngô Trí Dũng	K'Brêl, K'Bồi
d	Internal Affair office	Thân Trọng Toàn	Nguyễn Bá Lương
3	Primary data collection		
a	Household interview	All member	All member
b	CPC interview	Mo Lom Sứ	Đỗ Phương Thảo + Trần Thị Lệ
c	Forest ranger interview	Trung	Nguyễn Bá Lương
d	Group discussion	Hoàng Công Hoài Nam + Other member support	K'Brêl Brel + Other member support

Lessons learned from the pre-testing workshop:

11. Participant's engagement has been kept as the key for a PGA productive workshop. Participants should timely be reminded that the indicators set is the result of their own working, they will be the person who use these tools in testing as well as in the long run for the monitoring in the future. They are also the ones who manage, analyse and synthesize the data for later usage. This is the foundation for participants to feel that they are really owners and responsible for the discussion and decision on choosing the indicators of the tools.
12. Participants should be clearly informed about the preparation process: why this workshop is needed, what are expected outputs and activities to produce those outputs.
 - Handout of detail workshop agenda with expected result for each session should be available for each participant.
 - Information for the discussion should be prepared, arranged in an exact order of the outputs of previous workshops for participant to recognize the result that they had built themselves.
13. On task development and appointment, a detail workplan for the field work should be developed (see Appendix 4.1.3)
14. For task appointment, a checklist on preparation prior to the field work will be useful. (See appendix 4.1.4)
15. The arrangement of suitable staff to work with related stakeholders (district, internal affair office, FPD, CPC, forest owners) will increase the effectiveness and reduce time and unnecessary transaction cost.

2.4 Field testing of indicators and data collection

The final objective of the testing was agreed by the testing team as to fully collect required information, figure out difficulties, advantages of testing tables, forms, indicators in reality. There were a slight change in the team composition as described in part 2.1, as well as adjustment in the work plan, but it did not affect the final outcome.

In general, most of the field activities go as planned; however, some activities are adjusted to make it more suitable with local context. Thus, the implementation progress of the two teams is slightly different. The detailed field activities are presented in [Appendix 4.1.5](#).

The field activities are carried out smoothly and timely in Bao Thuan and Dak Sar commune. The tables, forms were almost fully collected. However, it was difficult to collect information for a few indicators. Adjustments were made both in the indicator set itself as well as the practical arrangements in tables and forms to make it convenient for data collection. The changes are presented in [Appendix 7](#).

2.4.1 Preliminary findings from group discussion in the field

1. There are clearly some differences in the way how forest contracts are handled in the two communes in the two districts Lac Duong and Di Linh. These differences are due to the different approaches that forest owners have toward local people/contractors such as: the link forest owners use to get connected with local people, the contract length, the support provided to households after the contracts are signed, etc..
2. There is a lack of participation from local people as they are not involved in the discussion, and in identifying their roles, rights and benefits. In general, they do not know much about procedures for forest contracts. They only follow the instruction from forest owners.
3. Most of the local people do not have a clear idea where the forest contracted areas are for their households, they only know vaguely that their forest is somewhere within the team's forest. This shows the important role of the team for forest protection which is rather common in the local context.
4. The biggest and most important concern of local people is to get a forest contract in order to have an additional source of income for the family.
5. Local people are not necessarily aware about the meaning of participating in forest protection. They only do the duty assigned to them by the forest owners. They consider their role as labour, to work for money, not a really owner of forest protection.
6. The important related stakeholder in forest contract and forest protection at local level are forest owners, village head, protection team leader and the CPC.
7. Some local people seem to know well about their rights, benefits and responsibility of contracted households while others seem to mix up between rights and obligations/tasks. In general people mainly follow instruction from forest owners or authority.
8. Local people have limited knowledge about forest allocation, and have limited idea about the effectiveness of forest plantation and development. Within discussions, there are two possible explanation for this:
 - There are no experimental models for forest development with household scope for local people to learn, or
 - The benefit from industrial trees (coffee, rubber) are too high, thus local people are not concern about the forest plantation and development.

9. When asked about what people would do if they were allocated with some forestland and seedlings for forest development, some local people showed great interest to participate to develop plantation forest both for household and social benefit while others are skeptical about their ability to protect the forest on their own.

2.4.2 Assessment of the indicator set and tools for collecting data

It is clear that the participants highly appreciate the testing field trip considering that it helped them to understand more clearly about the PGA through putting what they learned in workshops into practices. Remarkable lessons learned drawn after the field testing were:

a) Assessing indicators base on: Relevance, Feasibility, and Potential for long term monitoring

1. For Component A.1: **Management and implementation capacity of communal authority**: Some of the information is either not available in the existing filing system or is not monitored by the local authority/ related functional agencies. Some indicators such as as A.1.3 (number of years working in areas of forest protection and management of CFB members), A.1.4 (number of complain letters successfully solved, number of legal documents issued per year), or number of recommendations submitted to higher levels be accepted are rather difficult to make a meaningful link to how management of communal authority could be measured.
2. For Component A.2: **Mechanism for receiving and sharing information**: The quantity of legal documents received by the commune per year is listed as unimportant by the team as each commune in fact receive a vast number of documents yearly and not all of them are related to forestry management.
3. For Component B.1: **Forest status before forest contract**: There are some indicators that are difficult to collect data, for example: Forest cover, distance from the residential area to forest, area of forestry land designed for non-forestry uses; non-timber forest products. Forest cover cannot be calculated over the household's contracted forest as it needs actual measurement. Local people do not know exactly the forest area that they are protecting, so they do not know the distance. Most of the contracted forest areas are with Pinus tree, thus the NTFPs products are very low. Therefore, on the forest status item, there are only two indicators left which are: Forest area (by function, type of forest, and condition) and standing timber volume.
4. For Component B.3: **The effectiveness of forest management after contract (Forest protection and livelihood)**: it is very difficult to get the number of timber volume change per year at the household level. Thus we have to change it to 5 years interval with the rotation of forest survey from forest owners and related agencies. The indicator B.3.3

“Change of incomes from allocated/contracted forest per households per year” was changed to “Ratio of income from PES/ total income of recipients” as we want to see the change in forest contribution to local income.

5. The indicators in the appendix 6.1 can be used for long term monitoring.

b) Tools for collecting data

1. Tables and forms design should take into reference existing forms and tables used by local authorities or management system. While new items could be added as per required by new indicators in the PGA, the format of PGA forms and tables should not be too different from existing forms and tables to avoid unnecessary difficulty for PGA team.

For example: Tables and forms 5.1.2, 5.4.5: it is rather difficult to collect the information on contracted forest at household level in term of details (zone, plot, lot, or area into forest and bare land). Table 5.1.2 has to be removed because as there are no means for comparing the change in timber volume at the time of contract and the time of evaluation at household level. Table 5.4.5 which shows complains being filled on forestry sectors had to be revised to show the date of receiving complain and the date of solving complains instead of mentioning about the content of the complains.

2. Member of the testing team found that there were many small mistake within the tables and forms and they took notes directly on the tables and forms. In the team meeting and final workshop meeting, they reported all the issues noted down during the field trip and all team members discussed how to revise the table and related forms. The results of these activities are presented in **Appendix 7**. In concrete term, this process helps them to better understand the tools, the indicators and PGA process.
3. Everyone (especially stakeholders) understands different concepts on the table/forms. For example: what is forest contract, what is forest allocation, what is the benefit, responsibility of forest allocation and forest contract?
4. Some of the terms used in the interview questionnaires are too abstract. It is advisable to make sure that the questions used should be clear, easy and do not have technical term for local people to understand easily. The arrangement of the questions should be in appropriate and consequence to create suitable visualization and imagination of interviewee.
5. The preliminary survey is in need for obtaining local context and building detail plan for the field test. In this field testing, the preliminary survey was not that well done and it needs further improvement and supplementation for next field activities.

6. Using different tools to cross check assumptions: The interviewees seem to be “framed” in the thinking that forest contract is the best solution for them. Through informal talk and interview, discussion, it was revealed that local people seem to know nothing about forest land allocation. The fact is that they have never heard about the concept of forest allocation, the right, and the benefits. Their purpose is to get contracted to receive the payment such as hiring labour. Thus, when asked about forest contract and forest allocation, they all consider that forest contract is best suitable for them.

c) Working protocol

Field testing: Working protocol

1. Well preparation for the field trip would save a lot of time and effort for the whole team.
2. Local authorities (district, commune, village) should be informed about the field trip at the commencing to avoid the unnecessary misunderstanding as well as losing too much time for explaining the purpose of the team to every single individual. When working with local agencies, it is really important to give a clear request or guides to avoid mis-understanding or providing irrelevant information.
3. The assignment of specific task to each member of the team helps facilitate the field work process and data collection. For team members from local offices, they need to be allocated sufficient time to join the field work.
4. Some of the secondary table and forms can be sent to the related stakeholders in advance through post office instead of sending staff coming to their office, such as the secondary table for FPD, forest owners and CPC.
5. Before the field testing, the team should make sure everyone understands how to implement activities in the field. In terms of interview technique, it is important that all members understand the content of the questionnaire and have the ability to explain the question without answering them for the interviewees.
6. The field work, as a training, should maximize the exposure of team members to all tools and all stakeholders. Every one should get a chance to experience all the tools and data collection. Senior staff and facilitators could provide a demonstration and give opportunities to team members to practice, especially for local staff. Local staff and local people should be encouraged to actively take part in different activities.
7. Member of the team should inform immediately the team leaders about the difficulties in order to have quick solution to the problem, ensuring the implementation process.
8. During the field test, team members should take notes daily to record all difficulties they

face, obstacles in conducting the work both as individual and as a team. They can reflect on which specific table/item that was not appropriate for collecting data, which approach was suitable, what needed to avoid. These notes would be useful for substantive reflection in the team meeting by the end of the field trip.

9. Take pictures of every table and form, it help the reflection and their revision later.
10. When interviewing households or conducting group discussion, it is advised to avoid the influence of prominent individuals/group to other people. Interviewers should explain and try to make interviewee feel comfortable, and help them avoid listening/following other people's opinions. It is a good way to come directly to each chosen households (instead of inviting all people to a place for household interview, the answers of the previous household might influence others)
11. All forms and tables have to be filled by members of the team during the testing (interview, secondary data collection). Do not leave any blank section. In case one cannot get the information, a reason should be given. Interviewers should try to ask local people for clarification for why they choose the option or give their opinion about the raised issue (to check if the interviewees understand the question).
12. Team leader should regularly cross-check the result of each member in order to ensure the process and also if the collect information meet requirement. This is to ensure quality of the work.

d) Position of stakeholders:

1. The information collected from CPC was easier to than from the Office of Internal Affairs, thus **table 5.3.1 (Appendix 5.3)** with the target was changed to CPC (to avoid difficulties for staff collecting information later on).
2. Forest owners are the actually the target for governance concern instead of the Commune People's Committee (CPC). The CPC is only the administrative unit giving support to forest owners in forest protection and management. Because of this, the participant added one more questionnaire for in-depth interview for this target group (the tools before the field test did not have this form). However, this questionnaire needs further improvement.
3. It appears that there should be a better diversity among the PGA participants during the process of developing indicator. This is a weak-point and that needs improvement of all PGA activities afterward. The process of indicator development did not enjoy the full participation of related stakeholder in forest governance in local context. More specifically, we found that there are lack of two main related stakeholders:

- Staffs of related offices: Department of Natural resource and Environment, Department of Forestry.
- The workshop only has staffs from province, district and commune (mostly participate in the local authorities or related agencies), and there is lack of the most important targets: households involved in forest contract, local community representative and forest owners.

Because of the lack of this two target groups, the indicator development lack of the view point of this two group of stakeholders on the forest governance of those who really involved in forest protection and management.

4. FPD should be responsible for managing data collected and outcome of the PGA though they should get constant technical support throughout the process for data analysis.

2.4.5. Revising tools after the field testing

Based on these lessons, the PGA team revises the table, forms for secondary data collection, questionnaires for in-depth interview, topics/issues for group discussion and household questionnaire. No change in number of tables and forms was necessary, but their contents were adjusted as following:

Table 8: Result of the revised field testing tools

#	Working tools	Revised/Reference
1	Source of data and data collection tools	See Appendix 6.1
2	Forms for secondary data collection	See Appendix 7.1
3	Questionnaire for in-depth interview, household questionnaire	
4	Forms for secondary data collection of the Forest owners	
5	Forms for secondary data collection of the FPD	Appendix 7.2
6	Forms for secondary data collection of the CPC	Appendix 7.3 including 6 tables, integrated with one table for the Internal Affairs Office.
7	Topics/issues for group discussion	Appendix 7.4
8	Questionnaire for in-depth interview for CPC staff	Appendix 7.5
9	Questionnaire for in-depth interview for FPD staff	Appendix 7.6
10	Household questionnaire which includes (i) Benefits of forest contract, (ii) Mechanism for receiving and sharing information, and (iii) Complaints	Appendix 7.7
11	Questionnaire for in-depth interview for forest owners	(This is a new questionnaire)

		proposed at the final meeting Appendix 7.8
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2.5. Follow-up activities

Following a meeting between coordinators of the PGA/UNDP with facilitators and representative of the local government (provincial FPD), follow-up activities identified as followed: revised tables, forms, questionnaire revised should be documented according to the comments of participants before 07/08/2013. A first draft report (both Vietnamese and English) was to be submitted to PGA/UNDP and related stakeholders for comments before 19/8/2013, and data entry for all the information collected would be completed by 15/9/2013.

2.5.1. Data entry and management

The participant agrees that the data entry will be given to staffs of the Lam Dong provincial FPD. All information is put into designed tables to ensure the unity and convenience for data extraction and analysis to evaluate the forest governance in the long term.

The completed data would be handed to district FPD staff to manage. FPD is responsible for management, monitoring the data in the long term as well as utilize for calculating the level of payment for environmental services in the future.

2.5.2. Data analysis of collected data

Based on the data entered, the technical research group will take a look to have an overview and direction of data analysis and synthesis. This will be the baseline report on the forest governance of the study area.

The result of indicator testing is an important step for the expansion of PGA activities to the whole province. The detail plan needs more discussion, which should take into account results of data analysis of the collected information.

III. CONCLUSIONS AND RECOMMENDATIONS

3.1. Conclusions

The testing indicators have brought about some of the concrete results:

- The testing of indicators is very important in order to avoid possible mistakes and incompleteness. This helps reduce difficulties, constraint of the real implementation in the field later on.
- The field testing group has completed the task of utilizing data collection tools on participatory forest governance which are ready for field implementation.
- Lessons learnt during the process of indicator development, data collection tools; steps for field implementation are clearly documented. The actual plan for field implementation will benefit this documentation.
- The Provincial FPD is suitable to be the focal unit to manage all the PGA activities in the field as well as manage the data for analysis and monitor for long term forest governance. This is based on their thorough participation in the PGA process. In addition, their available administration system and staffs from provincial, district and commune levels will be very

useful in PGA activities. Especially the role of local forest ranger is crucial in supporting local authorities, forest owners, and local people in better participation in forest governance. The success of forest governance in the region acknowledges the active participation of the FPD, especially by local forest rangers.

- Local people have not really been involved in forest governance in the local context. Their role is still vague and inactive throughout the process of contracting forest for protection. It seems that local people are not provided with opportunities to raise their idea/opinions in the forest contract process, implementing forest protection activities, neither they could voice their ideas to forest owners related to forest protection and management. The one way information flow and decision making seem to be in contradiction with principles of participatory forest governance.
- For local people, village head or team leader of forest protection group plays a very important role in forest management at local level. They are the conjunction between local authorities, forest owners and local people.
- Forest owners take active role in forest governance as well as contraction for forest protection. However, the previous indicator development activities seem to have neglected this important target group.
- Local authorities, specifically CPC has a very important role in linking policy, regulation from the government, demand of forest owners with local people in order to protect forest resource and improve livelihood for local people. It also facilitates the participation of related stakeholder in the forest governance process.
- On the forest governance aspect, the complete participatory approach in indicators development was very good. However, the present indicator set do not seem to identify the most important governance challenges based on the five governance principle (transparency, accountability, rule of law, equity and inclusiveness and participation) . This might be the weak-point of this pilot so far.
- We conclude that the approach and methodology in the indicator development were not optimum. It needs adjustment and supplementation.
 - o Local people (even provincial and district staff) misunderstand (over-estimate) the role/influence of local authorities (CPC) to forest contract/allocation. In fact, the stakeholder that has real influence here is forest owners. Thus the principle component of the first issue (***Participation and collaboration of local authorities and functional departments in forest management and decision-making process***) are not really describing the concerned stakeholder. The components and issues can be left as the same, but the target stakeholder here should be FOREST OWNER, not CPC. They (the CPC) do not have rights to decide matters related to forest governance as mentioned above. This might be the result of the fact that there were no representative of forest owner in the PGA indicator development and the number of CPC staff take a big ratio of local authorities participate workshop.
 - o Forest governance is rather broad and complex where such areas as law enforcement, accountability, rights, sanctions etc seem to be missing in the indicator set. This should be addressed timely in order to ensure the value of PGA in the long run.

The field testing process

Based on the result of the indicator testing process, we proposed the process including steps of testing indicators as followed:

1. Review and revise indicators, based on:
 - a. Relevance (Very important, medium, less important)
 - b. Achievable in the field (available to collect)
 - c. Usable for forest governance monitoring through time.
2. Arrange the indicators into tables, form, and questionnaire in a proper manner.
3. To build a user guide (manual) of the tables, form and questionnaire
4. To decide sample size for data collection based on the local specific context: commune, village, target groups for in-depth interview, household interview with concrete criteria.
5. To build the detail field plan + checklist for thing to be done before field trip.
6. To do the field preliminary survey, based on that update the field trip plan.
7. To implement field activities (with agreement among members: clear introduction, pre-test for member to see what and how).
8. To draw the lessons through direct group discussion, update the detail field plan
9. To check the data collection result.

These steps should be done in a participatory approach with reflection and contribution of all PGA team members.

This process can be achieved step by steps with notes, lessons learnt which are clearly presented in sections of this report (see boxes of lessons learned)

3.2. Recommendations

In terms of PGA Methodology:

- The participatory indicator development should have broader and adequate participation of related stakeholders compared to the current process, such as the participation of Provincial People's Committee DoNRe, FD, representative of forest owners, contracted households and also un-contracted households in order to diversify the participation and viewpoint of different stakeholders with forest governance as well as to have the need assessment of local people.
- Regarding the set of indicator:
 - o To analyze, synthesize the collected data as the foundation to evaluate forest governance and to see the applicability of this indicator set in collecting data.
 - o To hold workshop to get the comments and support of related stakeholder about the indicator set in order to fully complete the indicator set.

- To continue to update, complete the indicator set with lower priority indicator as well as supplement other indicator to improve this tools.
- To encourage forest owners, CPC, local forest rangers to use the tables, forms of the tools. Currently, some of those stakeholders have no consistent forms for data collection and management. They might use some part of the tools for their daily work.
- In the process of indicator development, there should be one more step prior to the participatory process take place. It is strongly recommended to use the expert method: a group of expert on forest governance should meet, list out all issues, components of forest governance. The PGA starts with the participatory of the entire related stakeholder based on the foundation provided by the expert group, local people are free to choose the issues and component that best suited for local context and they also can add other issues, and component that they consider important for local forest governance. With this method, participants will have good overview of the PGA process. The forest governance will cover all the issues including: property rights, access right, withdrawal right, management right, transfer right, land tenure, benefit sharing mechanism, price and benefit for attracting investment, law enforcement, accountability, sanctions etc.
- Two stakeholders absent from the process of identifying indicators for forest governance were local forest ranger and village representative (or team leader of forest protection group). The PGA needs the active participation of these two stakeholders in the local context. Partly because all the activities related to forest protection and management of local people have the participation, monitoring, support of these two stakeholders. Moreover, they act as a connection between local authorities, forest protection department and local people. They usually known very well the local context, wishes and demands of local people. To avoid missing stakeholders in the participatory process, a checklist of optimum representatives of relevant stakeholders should be developed.
- The data collection for PGA, beside support to the monitoring of forest governance, it also has the effect of a propaganda activity to raise the awareness of local people on the role of forest such as livelihoods, environment especially through household interview and target group discussion.

In terms of local context:

- Local people know very little about forest allocation (government policies, right and responsibility of allocated households/communities). Workshops for awareness raising and capability building for local people about forest allocation with the participation of local authorities from provincial to commune and village levels will benefit local people. Presently contracted households seem to be satisfied with the role of leasing their man power to receive payment monthly or quarterly and they do not know the benefit of their allocated Forest. Their awareness about their right and benefits are still low, they are lacking of choice and comparison between the payments they get with the actual labour they contribute.
- Currently, local people do not see the benefit of forest plantation. They only plant forests for forest owners. Thus, the support, creating favorable conditions for local people to do some experimental model on plantation forest for them to see the benefit from forest plantation, is really needed. This would help to facilitate their participation in forest protection and management.

Appendix

Appendix 1: Detail workshop schedule

Time	Content	People in charge/ facilitator
<i>Day 1: 23/7/2013</i>		
08:00 – 08:10	Welcome and opening remark	Lam Dong DARD / Lam Dong FPD
8:10 – 8:20	Objectives, outcome and workshop schedule	Đỗ Phương Thảo, UNDP
08:20 – 09:00	Overviews of the workshops on building indicators and data collection tools of the 13-15 June workshop Question and answer	Ngô Trí Dũng (CORENARM)
09:00 – 10:00	Review of the indicator sets, group division and discussion	Ngô Trí Dũng (CORENARM)
10:00 – 10:15	Tea break	
10:15 - 10:45	Group result presentation and discussion	Trần Nam Thắng (CORENAM)
10:45 – 11:30	Review of the data collection tools, group discussion and result presentation	Trần Nam Thắng (CORENAM)
11.30 – 13.30	Lunch	
13:30 – 14:00	Tools for individual interview and group discussion	Đỗ Phương Thảo, UNDP
14:00 – 14:45	Group discussion on the questions of the questionnaires	Trần Nam Thắng (CORENAM)
14:45 - 15:00	Break	
15:00 – 15:30	Group result presentation	Groups
15:30 – 16:00	Samples and method for sampling Group discussion and result presentation	Trần Nam Thắng (CORENAM)

16:00-17:00	Group discussion on the sample sizes, group discussion	Groups
Day 2: 24/7/2013		
08:00 – 08:45	Data entry and table for data entry	NgôTríDũng (CORENARM)
08:45 – 09:15	Group discussion to choose the people in charge of the data entry, data entry method	Do Phuong Thao, UNDP
09:15 - 09:45	Group result presentation	Groups
09:45 – 10:00	Break	
10:00 – 10:30	Necessary steps to be implemented in the field	Trần Nam Thắng (CORENAM)
10:30 – 11:00	Group division and detailed task assignment	Do Phuong Thao, UNDP
11:00 – 11.15	Group presentation and questions	Groups
11:15 – 11:30	Closing remark	Đỗ Phương Thảo
11.30	Lunch	

Appendix 2: List of workshop participants

#	Name	Position	Organizations
1.	Mr. Nguyễn Bá Lương	Deputy Director	Forest Protection Sub-Department (FPSD), Department of Agriculture and Rural Development (DARD) of Lam Dong province
2.	Mrs. Hoàng Công Hoài Nam	Head of Forest Protection Office (FPD)	FPD, DARD Lam Dong
3.	Mr. Võ Minh Tâm	Deputy Director	Forest Protection and Development Fund (FPDF), Lam Dong province
4.	Mr. Phạm Trung Thông	Specialist	FPSD, DARD Lam Dong
5.	Mr. Thân Trọng Toàn	Head of Office of Ethnic Affairs	Lac Duong district
6.	Mr. K'Boi	Officer	Forestry section, Bao Thuan commune, Di Linh district
7.	Mr. Mo Lom Sứ	Officer	Forestry section, Gung Re commune, Di Linh district
8.	K' Bọt	Officer	Farmer Union, Gung Re commune, Di Linh district
9.	Mr. Cao Đức Anh Trung	Deputy Director	Department of Forest Management Board, Don Duong district
10.	Mr. Hồ Huỳnh Dũng	Deputy Director	Da Nhim Forest Management Board, Lac Duong district
11.	Ms. Trần Thị Linh	Member	Women Union, Gung Re commune, Di Linh district
12.	K'Brêl	Vice Chairman	Bao Thuan Commune People's Committee, Di Linh district
13.	Mr. Ngô Trí Dũng	Director	Consultative and Research Center on Natural Resources Management (CORENARM)
14.	Mr. Trần Nam Thắng	Officer	Consultative and Research Center on Natural Resources Management (CORENARM)
15.	Mrs. Đỗ Phương Thảo	PGA coordinator	PGA, UNDP Việt Nam

Appendix 3: List of participant divided into groups for discussion of related matters.

No	Name	Position	Affiliation	Group
1	Mr. Võ Minh Thâm	Deputy Director	Forest Protection and Development Fund (FPDF), Lam Dong province	1
2	Mr. Thân Trọng Toàn	Head of Office of Ethnic Affairs	Lac Duong district	1
3	Mr. Hồ Huỳnh Dũng	Deputy Director	Da Nhim Forest Management Board, Lac Duong district	1
4	Mrs. Hoàng Công Hoài Nam	Head of Forest protection Office (FPsD)	FPsD, DARD Lam Dong	1
5	Mr. Nguyễn Bá Lương	Deputy Director	Forest Protection Sub-Department (FPsD), Department of Agriculture and Rural Development (DARD) of Lam Dong province	1
6	Mr. Phạm Trung Thông	Specialist	FPsD, DARD Lam Dong	1
7	Mr. Cao Đức Anh Trung	Deputy Director	Department of Forest Management Board, Don Duong district	2
8	Mr. K'Boi	Officer	Forestry section, Bao Thuan commune, Di Linh district	2
9	Mr. K' Bọt	Officer	Farmer Union, Gung Re commune, Di Linh district	2
10	Mr. Mo Lom Sứ	Officer	Forestry section, Gung Re commune, Di Linh district	2
11	Ms. Trần Thị Linh	Member	Women Union, Gung Re commune, Di Linh district	2
12	Mr. K'Brêl	Vice Chairman	Bao Thuan Commune People's Committee, Di Linh district	2

Appendix 4: Sources and data collection tools, result of the discussion on detail work plan for field testing

Appendix 4.1.1: Removed indicators agreed at the workshop

#	Indicators	Reasons for removing
A	Participation and collaboration of local authorities and functional departments in forest management and decision-making process	
A.1	Management and implementation capacity of communal authority	
A.1.1	Number of commune officials with formal training	Only identify commune officials above intermediate degree
A.1.2	Number of commune officials trained in forestry	This number is fixed and will not vary in all communes.
A.1.3	Number of commune officials appointed with appropriate profession	It is really difficult to identify how appropriate with profession.
A.1.5	Number of projects for forest protection participated in	Coincidence with working time
A.1.10	Total value of capitals mobilized for the commune/year	Commune does not mobilize resource for forestry activities.
A.2	<i>Mechanism for receiving and sharing information</i>	
A.2.3	Number of participants in propaganda on forest protection law	Integrate with indicator A.2.2.
A.2.5	Point of time for sharing information between communes and local people and higher level authorities;	Difficult to identify
A.2.6	Number of violated cases report to commune authority	Sources of information vary, sometime it is difficult to verify.
A.3	<i>Policy on timely and suitable allowances</i>	
A.3.2	Propaganda cost/year	In order to organize the above content; there need to have financial support. The commune do not have fund for this.
B	<i>Allocation of forests for local livelihood improvement</i>	
B.1	<i>Forest status before allocation</i>	
B.1.1	Number of main forest products (timber and non-timber)	The contract forest are mainly pine, with very few NTFP, this indicator is not suitable for Lam Dong context.
B.1.5	The slope of allocated forest	Remove, because no allocation forest for this study.
B.2.	<i>Rights and responsibilities in forest management after allocation (Transparency in payment amount and time)</i>	
B.2.2	Number of households/Area of allocated forest land allowed to cultivate	These activities rarely happen in contracted forest.

B.2.6	Number of violated case (month, year, quarter)	Coincidence with indicator B.2.5
B.2.7	Number of households that use forest for exploitation and service (service: eco-tourism, husbandry, farming)	These activities rarely happen in contracted forest.
B.2.8	Volume of timber and NTFPs harvested/household/year	Unsuitable (very few)
B.3.	<i>The effectiveness of forest management after allocation (Forest protection and livelihood)</i>	
B.3.3	Change in numbers of violated case and level of seriousness of the cases	Coincidence with indicator B.2.5
B.3.4	Forest cover after allocation	Coincidence with indicator B.1.6
B.3.5	Percentage of income from allocated/contracted forest per year	Coincidence with indicator B.2.1
B.3.7	Number of newly created employment from allocated/contracted forests	Difficult to identify

Appendix 4.1.2: Sources and data collection tools

No	Indicator	Sources	Tools for data collection	Reference to Table/Questions
A	Participation and collaboration of local authorities and functional departments in forest management and decision-making process			
A.1	Management and implementation capacity of communal authority			
A.1.1	Number of commune officials above intermediate degree	District Office of Internal Affairs (DIA); Commune People's Committee (CPC)	Tables of secondary data	Table 5.3.1
A.1.2	Number of commune officials trained in forestry and participated in Commune Forestry Board (CFB)	DIA, CPC	Tables of secondary data	Table 5.3.1
A.1.3	Number of years working in areas of forest protection and management of CFB members	DIA, CPC	Secondary data, In-depth interview of CFB	Table 5.3.1, Questionnaire5.6
A.1.4	Number of complain letters successfully solved	CPC, District Forest Protection Unit (FPU), District Inspectorate	Secondary data	Table 5.4.5
A.1.7	Number of cases of violation discovered and handled	District FPU, CPC	Tables of secondary data	Table 5.2.1, 5.2.2

A.2	Mechanism for receiving and sharing information			
A.2.2	Number of participants per workshop per year participated in propaganda of Forest Protection & Development Law	CPC, District Forest Protection Unit (FPU),	Tables of secondary data	Table 5.4.2
A.2.4	Number of cross-sector meetings with relevant offices on forest protection & management issues	CPC, District Forest Protection Unit (FPU), Forest owner	Tables of secondary data	Table 5.4.4
A.3	Policy and incentives on timely and suitable allowances			
A.3.1	Monthly allowance for members of Commune Forestry Board	Accountant at CPC	Tables of secondary data	Table 5.4.1
A.3.2	Number of commune staff getting reward by higher level of administration	CFB	In-depth interview of CFB	Questionnaire5.6
B	Forest protection contract for local livelihood improvement			
B.1	<i>Forest status before protection contract</i>			
B.1.1	Forest area (by function, type of forest, and condition)	Forest owners, District FPU	Tables of secondary data	Table 5.1.2
B.1.2	Standing volume of timber	Forest owners, District FPU	Tables of secondary data	Table 5.1.2
B.2	<i>Rights and responsibilities in forest management after allocation</i>			
B.2.1	Amount of payment for forest protection/household	Forest owners, District FPU	Tables of secondary data	Table 5.1.3

B.2.2	Number of households involved in forest patrol/month	Forest owners, District FPU	Tables of secondary data	Table 5.1.3
B.2.3	Number of households violate the contract	Forest owners, District FPU	Tables of secondary data	Table 5.2.1
B.2.4	Volume and area of damaged forest (month, year, quarter)	Forest owners, District FPU	Tables of secondary data	Table 5.2.1
B.2.5	Numbers/area of forest fire discovered and stopped per year	Forest owners, District FPU	Tables of secondary data	Table 5.1.4
B.3	<i>The effectiveness of forest management after contract (Forest protection and livelihood)</i>			
B.3.1.	Area of forest before and after contract	Forest owners, District FPU	Tables of secondary data	Table 5.1.2
B.3.2	Timber volume change by quarter/5 years	Forest owners, District FPU	Tables of secondary data	Table 5.1.2
B.3.3	Ratio of income from PES/ total income of recipients	Forest owners	Household interview	Appendix 5.8

Appendix 4.1.3: Detailed work plan for field trip of the two groups

Date	Working content	Assigned responsibility
Morning 30//7	<ul style="list-style-type: none"> - Go to Di Linh and Lac Duong district (time: 7h30) - Inform all members to be present at the district FPD office to have a meeting, get agreement of the plan and also training for all member the techniques for data collection, household interview. - Assign the responsibility to each member, which include the taking note during field work for writing report as well as present the result on 1st August. - Team leader to contact with village headman for making appoitment for interview local people. 	<ul style="list-style-type: none"> - Di Linh: K'Brêl is team leader - Lac Duong: Than Trong Toan is team leader. Group work is decided by team leaders, other people support team leader.
Afternoon 30/7	<p>Work with CPC. Each district divided into two groups:</p> <ul style="list-style-type: none"> + Group 1:work with CPC, in-depth interview + Group 2:secondary data collection. <p>Meeting all members of the field test to draw lessons for the next day, solve difficulties</p>	<p>Group 1: 4 people</p> <p>Group 2: 4 people</p>
Evening 30/7	Meeting to draw the experience and lessons of all implemented activities	All members
Morning 31/7	<ul style="list-style-type: none"> - Each district divide into two groups + Group 1:local people interview (1 member incharge of 4 households). + Group 2: kiểm tra lại và hoàn thiện thông tin thứ cấp. 	<p>Group 1: 6 people.</p> <p>Group 2: 2 people, after finish, come back to support group 1</p>
Afternoon 31/7	<p>Focus group discussion:</p> <ul style="list-style-type: none"> - Di Linh: Thảo take lead, Thắng document - Lac Duong: Nam take lead, Dũng document. <p>Other members participate, take notes, contribute ideas.</p>	<p>All members participate interviewing and discussing</p> <p>Other member facilitate the participation of local</p>

		people.
Evening 31/7	Check the result of the two groups for the last two day, get prepared for the meeting in 1st August.	Dũng, Nam, Thảo, Thắng:
Morning 1/8	Group meeting in the provincial FPD office <ul style="list-style-type: none"> - Present the overall result of the field test. - Comments on the result, working process of each member all groups. - Members present the result and personal report. - Revision of indicators, form, table. Discussion the reasons of changes. 	All members present and discuss.
Afternoon 1/8	Meeting all members of the two group: <ul style="list-style-type: none"> - Present the result of each group - Present the proposed changes to revise the tool - Discussion of changes needed. - Final decision on changes of the tools 	All member discuss, make final decision
Morning 2/8	<ul style="list-style-type: none"> - Meeting to discuss about the outline of the report and related matters base on the result of the three day field test. - Meeting with FPD, discuss about the data entry, storage and analysis. 	Thảo, Nam, Thắng, Dũng

Appendix 4.1.4: Check lists for field testing:

10. List of testing members: Nam contact to confirm about the list of two districts.
11. Field test documentation: Dũng + Thắng
12. Local transportation: Nam.
13. Logging place: Nam + Luong + local staffs.
14. Vehicle: Nam + Thảo
15. Participant signature list (04 table: district officers, CPC staff, forest owners, local people).
16. Detail instructions for data collection (based on the forms, tables, questionnaire.
17. Training for all members in the testing group on the questionnaire
18. Personal calendar of Nam and Luong (two important staff of the province: 3 days
19. Questionnaire, table and forms that need to make copies.
20. Confirmation of local authorities about the time and place to meet and work.
21. Place to make an internal meeting of testing members in 1st August

Check list for each groups:

22. Appointment with local people (time, who?)
23. To identify the forest owner of each district.
24. Preparation of stationaries for meeting.

Appendix 4.1.5: The actual field testing activities in each district

Date	Lac Duong/Da Sar	Di Linh/Bao Thuan
Morning 30/7	<p>1. Group present the purpose, plan of the testing</p> <ul style="list-style-type: none"> - Testing the PGA tool with the two main issue (participation of local authorities in forest management, forest contract and livelihood) - Plan: meet local; people and interview CPC staffs. <p>2. Assigning of responsibility:</p> <ul style="list-style-type: none"> - Mr. Trung fulfill table 5 (secondary data of forest owners) - Mrs. Dom Mr. Sơn: complete 5 table at commune (8.7, 8.8, 8.9, 8.10, 8.12) - Mr. Toản: Table 7.1 capability of CPC staff + in-depth interview FPD staff (table 11) - Dũng, Nam+Brot, Sứ: interview 3 CPC staff (head, vice-head and member). - Mr.Thuận (local FPD) make appointment with local people: <ul style="list-style-type: none"> o Village 1: Invite 20 HH at 6:30 PM o Village 3: Invite 10 HH at 6:30 PM 	<p>1. Group present detail plan:</p> <p>2. Assigning responsibility for each member:</p> <ul style="list-style-type: none"> - Mr.Lương: work with district FPD, Internal Affair office. - Thăng + Thâm: work with forest owners - Liêm + K Bồi: collection of CPC data - Thảo + Linh: interview CPC staff and related information. - Introduction member how to approach local people, how to introduce the group and purpose of visiting, how to do interview, how to make people feel easy. <p>3. 10hAM: work with Bao Thuan CPC and related functional agencies about the 3 days testing purpose, request for support from the CPC.</p>
Afternoon 30/7	<ul style="list-style-type: none"> - In-depth interview with one member of CPC forestry board. - Finish the “radio program on forest protection and management” - Interview Mrs. Dom for the whole group to learn and check the time it takes. - Come to the village to interview 10 HH. - Interview village head (Village 3) (Krajan Ha Tang) 	<p>The whole group continue with the activities assigned:</p> <ul style="list-style-type: none"> - Complete the secondary data of the CPC. - Work with forest owners to get the secondary data and related information. - Work with Internal Affair Office. - Interview village head, CPC staff.
Evening 30/7	<ul style="list-style-type: none"> - Interview 21 HH → Total 31 HH interview. - Group discussion with the 	<ul style="list-style-type: none"> - Meeting of the group to check for difficulties, obstacles of all members.

	<ul style="list-style-type: none"> - participation of 13 HHs. - Interview 2 village head. 	<ul style="list-style-type: none"> - Assign the responsibility for the date 31/7
Morning 31/7	<ul style="list-style-type: none"> - To check the tables, forms, interview sheets. - To complete some of the unfinished table - Preparation of the data entry tables (Excel) 	<ul style="list-style-type: none"> - A member of the group presents for other members how to interview a local people. Make sure that members know correctly the matter, know how to ask questions, - CPC leader introduce about the purpose of data collection, encourage local people to say what they are thinking and discussion with the testing group. - Interview 20 HHs.
Afternoon 31/7	<ul style="list-style-type: none"> - Group meeting to discussion and make changes to the tools. - Check the collected data. 	<ul style="list-style-type: none"> - Interview 7 HHs - Group discussion: 11 people from 3 villages. - Meeting of testing group, checking tables, forms and data collected. - Member of the group present their report about the work assigned during the testing time. - Final decision about the changes of the tools.
Morning 1/8	<ul style="list-style-type: none"> - The two testing group meet in provincial FPD office. - Two groups present the working result of each group, difficulties, lesson learns of the testing process. - Discussion, make final decision on changes, complementation of the tools with the participation of all members of the testing groups. 	

Commune:District:.....Province:.....

Appendix 5: Table of secondary data, key informant questionnaire, household questionnaire before the field test

Appendix 5.1: Secondary data collection form for forest owners

Name of Forest owner:

Table 5.1.1: Information on the characteristics of contracted forest

STT	Group/households	Locations			Area (ha)			Status	Timber volume (m3)	Function	Distance (Km)	Ground cover (%)	Planning type
		Zone	Lot	Plot	Total	Forest	Bare land						

In which:

- Function: Special use forest (DD), Protection forest (PH) and production forest (SX)

Commune:District:.....Province:.....

5. Planning type: Forestry (LN), Agriculture (NN) and industrial (CN)

Table 5.1.2: Changes of forest area before and after the contract

#	Group/households	Status	Area (ha)			Timber volume (m ³)		
			Time of contract	Time of evaluation	Changes	Time of contract	Time of evaluation	Changes

Commune:District:.....Province:.....

Table 5.1.3: Benefits and responsibilities of contract groups/households in forest management

STT	Group/households	No of HH	Change in area (ha)				Change in money received (VND)				No. of times for patrol/Quarter	No. of HH participate in patrolling	No. of HH violated the forest contract
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4			

Commune: District: Province:

Table 5.1.4: No of forest fires detected and prevented in 2012

No.	Position (zone, Lot, plot)	Time	Area (ha)	Reasons for fire	Status

Commune: District: Province:

Appendix 5.2: Secondary data collection form for District Forest Protection Department

Table 5.2.1: No of violation cases and the level of damage in year

No.	Description of the case	No. of violation cases		Level of damage	
		2012	2013 (the first half year)	2012	2013 (the first half year)

Commune: District: Province:

Table 5.2.2: Information concerning the number of violation case detected and settled in 2012

No.	Violator	Description of the case	How the case was taken care of	Result (VND)
1				
2				

Commune: District: Province:

Commune: District: Province:

Appendix 5.3: Secondary data collection form for District Office of Internal Affair

Table 5.3.1: Capability of forestry staffs at CPC.....

No.	Name	Date of birth	Years working in		Education				Forestry	Current work (position)	Number of years working for commune forestry committee
			Forestry	Other field	Intermediate	Colleague	Graduate	Post graduate			
1											
2											
3											
4											
5											

Appendix 5.4: Secondary data collection form for Commune People's Committee (CPC)

Table 5.4.1: Allowances for commune forestry committee in 2012

No.	Name	Position in commune forestry committee	Amount of money/month (1.000 VND)	Notes
1				
2				

Table 5.4.2: No of participants in forestry protection meetings in 2012

No.	Name of the meeting	No of participants				Time of meeting	Place of meeting
		Total number of participants	Of which				
			Commune, village staffs	Local people	Contracted HHs		

Table 5.4.3: Information on radio programs related to forest protection in 2012

No.	Programs/Content of the radio program (Quarter ...)	Length of the broadcasting (minute/time)	No. of broadcasting /month

Table 5.4.4: Information on briefings/meeting with related stakeholders about forest protection in 2012

No.	Content	Unit in charge	Date	Participant list	No of participants

--	--	--	--	--	--

Table 5.4.5: Complaints being filed on the forestry sectors in 2012

No	Content	Time (day/month)			The reason for late/no action
		No	Content	Time (day/month)	

Appendix 5.5: Main issues/questions for group discussion

1. Where did you get the information about the contracted forest (which source of information)?
2. What are the criteria for being able to get the contracted forest? What are your opinions about these criteria (reasonable, not reasonable, additional comments)?
3. Why do you want to get contracted?
4. What are your opinions about the contracting procedures (simple, complicated, convenient)?
5. What kind of support do you get from the local authorities before and after the contract?
6. Are those supports useful for your family?
Are those support continues? Please explain?
7. From which institution you get the most supports from both before and after the forest contract?
8. What are the rights of contracted groups/household?
9. What are the benefits of contracted groups/household?
10. What are the responsibilities of contracted groups/household?
11. Please describe the effect of patrolling?
12. Difficulties you meet during the contracted period?
13. Is the contracted period reasonable? Please explain?
14. If having choices between forest allocation and contracted forest, which one would you prefer? Please explain why?
15. What are your opinions about the radio program on forest management in the commune (about the content, length, and language).
16. Would you like to contribute your ideas on how to better protect forest?

Appendix 5.6: Interview questionnaire for Commune/Village staff

Name:

Position:

1. Are you a member of the commune forestry committee? (C/K)

If yes, for how long (year/month)

2. Do you receive allowance for working as a commune forestry committee member? (yes/no)

If yes, the allowance is VND (Quarter/month)

3. Is the allowance reasonable with the amount of work you do? Please explain?

.....

4. Have you been awarded for doing good job? (Yes/no)

If yes, please provide some more information:

No.	Reason for the reward	Reward from where?	Time of receiving the reward

5. In your opinion, is the process for selecting rewarded candidate fair?? (Yes/No)

If not, please explain:

.....

6. Have you received any training on forest protection and contracted forest activities? (Yes/No)

If yes, please provide detailed information:

No	Content	Times

7. Are you consulted about the activities relating to: forest contracted and forest protection? Land allocation, renting of contract and forest, Forest demarcation?

8. What did you contribute to the consultation?

No.	Content of consultation	Institution ask for consultation	Form of consultation	Level of consultation (a lot/ little)

9. In your opinion, are the staffs with forestry background sufficient? (Yes/No)

If not, please tell the difficulty of the lack of staffs with forestry background?

.....

10. Do you think the regulation on forest contract suitable? (Yes/no)

11. If not, What are the disadvantages and constraints?

.....How do you evaluate the forest protection in the commune??

.....What would you suggest for a better forest management at the commune?

.....Do you support the forest allocation or forest contract to local people

Please explain why?

.....Do you think the contract of forest for forest protection has improved the livelihood of poor household in the commune (Yes/No)

If yes, Please tell us why and how?

.....

12. Please contribute your ideas for better forest management:

Appendix 5.7: Interview questionnaire for FPD at commune level

- 1. Please tell us the main task of a forest ranger at the commune?
.....
- 2. Please describe the supports that you have provided to the forest owners and contracted households.
.....
- 3. What are the difficulties with forest contracting for forest protection?
.....
- 4. How the forest protection, land allocation, land renting, forest, boundary demarcation were carried out?
.....
- 5. Is the policy on forest contracting suitable? Why?
.....
- 6. If there should be changes, what should they be ?
.....
- 7. What is your suggestion/recommendation for the forest contract for forest protection?
.....
- 8. In your opinion, between forest allocation and forest contract, which one is more effective for forest preservation and people’s livelihood improvement?
.....
- 9. Please explain why?
.....
- 10. Does the forest contract improve forest protection?
.....
- 11. Before signing the contract of forest protection, do the FPD consult with the commune?
.....
- 12. Other ideas that you would like to contribute

.....

Appendix 5.8: Interview questionnaire for household

Address: village Commune..... District Province ...

Number of household people: Number of labours:

Date of interview:

Name of interviewer:.....

1. Where do you get the information about the forest contract (which source of information)
2. Why do you want to get forest contracted?
.....
3. What is your opinion about the forest contract procedures? (Simple, Complicated, Convenient)
.....
4. What kind of supports have you received from the local authorities before and after contract?
.....
5. In your opinion, what are the effects of those supports? Are those support changes (increase/decrease) after the contract? Please explain more
.....
6. Which institutions did you get most help from before and after contract?
.....
7. Do you know about the rights of the forest contractors
.....
8. Do you know about the benefits of the forest contractors
.....
9. Do you know about the responsibilities of the forest contractors?
.....
10. Please describe your methods to protect forest? (patrolling in group/individually)
.....
11. Difficulties that you face when being contracted?
.....

12. Do you think that the contract length reasonable? Please explain

.....

13. What are the sources of incomes per year in your household? Estimate the ratio

No	Sources of income	Ratio with the total amount of income			
		25%	50%	75%	>90%
1	Payment for forest protection				
2	Husbandry				
3	Agriculture				
4	Business				
5	Wage/salary				
6	Other sources				

14. How much do you receive from forest protection VND/Quarter?

Is the payment from contracted forest reasonable in term of the amount of labor and time that you spent?

Too little Reasonable Too much

Please explain

15. Is your forest got fired last year?

If yes, how many times?

Damage:(ha)(VND

.....

16. How did you deal with the fire?

.....

17. In case you discover forest violation, what do you do?

.....

18. Have you ever reported a forest violation case to the higher level? (Yes/No)
 If yes, how was the case solved?

19. Do the areas of your contracted forest change? (Yes/No)

If yes, it increase or decrease? How many hectares? Reason for the changes:

Name of the forest/Lot/Plot	Increase/Decrease (ha)	Reasons

20. Have you been informed about the forest protection information recently? (Yes/No)
 If yes, what are your opinions about the following criteria:

Criteria	Level of perception (Circle the suitable one)			Please Explain
	Short	OK	too long	
Length	Short	OK	too long	
Content	Useless	Useful	Very useful	
Methodology	Hard to understand	Easy to understand	Very easy to understand	

21. Do you know the following regulations about the forest protection (tick the suitable item)

Content	Don not know	Know a little	Know well	From whom do you get to know about the regulation				
				Commune staff	Village head	Local FPD staff	Forest owner	Mass media
1. Regulations on forest fire prevention								
2. Regulation on								

slash-and- burn cultivation								
3. Regulation on harvesting of NTFPs								
4. Regulation on wildlife hunting								
5. Regulation on administrative sanction in forest management								
6. Other (please identify.....)								

22. Did you file any complaint concerning forest management during last year (Yes/No)
If yes, what did you complaint about?

No	Content	Result of the complaint		Note
		Time you receive response (Onetime?)	Result (Agree?)	
1	Forest contract			
2	Trading of forest products			
3	Harvesting of NTFP			
4	Land management			
5	Trading of wildlife products			
	Other.....			

23. Do you know anything about the forest LAND ALLOCATION for households
(Yes/No)

.....

24. If you have a choice, which one you prefer: forest allocation or forest contract?
Please explain why you choose that?

.....

25. Other ideas and recommendation for better forest management.

.....

Appendix 5.9: Method of using the tools to collect data in the field

Explanation for all the members of the groups about the tables, questions:

a. Appendix 5.1:

+ Table 5.1.1: Secondary data collection form for forest owners

6. Function: Special use forest (DD), Protection forest (PH) and production forest (SX)
7. Planning type: Forestry (LN), Agriculture (NN) and industrial (CN)
8. Group/households: the contracted group/household

+ Table 5.1.2: Changes of forest area before and after the contract

9. Group/households: the contracted group/household
10. Contracted time: the time the contracted was signed
11. Evaluated time: the time the assessment was taken place.
12. Difference between the times: (contracted and evaluated): how many hectare increased/decreased.
13. All the columns should have time (month/year) for better monitoring.

+ Table 5.1.3: Benefits and responsibilities of contract groups/households in forest management

+ Table 5.1.4: No of forest fires detected and prevented in 2012

14. Forest status: the status of contracted forest (example: IIIA2, IIIA1)

b. Appendix 5.2: Secondary data collection form for District Forest Protection Department (FPD)

+ Table 5.2.1: No of violation cases and the level of damage in year 2012

15. Indicate Clearly the violator (individuals or organization).

c. Appendix 5.3: Secondary data collection form for District Office of Internal Affairs:

+ Table 5.3.1: Information about the capability of commune forestry

16. No guidelines needed

d. Appendix 5.4: Secondary data collection form for Commune People's Committee

+ Table 5.4.1: Allowances for commune forestry committee in 2012

17. The note column: put the part-time job

+ Table 5.4.2: Allowances for commune forestry committee in 2012

18. No guidelines needed

+ Table 5.4.3: Information on radio programs related to forest protection in 2012

19. Only account in the year 2012: remove the “quarter”

+ Table 5.4.4: Information on briefings/meeting with related stakeholders about forest protection in 2012

20. Participants: list all the participants: People’s committee, women association...

+ Table 5.4.5: Complaints being filed on the forestry sectors in 2012

21. Time: how many times it take to solve the complain?

e. Appendix 5.5: Main issues/questions for group discussion

Steps for a group discussion:

22. Village head man introduces the research team.

23. The group introduces the purposes, work and ensure with participant about the confidence of information provided. The purpose is to build better forest governance. It will not do any harm to any individual or organization.

24. Introduce all member of the research team to let everybody makes friend. Introduce all participants and let them make short introduction about themselves and their aspiration.

25. Member of the research team in turn take lead the related issues.

26. Each question should only last 5-7 minutes and continue to the next issue (approximately 2 hours/group). If it is not clear or need more information, turn back to the question when finish the first round of all the questions.

27. In the two groups, Thao and Nam take lead the discussion part, Thang and Dung support and take notes. Let some people such as Mr. Toan and K’ Brêl to take lead some questions.

28. Before the discussion with local people, there should be discussion among research members to make everybody clear.

f. Appendix 5.6: Interview questionnaire for commune/village forestry committee staffs

29. No guidelines needed

g. Appendix 5.7: Interview questionnaire for FPD at commune level

30. No guidelines needed

h. Appendix 5.8: Interview questionnaire for household

Process to work with household individually for interview:

- Introduction,
- Commitment to keep the information confidence. It is not the purpose to investigate, evaluate anybody.
- The interviewer cannot answer the question for interviewee, only explain the question when they do not understand. Be patient, explain all the time.
- Giving example to explain
- Is the time of contract suitable: explain to them currently the contract is 1 year, how do they feel, how they want it to be: 6 month, 1 year, 2 years...

Appendix6: Sources of data and collection techniques

Appendix 6.1: Sources of data and collection techniques

<i>Code</i>	<i>Indicator</i>	<i>Source</i>	<i>Collection techniques</i>	<i>Reference to Table/Questions</i>
A	Participation and collaboration of local authorities and functional departments in forest management and decision-making process			
A.1	Management and implementation capacity of communal authority			
A.1.1	Number of commune officials above intermediate degree	District Office of Internal Affairs (DIA); Commune People's Committee (CPC)	Tables of secondary data	Table 7.1.1
A.1.2	Number of commune officials trained in forestry and participated in Commune Forestry Board (CFB)	DIA, CPC	Tables of secondary data	Table 7.1.1
A.1.3	Number of years working in areas of forest protection and management of CFB members	DIA, CPC	Secondary data, In-depth interview of CFB	Table 7.1.1, Questionnaire 10
A.1.4	Number of complain letters successfully solved	CPC, District Forest Protection Unit (FPU), District Inspectorate	Secondary data	Table 7.3.6
A.1.7	Number of cases of violation discovered and handled	District FPU, CPC	Tables of secondary data	Table 7.2.2, 7.2.1
A.2	Mechanism for receiving and sharing information			

A.2.2	Number of participants per workshop per year participated in propaganda of Forest Protection & Development Law	CPC, District Forest Protection Unit (FPU),	Tables of secondary data	Table 7.3.3
A.2.4	Number of cross-sector meetings with relevant offices on forest protection & management issues	CPC, District Forest Protection Unit (FPU), Forest owner	Tables of secondary data	Table 7.3.5
A.3	Policy and incentives on timely and suitable allowances			
A.3.1	Monthly allowance for members of Commune Forestry Board	Accountant at CPC	Tables of secondary data	Table 7.3.2
A.3.2	Number of commune staff getting reward by higher level of administration	CFB	In-depth interview of CFB	Appendix 7.5
B	Forest protection contract for local livelihood improvement			
B.1	<i>Forest status before protection contract</i>			
B.1.1	Forest area (by function, type of forest, and condition)	Forest owners, District FPU	Tables of secondary data	Table 7.1.1
B.1.2	Standing volume of timber	Forest owners, District FPU	Tables of secondary data	Table 7.1.1
B.2	<i>Rights and responsibilities in forest management after allocation</i>			
B.2.1	Amount of payment for forest protection/household	Forest owners, District FPU	Tables of secondary data	Table 7.1.3
B.2.2	Number of households involved in forest patrol/month	Forest owners, District FPU	Tables of secondary data	Table 7.1.3
B.2.3	Number of households violate	Forest owners,	Tables of secondary	Table 7.2.1

	the contract	District FPU	data	
B.2.4	Volume and area of damaged forest (month, year, quarter)	Forest owners, District FPU	Tables of secondary data	Table 7.2.1 Table 7.2.2
B.2.5	Numbers/area of forest fire discovered and stopped per year	Forest owners, District FPU	Tables of secondary data	Table 7.1.4
B.3	<i>The effectiveness of forest management after contract (Forest protection and livelihood)</i>			
B.3.1.	Area of forest before and after contract	Forest owners, District FPU	Tables of secondary data	Table 7.1.1 7.1.2
B.3.2	Timber volume change by quarter/5 years	Forest owners, District FPU	Tables of secondary data	Table 7.1.2
B.3.3	Ratio of income from PES/ total income of recipients	Forest owners	Household interview	Appendix 7.7

Commune:district:.....Province.....
 Date of interview: Interviewer

Appendix 7: Table of secondary data, key informant questionnaire, household questionnaire revised after the field testing

Appendix 7.1: Secondary data collection form for forest owners

Name of forest owner:

Table 7.1.1: Information on the characteristics of contracted forest

No	Group/households	No. of locations/zones	Area (ha)	Status	Timber volume (m3)	Function	Planning type

In which:

31. Function: Special use forest (DD), Protection forest (PH) and production forest (SX)

Commune:district:.....Province.....
 Date of interview: Interviewer

32. Planning type: Forestry (LN), Agriculture (NN) and industrial (CN)

Table 7.1.2: Changes of forest area before and after the contract

#	Contract group/household	Status	Area (ha)		
			Contracted time	Evaluation time	Changes

Commune:district:.....Province.....

Date of interview: Interviewer

Table 7.1.3: Benefits and responsibilities of contract groups/households in forest management

No	Group/households	No of HH	Change in area		Change in money received (VND)		No. of times for patrol/Quarter	No. of HH participate in patrolling	No of HH violate contract
			Start	End	Start	End			

Commune:district:.....Province.....
Date of interview: Interviewer

Table 7.1.4: No of forest fires detected and prevented in 2012

No.	Position (zone, Lot, plot)	Time	Area (ha)	Reasons for fire	Status

Commune:district:.....Province.....
 Date of interview: Interviewer

Appendix 7.2: Secondary data collection form for District Forest Protection Department (FPD)

Table 7.2.1: No of violation cases and the level of damage in year

No.	Description of the case	No. of violation cases		Level of damage		Loss value in money term (1000 VNĐ)	
		2012	2013 (the first half year)	Area	Amounts	2012	2013 (the first half year)

Commune:district:.....Province.....
Date of interview: Interviewer

Table 7.2.2: Information concerning the number of violation case detected and settled in 2012

No.	Violator	Description of the case	How the case was taken care of			Result (VND)
			Fine (money)	Fix the damage	Criminal processing	

Commune:district:.....Province.....
 Date of interview: Interviewer

Appendix 7.3: Secondary data collection form for Commune People's Committee (CPC)

Table 7.3.1: Capability of forestry staffs at CPC.....

No.	Name	Date of birth	Years working in		Education				Forestry	Current work (position)	Number of years working for commune forestry committee
			Forestry	Other field	Intermediate	Colleague	Graduate	Post graduate			

Table 7.3.2: Allowances for commune forestry committee in 2012

No.	Name	Position in commune forestry committee	Amount of money/month (1.000 VND)	Source of payment	Notes

Table 7.3.3: No of participants in forestry protection meetings in 2012

No.	Name of the meeting	No of participants				Time of meeting	Place
		Total number of participants	Of which				
			Commune, village staffs	Local people	Contracted HHs		

Table 7.3.4: Information on radio programs related to forest protection in 2012

No.	Programs/Content of the radio program (Quarter ...)	Length of the broadcasting (minute/time)	No. of broadcasting /month

Table 7.3.6: Complaints being filed on the forestry sectors in 2012

No	Content	Time (day/month)			The reason for late/no action
		Receive	Solved	Times	

Appendix 7.4: Main issues/questions for group discussion

1. Where did you get the information about the contracted forest (which source of information)?
2. What are the criteria for being able to get the contracted forest? What are your opinions about these criteria (reasonable, not reasonable, additional comments)?
3. Why do you want to get contracted?
4. What are your opinions about the contracting procedures (simple, complicated, convenient)
5. What kind of support do you get from the local authorities before and after the contract?
6. Are those supports useful for your family?
Are those support continues? Please explain
7. From which institution you get the most supports from both before and after the forest contract?
8. What are the rights of contracted groups/household?
9. What are the benefits of contracted groups/household
10. What are the responsibilities of contracted groups/household
11. Please describe the effect of patrolling?
12. Difficulties you meet during the contracted period?
13. Is the contracted period reasonable? Please explain?
14. If having choices between forest allocation and contracted forest, which one would you prefer? Please explain why?
15. What are your opinions about the radio program on forest management in the commune (about the content, length, and language).
16. Would you like to contribute your ideas on how to better protect forest?

Appendix 7.5: Interview questionnaire for commune/village forestry committee staffs

Name:

Position:

1. How long have you been a member of the commune forestry committee?
2. Do you receive allowance for working as a commune forestry committee member? (yes/no)

If yes, how much? VND (month/quarter)

3. Is the allowance reasonable with the amount of work you do? Please explain?

.....

4. Have you been awarded for doing good job? (Yes/no)

If yes, please provide some more information:

No.	Reason for the reward	Reward from where?	Time of receiving the reward

5. In your opinion, is the process for selecting rewarded candidate fair?? (Yes/No)

If not, please explain:

.....

6. Have you received any training on forest protection and contracted forest activities? (Yes/No)

If yes, please provide detailed information:

No	Content	No. of times/year	Notes

7. Are you consulted about the activities relating to:

- o forest contracted and forest protection?
- o Land allocation,
- o renting of contract and forest,
- o Forest demarcation?

8. What did you contribute to the consultation?

No.	Content of consultation	Institution ask for consultation	Form of consultation	Level of consultation (a lot/ little)

9. How many staffs with forestry background are there in the commune forestry committee? Which of those institution bellowed do they work for?

- a. FPD, b. Forest owners c. Others (please identify).

10. In term of providing advice on forest protection activities to CPC, do you think the commune forest committee has done a good job?

- a. No b. Yes, partly c. Very good

Please explain:

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11. Do you think the regulation on contracted forest suitable:

- a. No b. Yes c. Very suitable

12. If not suitable, what are the disadvantage and constraints?

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13. How do you evaluate the forest protection in the commune?

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14. What would you suggest for a better forest management at the commune?

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15. Do you support the forest allocation or forest contract to local people
Please explain why?

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16. Do you think the contract of forest for forest protection has improved the
livelihood of poor household in the commune (Yes/No)

17. Please tell us why and how?

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18. Please contribute your ideas for better forest management:

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Appendix 7.6: Interview questionnaire for FPD at commune level

1. Please tell us the main task of a forest ranger at the commune?

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2. Please describe the supports that you have provided to the commune forestry committee, and

No.	Commune forestry committee	forest owners	contracted households

3. What are the difficulties with forest contracting for forest protection?

.....

4. Please describe how the following activities are done

a. forest protection

.....

b. land allocation

.....

c. land renting

.....

d. boundary demarcation

.....

5. Beside the regulated duties, do you also participate in the following activities?

Activities	Participation		Level of participation		
	Yes	No	Few	Medium	More
Forest protection					
Land renting					
Boundary demarcation					
Other (please identify).....					

6. Is the policy on forest contracting suitable? Why?

.....

.....

7. If there should be changes, what should they be?

.....

.....

8. What is your suggestion/recommendation for the forest contract for forest protection?

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9. In your opinion, between forest allocation and forest contract, which one is more effective for forest preservation and people's livelihood improvement?

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Please explain why?

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10. Does the forest contract improve forest protection??

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11. Other ideas that you would like to contribute

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Appendix 7.7: Interview questionnaire for household

Address: village

Ethnicity of respondent Age..... Male/Female

Number of household people: Number of labours:

1. Where do you get the information about the forest contract
 - Forest protection group leader,
 - Village leader ,
 - Commune forestry committee
 - Forest owners
 - Other (please identify).....
 -
2. Why do you want to get forest contracted?
 - a. Increase income
 - b. Protect the environment
 - c. Avoid flood, disaster
 - d. Other (please identify).....
3. What is your opinion about the forest contract procedures?
 - a. Simple
 - b. Complicated
 - c. Convenient
4. Which institutions did you get most help from before and after contract?

No	Before contracting	After contracting
	Forest owners	Forest owners
	Commune People’s Committee	Commune People’s Committee
	Commune forestry committee	Commune forestry committee
	Commune FPD	Commune FPD

	Commune leader	Commune leader
	Other (please identify).....	Other (please identify).....

5. What kind of supports have you received?
 - a. Plant seedlings
 - b. Fertilizer
 - c. Techniques on forest plantation
 - d. Safety equipment's
 - e. Other (please identify).....

6. In your opinion, what are the effects of those supports? (you may choose more than one item)
 - a. Improve the forest plantation yield
 - b. Better forest protection
 - c. Livelihood improvement
 - d. Other (please identify).....

7. Do you know about the rights of the forest contractors
 - a. Collecting of fuel wood, falling leave, collecting legal NTFPs
 - b. Get the advance payment for forest protection work.
 - c. Other (please identify).....

8. Do you know about the benefits of the forest contractors
 - a. Increase income of the household
 - b. Participate the social activities
 - c. Other (please identify).....

9. Do you know about the responsibilities of the forest contractors?
 - a. Regular patrol for violation, logging, forest fire etc.
 - b. Inform the forest owner and local authorities about the violation
 - c. Do not cut tree, destroy forest and land encroachment
 - d. Under the supervision of forest owner

e. Patrol diary

10. Please describe your methods to protect forest?

- a. Patrolling in groups b. Patrolling individually c. Others

11. Difficulties that you face when being contracted?

- a. The forest area for this contract is far away
b. Lack of means of transportation for doing the job
c. Other (please identify).....

12. How long is your forest contract?

- a. 1 year b. 2 years c. 3 years d. 4 years e. 5 years

13. Do you think that the contract length reasonable? Please explain

.....
.....

14. Do you think you have received payment for the forest contract:

- a. In time as agreed
b. Late payment
c. Early payment

15. What are the sources of incomes per year in your household? Estimate the ratio:

No.	Sources of income	Amount	Ratio with total income
1	Payment for forest protection		
2	Husbandry		
3	Coffee plantation		
4	Paddy and other crops		
5	Business		

6	Wage/salary		
7	Selling labour		
8	Other sources (please identify)		

16. Is the payment from contracted forest reasonable in term of the amount of labor and time that you spent?

- a. Too little
- b. Suitable
- c. Too much

Please explain:

.....

17. How many forest fires occurred during the last year?

- a. No fire (0)
- b. One
- c. Two
- d. More than two

18. In case you discover forest violation, what do you do?

- a. Manage yourself by talking with the forest violator
- b. Manage with the contract forest group
- c. Inform the contract forest group leader
- d. Inform the local FPD
- e. Others (please identify)

19. Have you ever reported a forest violation case to the higher level? (Yes/No)

If yes, how was the case solved?

- a) In time
- b) Late
- c) Nothing was done

20. Do you know clearly the location and area of your contracted forest? (Yes/No)

If yes, how big is the area (ha) and in which zone

21. Do the areas of your contracted forest change? (Yes/No)

Name of the forest/Zone	Level of change <i>(Stick in the suitable place)</i>			Reasons for changes
	Increase	Reduce	Stable	

22. Have you been informed about the forest protection information recently?
(Yes/No)

23. If yes, what are your opinions about the following criteria

Criteria	Level of perception (Circle the suitable one)			Please Explain
Length	Short	OK	too long	
Content	Useless	Useful	Very useful	
Methodology	Hard to understand	Easy to understand	Very easy to understand	

24. Do you know the following regulations about the forest protection (tick the suitable item)

Content	Level of awareness			From whom do you get to know about the regulation				
	Don not know	Know a little	Know well	Commune staff	Village head	Local FPD staff	Forest owner	Mass media
1. Regulations on forest fire								

prevention								
2. Regulation on slash-and- burn cultivation								
3. Regulation on harvesting of NTFPs								
4. Regulation on wildlife hunting								
5. Regulation on administrative sanction in forest management								
6. Other (please identify.....)								

25. Did you file any complaint concerning forest management during last year (Yes/No)

If yes, what did you complaint about?

No	Content	Result of the complaint		Note
		Time you receive response (<i>on time/late</i>)	Do you agree with the result? (<i>Agree/not agree</i>)	
1	Forest contract			
2	Trading of forest products			
3	Harvesting of NTFP			

4	Land management			
5	Trading of wildlife products			
6	Selection of forest contracted HH			
7	Time receive contract payment			
8	Land encroach			

26. Do you know anything about the forest LAND ALLOCATION for households (Yes/No)

If yes, which type you prefer: forest allocation or forest contract

27. Please explain why you choose that

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28. Other ideas and recommendation for better forest management.

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Appendix 7.8: Interview questionnaire for forest owners (This is a new questionnaire proposed at the final meeting)

1. How large is the total forest area you're managing?
2. Of which, how large are the area contracted with local people?
3. How many households do you contract for forest protection?
4. Are there other form of contracting, lending forest land to other partner?
Yes No
5. If yes, please specify the actual area
6. Please describe the process of forest contracting with local households?
7. How many households do you contract?
8. What are the criteria for choosing the contracted households?
9. How did you inform those criteria to contracted household?
10. Whom do you work most closely with during making forest contracting?
 - a. District FPD
 - b. Commune Forest Board
 - c. Commune PC
 - d. Village leader
 - e. Other (please specify)
11. What are the Supports provided to HH before making forest contract?
12. What are the Supports to HH after forest contract is made
13. Please identify the activities that you co-ordinate with local authorities and local FPD in forest protection and management
14. Which institutions the forest owner has strongest cooperation with (local authorities, forestry committee, FPD, village head, or other...)
15. How do you communicate with those institutions?
 - a. Via meeting
 - b. Via formal letter

- c. Via telephone
- d. Via informal meeting
- e. Other (please indicate)

16. Do you provide those institutions with support?

Yes No

17. What are the supports of forest owners to those institutions?

- a. In cash
- b. in kind
- c. Training/capability building
- d. Other? Please specify

18. How much the forest owner pays for allowance for members of Commune Forestry Board?/person/month?

Is it monthly or quarterly?

19. How did you come up with that amount?

20. In your opinion, is the money sufficient for the work done by members of Commune Forestry Board?

21. How many workshop do you participate in propaganda of Forest Protection & Development Law held by forest owners in 2012? (A.2.2)

22. What do you think local people find good advantage for having a contracted forest?

23. What do you think are the difficulties local people face when having a contracted forest?

24. What are the difficulties do you face when contracting local people for forest protection?

25. What are the advantages with a short term (1-2 years) forest contract to forest owner?

26. What are the advantages of a long term forest contract to forest owner?

27. What are the advantages with a longer term forest contract (2-5 years)?

28. What are the disadvantages with a longer term forest contract?

29. Is the policy on forest contracting to local people suitable?

Yes No

30. Please explain why?

31. According to your opinion, how has the contracted forest changed in recent years?

- a. Getting better
- b. Stable
- c. Getting worse
- d. Other, please specify.

32. What do you think are the reason for those changes?

33. Change in forest area before and after the contract (B.1.1, B.1.2. B.3.1, B.3.2)

#	Name of contracted HH	Change in forest area after the contract		Change in timber volume	
		Before	After	Before	After

34. Ideas/suggestion or recommendation for better forest management.