SR40

**World Bank Loan**

**Hunan Forest Restoration and Development Project (HFRDP)**

**Participatory Consultation and Planning Guidelines**

Social Assessment Team

Hunan Forest Restoration and Development Project

March, 2012

**Abbreviations**

CFB: County Forestry Bureau

CPMO: County Project Management Office

HFRDP: Hunan Forest Restoration and Development Project

HH: household

PCP: Participatory consultation and planning

PPMO: Provincial Project Management Office

Vc: Village cadres

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# 1. Project Introduction

In early 2008, an ice storm took place in Hunan Province which resulted in serious damages to the forest resources, degradation with the ecosystem and a series of severe secondary disasters such as forest fire, pests and so on. Therefore, the “Hunan Forest Restoration and Development Project” (HFRDP) was proposed by Hunan Province to replant mixed coniferous-broadleaved forests with indigenous tree species. It also aims to improve the resilience of forest plantations for disasters as well as various possible climate changes in the future by improved diversity and stability in forest stand structures through diverse silvicultural practices.

Since 1991, through World Bank (WB) loan supports, our forest projects has been implemented in Hunan Province which mainly aimed at improving the productivity, quality and quantity of timbers. The new project focuses on restoring and rehabilitating the forest damaged by the ice storm and to reinforce its resistance to natural disasters and climate changes in the future.

**Project objectives:** 1) to restore the forests after the ice storm disaster; 2) to enhance the resistance and stability of standing forests through planting mixed forests and improved forest structure by means of restoration and rehabilitation of forests in areas badly damaged in the ice storm.

**Project area:** ecological public-benefit forests in areas seriously damaged by ice storm in 2008.

**Project requirements:** 1) ecological benefits are important as the main objective of the project is to restore the ecological public-benefit forests; 2) farmers shall participate on voluntary basis; 3) The project forest cannot be transformed into timber forest for commercial purpose.

**World Bank Loan:** Hunan province plans to introduce 80 million US dollars from World Bank for the project. On-lending is not allowed for project beneficiaries. The county governments are the debtor of the WB loan and are responsible for their full repayment.

# 2. Objectives and Significance of Participatory Consultation and Planning

## 2.1 Objectives

* To guarantee that stakeholders to voluntarily participate in the project;
* To avoid social risks and social conflicts that might created by the project, and to recommend countermeasures to prevent the risks and conflicts;
* To design technological plans for the project including selection of tree species, afforestation models, contract arrangement and follow-up management of forests in post-project stages;
* To ensure equal opportunities for groups like low-income farmers households, poverty-stricken households, minority groups, women and so on to participate in the project;
* To build and enhance the awareness of forest resource management and to strengthen their commitment and capability to forest management which is key to ensuring the long-term influence of the project.

## 2.2 Significance

Participatory consultation and planning (PCP) is an effective approach to guarantee the voluntary participation of all target groups (beneficiaries) in the project activities and decision-making processes including identification of project contents, consolidation of afforestation models and seeking counter measures to avoid or eliminate the potential negative influences that might brought by the project.

## 2.3 Application of the Guidelines

The PCP guidelines can be used in activities like selection of project participants including farmers’ households, forest cooperatives and villages (that has forest land not yet contracted), forest management activities, signing of contracts and identification of compensations for influenced groups (if necessary) in all the project counties (cities, districts).

# 3. Organizing and Training of Consultation Teams

## 3.1 Establishment of team

**1) Provincial team:** Five forestry technicians are to be selected by the Foreign Investment Office of Provincial Forestry Department and Hunan Institute of Forestry Survey and Planning for the provincial consultation team. Their main task is to train the personnel at the county (city, district) and township level, as well as to participate and provide guidance for them during the process of participatory consultation. Social specialists will also provide training and field consultation demonstration to the consultation teams, as well as instructions during whole consultation process.

**2) County (city) team:** Three to four forestry technicians from the forestry stations are to be selected by the County Forestry Bureaus (CFB) to constitute the county consultation teams. They are responsible for training the township forestry technicians, providing guidance for and direct involvements in community participatory consultations.

**3) Township Consultation Coordinators:** Two to three technicians are to be designated by the township forestry stations as consultation coordinators for PCP in villages at the planning and implementation stages. The township forestry technicians will receive trainings on PCP from the provincial and county consultation teams.

## 3.2 Training for Consultation Teams

**1) Strategies of training:** The “Training of Trainers” model will be adopted. As stated above, 4 to 5 provincial team members will train on the county (city, district) team members. Before the application of PCP, county (city, district) team members will receive collective trainings in the provincial capital and train township coordinators afterwards.

**2) Period of trainings:** In total, a minimum training time of 2.5 days are needed, including one day for indoor training, another one day for PCP practices and another half a day for discussion and communication.

**3) Main content of training**

The main content of training is showed in table 3-1.

**Table 3-1 The recommended agenda of the training on PCP**

| Time | Contents | Responsible person and participants |
| --- | --- | --- |
| 1st day | Indoor training |  |
| morning | 1) Brief introduction of the project;  2) Introduction of the objectives and significance of PCP;  3) Introduction of the procedures and methods of PCP;  4) Ways and skills of moderating village meetings;  5) Methods and skills of semi-structural interviews  6) Resource mapping | Trainers |
| afternoon | Practice of moderating and coordinating PCP, includes:  1) Group practice: procedures, contents and skills of moderating consultation workshops and semi-structural interviews  2) Sharing the outputs of group practices | Trainers  Trainees |
|  |  |  |
| 2nd day | The village-level practice of moderating PCP: |  |
| 1) Moderating the consultation workshop;  2) Interviewing farmers;  3) Investigation of village land resources and consolidating of land for afforestation. | Trainees |
| 3rd day | The village-level practice of moderating PCP: |  |
| 1) Summary and review of the practices;  2) Analysis of the output from the practices;  3) Questions and answers about the skills regarding moderating consultations. | Trainers  Trainees |

# 4. Procedures of PCP

Basic outlines:

* The participatory process includes: 1) dissemination of information; 2) consultations on and voluntary applications by the beneficiaries; 3) signing project participation agreements; 4) signing project management and protection contracts.
* Considering the time and limited number of members in county and township consultation teams, generally, consultation in townships or villages in the earlier stage ( the 1st and 2nd year) would be conducted by county consultation teams.
* township consultation coordinators will do PCP in project area with guidance from the county Bureau of Forestry (or project offices).

## 4.1 Step 1: information dissemination and voluntary application

Various types of dissemination materials will be prepared by the project offices. After a minimum period of 1 week for dissemination and mobilization through leaflets, banners, posters, broadcasts, television and so on, village and farmers’ households can fill in the application forms on a voluntary basis.

**Major tasks:**

1) CFB is in charge of the design of the project introduction brochure (Refer to appendix 6.1). Information as follows shall be covered:

1. Project objectives;
2. Content of the project and main forest management model and tree species;
3. Support expected output and effects from the project;
4. Expected benefits and obligations for project farmers’ households;
5. Qualification to apply for the project;
6. Procedures of applying for the project.

2) To invite administrative village in the project area to fill in the project application forms (Refer to appendix 6.2.1)

3) To design of application forms

4) To mobilize farmers to apply for the project by:

* + - 1. Distribution of project brochure by village committees one week before the consultation teams enter the village;
      2. Village mobilization meetings that village cadres (Vc) and consultation team could jointly announce project information;
      3. Inviting farmers to voluntarily fill in the application forms (see appendix 6.2.2, 6.2.3)

**Main participants:**

a) Technicians from CFB and township forestry stations that attended technical designs and participatory consultations;

b) Vc including village party secretaries, village directors, village accountants, etc.;

c) Villagers that are willing to participate in the project, including 30 to 40 percent women.

## 4.2 Step 2: consultation workshops with stakeholders

Major tasks:

1) To identify possible project farmers’ households and make a list of project participants that shall cover the following types of farmers HHs:

a) that have contracted collective wasteland and forest land;

b) that are interested in contracting collective wasteland and forest land, and willing to take part in the project;

c) that are members in the united farmer HHs that contracted collective forest land;

d) that have low-income and might be influenced by the project.

2) To organize village meetings, consultation workshops in groups or with different stakeholders on topics that include:

a) Introduction of the basic project information;

b) Afforestation models including mixed forest with multiple tree species and

c) broadleaved-coniferous mixed forest;

d) Possible negative influences by the project (see appendix 6.3);

e)Demand of Technical services (see appendix 6.4);

f) Distribution of project menu (see appendix 6.5, may be adjust later on);

g) Introduction of project management and protection contract;

h) Identification of project HHs

i) Scoring and ranking (see appendix 6.6)

j) Announcement of the results from h)

k) Consolidation of tree species, types and management of forest management.

3) On-site consolidation of afforestation models including:

a) Site and area;

b) Tree species and models of planting;

c) Density, line spacing, row spacing, etc.;

d) Forest mapping;

e) Sub-compartment mapping.

**Recommended methods and tools:**

a) Group consultation by forestry technicians;

b) Consultation workshops attended by multiple types of farmers HHs and coordinated by technical personnel;

d) Provision of project menu;

e) Ranking matrix;

f) Site reconnaissance and mapping of land use.

**Main participants:**

a) Vc and villagers’ representatives;

b) Farmers HHs that are interested in participating in the project;

c) Forestry cooperatives who are willing to participate in the project

d) Women representatives that comprises 30 to 40 percent of the total;

e) Forestry technical personnel in counties and townships.

## 4.3 Step 3: Signing the project participation contracts

**Major Tasks:**

1. To design project participation agreement format, and to consult with farmers HHs, forestry cooperatives and village committee members, farmers’ representatives
2. To sign project participation agreements ( see appendix 6.7)with farmers HHs, forestry cooperatives and village committee ( on projects land that not yet contracted to farmers)
3. To organize village meetings and announce the list of project participants and results from the consultation.

**Main participants:**

1. Farmers and forest cooperatives that will participate in the project;
2. Vc representing the project forest land not yet contracted to farmers;
3. Personnel from CPMO representing the project side.

## 4.4 Step 4: Signing the project management and protection contracts

**Major task:** To sign the contract for project participation (refer to appendix 6.8) with farmer HHs, forest cooperatives, village committee and state-owned forest farms during the designing of project afforestation (before the implementation).

**Main participants:**

a) Farmers and forestry cooperatives that will participate in the project;

b) Vc representing the project forest land not yet contracted to farmers;

c) Personnel from CPMO representing the project party.

In order to make it an easy reference during practices, the above steps are concluded into the following table (table 4-1).

**Table 4-1 Procedures and methods of PCP**

| **Procedures** | **Main tasks** | **Methods and tools** | **Outputs** | **Main participants** |
| --- | --- | --- | --- | --- |
| Step 1:  Introduction and mobilization | 1. To design and distribute the project brochure  2. To introduce the project by various means  3. To distribute the project application forms  4. To design project participation contracts | Formats of brochure (shall be provided by Provincial Forestry Department);  copies of brochure (prepared by CPMO); Distribution of brochures and leaflets | Villagers including women, low-income and poor farmers fully understand the project information. | County and township officials, Vc and villagers |
| Step 2:  Consultation workshops and village meetings | 1. To introducing project information  2. to collect application forms from farmers and group them on the basis of types of the land tenure  3. to consult with different types of farmer HHs on topics of afforestation species and models, seedling production and supply, tending arrangement, resource use restrictions and compensation plans, demands of training and technical services  4. To design on site the project activities  5. To consolidate the area to be reforested with what kind of models | 1.Small group consultation coordinated by Ct and Tt  2. Consultation workshops attended by representatives of different types of farmer HHs  3. field reconnaissance | 1.Detailed lists of project participants identified  2. Tree species, afforestation models, tending, resource use restrictions and compensation plans agreed by relative farmer HHs  3. Project plots consolidated with farmers HHs | 1. Ct and Tt as representatives for the project party  2. Farmer HHs who contracted collective forest land as project participants party  3. Farmers that may be influenced by resource use restrictions  4. Township officials and Vc |
| Step 3:  Signing the project participation contracts | 1. To sign contracts with farmers HHs or village committees that will take part in the project  2. To announce the list of project participants in villages  3. To introduce the project content and other results from consultations | 1.Public announcements | 1. Project participation contracts signed  2. Project information and other consultation results | 1.Farmer participants in the project  2.Vc, as the party for collectively managed project land  3. Representatives of the CFBs |
| Step 4:  signing project management and protection contracts | 1. To sign contracts with farmers HHs or village committees that will take part in the project | 1. Project management and protection contracts that be held by both parties | 1. Project contracts signed | 1. Farmers, Vc, or legal representatives of other participants as the party for project land owners  2. Representatives of CFBs as the Project Party |

# 5. Process and Impact Monitoring

Monitoring on the process and effect of PCP shall be conducted all through different stages of project implementation. The he PPMO and the CPMOs will take charge of the monitoring work. The following indicators can be used as references for the monitoring work:

* The number of villages and farmers that voluntarily apply for and participate in PCP;
* The percentage of consulted farmers among the total farmers who would be influenced by the project;
* The number and percentage of poor farmer HHs participants in PCP;
* The situation that poor farmer HHs’ participation in and benefits from the project;
* The number and percentage of women participants in PCP and their benefits from the project.

# 6. Appendix 1

## 6.1 Project introduction brochure

See Appendix 2.

## 6.2 Project application form

6.2.1 Application form for villages

**\_\_\_\_ Village Application form for HFRDP**

County(city, district): township:

|  |  |
| --- | --- |
| **Content** | **Description** |
| **Village information** | Name:  Population:  Total land area (*mu[[1]](#footnote-1)*): |
| **Project land information:**   1. Area (*mu*) and location of project land 2. Land tenure situation 3. Current land use situation |  |
| **Declaration** | **\_\_\_\_\_\_ village committees,** **as the representative of all villagers will voluntarily participates in the HFRDP.** |
| **Seal or signature by representative of the village committee** |  |
| **Date of Application** |  |

**6.2.2** Application form for farmer household/united households

**Application form for farmer HH/united HHs**

County(city, district): township: village:

|  |  |
| --- | --- |
| **Content** | **Description** |
| **Name of the representative from the households** |  |
| **Projects land information:**  1) area (mu) and location of the project land  2) land tenure  3) current land use situation |  |
| **Declaration** | **The one who sign here apply voluntarily to participates in the HFRDP** |
| **Signature by representative of the HHs** |  |
| **Date of application** |  |

**6.2.3 Application form for forest cooperatives**

**Application form for forest cooperatives**

County(city, district): township: village:

|  |  |
| --- | --- |
| **Content** | **Description** |
| **Name of the forest cooperative** |  |
| **Projects land information:**  1) area (*mu*) and location of the project land  2) land tenure  3) current land use situation |  |
| **Declaration** | **The one who sign here apply voluntarily to participates in the HFRDP** |
| **Signature by representative of the cooperative** |  |
| **Date of application** |  |

## 6.3 Project Impact Analysis Matrix

**Project Negative Impact Analysis Matrix**

County(city, district)： Township： Village： Production Team:

No. of participants:

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Impact factors** | **Degree of the Impact** | | | | **Percentage (%)** | | | | **Proposed counter-measures** |
| strong | medium | weak | none | strong | medium | weak | none |
| **Low level of income growth** |  |  |  |  |  |  |  |  |  |
| **Strong technical**  **difficulties** |  |  |  |  |  |  |  |  |  |
| **……** |  |  |  |  |  |  |  |  |  |
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**Notes:**

1. The impact factors should be added on the basis of consultation results in each project county.

2. The degree of impact should be marked with “正” [[2]](#footnote-2) according to the number of votes among farmers.

## 6.4 Analysis Matrix fof Farmers’ Demand for Technical Services

**Analysis Matrix of Farmers’ Demand for Technical Services**

County(city, district)： Township： Village： Production Team:

Number of participants:

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Item of technical services | Degree of demand | | | Percentage of demand | | | Proposed measures |
| urgent | common | Not matters | urgent | common | Not matters |
| Tending and thinning |  |  |  |  |  |  |  |
| Silviculture and afforestation |  |  |  |  |  |  |  |
| …… |  |  |  |  |  |  |  |
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**Notes:**

1. The items of technological services should be added on the basis of consultation results in each project county.

2. The degree of demand should be marked with “正”according to the number of votes among farmers.

## 6.5 Project Menu

County(city, district)： township： administrative village：

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Management models | Unit cost (RMB Yuan/mu) | sort | Main reasons |
| m1 | Mixed forest with conifer and broad-leaved trees (new plantation) | 14116 |  |  |
| m2 | Mixed forest with conifer and precious broad-leaved trees (new plantation) | 14432 |  |  |
| m3 | Broad-leaved forest (new plantation) | 14651 |  |  |
| m4 | Precious tree species forest (new plantation) | 14513 |  |  |
| m5 | Mixed forest with conifer and broad-leaved trees (rehabilitation plantation) | 6602 |  |  |
| m6 | Mixed forest with conifer and precious broadleaf trees (rehabilitation plantation) | 6872 |  |  |
| m7 | Mixed forest with bamboos and trees (rehabilitation plantation) | 6410 |  |  |
| m8 | Natural regeneration with treatment (rehabilitation plantation) | 6737 |  |  |

## 6.6 Ranking matrix

**Ranking matrix for project management types**

County (city, district)： township： administrative village： household：

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Number of management type | High economic value | Quick profit | Easy management | Suitable to local conditions | Strong Ecological functions | Score | Rank |
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Note:

1. This form shall be filled in by farmers. One farmer fills in one form. About 5 management types could be selected from the project menu. A tick ( “√”) should be marked in corresponding column. It’s not necessary to score or rank all the types, but if there is any other more reasons, please write in the column of score and rank.

2. The forms will be collected at village level. Number of ticks (“√”) in the column of score shall be calculated to rank the different types.

## 6.7 Format of project participation contract

This format is a reference for project counties. Modifications can be made according to the local situation, but the main content cannot be changed.

|  |  |
| --- | --- |
| **Contract of Participation in HFRDP in \_\_\_\_\_\_\_County­­­**  **Party A (name of the participant[[3]](#footnote-3)):**  **Party B (the CFB):**  In terms of HFRDP (“project” for short), party A and B agree on the following matters:   1. Party A participates in the project voluntarily; 2. As the user of the project forest land, party A agrees to provide *mu* of (type of soil) land for (type of afforestation) in accordance with technical requirements of the project; 3. Party A agrees, in accordance with the project requirements, to carry out afforestation, tending and post-project management in line with long-term management plan. Party A should stop the following activities in project land:    1. Grazing;    2. Timber Harvesting (including firewood collecting);    3. Farming on the forest land. 4. Both parties agree that the survival rate can reach at least (survival rate) three years after planting. 5. Party B should take the following responsibilities:    1. To provide Party A with fund based on \_\_\_ (investment standard);    2. To provide Party A with seedlings;    3. To provide Party A with technological instructions and trainings. 6. Both parties agree that Party A is the only beneficiary of the project in future. 7. This contract is executed in duplicates that are held by both parties and are with equal legal force. | |
| **Signature by Party A (representative)**  **Date:** | **Signature by Part B (seal)**  **Date:** |

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## 6.8 Format of Project management and maintenance contract

6.8.1 Format of afforestation and maintenance contract

**HFRDP Contract of Afforestation and Maintenance**

(format)

**Project contract number:**

**Party A:**  (Name of County Project Management Office)

**Party B:**  (project implementation entities)

In order to guarantee the quality and progress of HFRDP, in accordance with relevant contract laws in People’s Republic of China, Party A and Party B come to the following contract that both will comply with.

**I. Area and period of afforestation and maintenance**

1. Party B will render the land located in \_\_\_sub-compartment \_\_\_\_village (compartment)\_\_\_township(forest farm) for afforestation in HFRDP. The area of the land is \_\_ha. Management model number :\_\_\_\_\_. The specific location of the site is indicated in the sub-compartment design map. The period of afforestation and management is from the moment project afforestation starts until trees (dominant species) reach their physiological maturity.

2. The project land must be ecological plantation damaged in the 2008 ice storm and without disputes upon the tenure.

**II. Rights and obligations of Party A:**

1. To make good afforestation planning and design; to make clear with Party B about the boundaries of project afforestation area, the technical requirements and methods of afforestation and protection.

2. To provide fund installments to Party B in time. In the first three years of afforestation, funds shall be installed three times to the qualified afforestation land on the basis of sub-compartment. Total amount of fund and installments are shown in Table 1.

**Table 1 Time and Amount of Fund Installment**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Afforestation**  **Activities** | **Time of fund installments** | **Type of afforestation** | | |
| **Area** | **Yuan/ha.** | **Amount (Yuan)** |
| Site preparation  And plantation | 6 months after afforestation for the 1st installment |  |  |  |
| Tending & Maintenance | 2 years after afforestation for the 3rd installment |  |  |
| Tending & Maintenance | 3 years after afforestation for the 4th installment |  |  |
| Total |  |  |  |

**Notes:**

1. **Preconditions for the 1st Installment**：Six months after afforestation by party B, if the survival rate reaches 90% and is accepted by party A, party A must pay the site preparation and plantation subsidies to party B (the 1st installment). No payment will happen if the survival rate did not reach 90%. In this case, the first installment could be done when party B could do the enrichment planting in time and reach an accepted survival rate of 85%.
2. **Preconditions of the 2nd and 3rd Installments**：Two years and 3 years after the afforestation, if the tending rate could reach 80%, the survival rate could reach 85% and accepted by Party A, Party A shall pay the tending and maintenance subsidies to party B (the 2nd and 3rd). No payments will happen if the survival rate could not reach 85% or the tending rate could not reach 80%. In this case, the installments could be done when party B could do the enrichment planting in time and reach a survival rate of 85% and be accepted by party A. Three years later, party B shall keep the responsibility of sites maintenance until the end of the rotation age.

3. To provide good-quality seedlings, fertilizers, pesticides for Party B so as to ensure the quality of afforestation, and to offer technical services, monitoring and guidance, check and acceptance to the work of Party B.

4. If Party B does not carry out the afforestation and maintenance obligations that stated in this contract because of intentional misconduct or gross negligence, Party A has the right to compel Party B to take appropriate measures. If Party B refuses, or could not reach certain required standard after taking steps, Party A could terminate the contract and pursue for corresponding responsibilities.

**III. Rights and obligations of Party B:**

1. To carry out the tasks of site preparation, plantation, maintenance and etc, for of the project in accordance with the technical requirements made by Party A, and to guarantee the good quality of the tasks undertaken.

2. To enhance the management of project ecological forest after plantation, to conduct tending, pest control, protect the forests from fire, carry out measurements of mountain closures, build marks for forest protection, and forbid grazing and other human damages to the project forests. Three years after the afforestation in the project, maintenance work needs to be continued by Party B.

3. To receive technical services, monitoring and check on the afforestation and maintenance work from superior authorities such as Party A, and report relevant situations to superior authorities such as Party A regularly.

4. Party B can do under-forest intercropping in the conditions that it won’t affect the normal growth of forest or cause soil erosion.

5. The ownership of forests belongs to Party B.

**IV. Liability for breach of the contract**

1. If Party A does not follow what is stipulated in the contract to install the relevant costs and provide technical supports to Party B and cause losses for Party A, Party B should compensate for the economic losses to Party B.

2. If Party B does not follow what is stipulated in the contract to conduct afforestation, tending and maintenance tasks regularly, Party A has the rights to pursue Party B for compensation of economic losses.

**V． Other terms**

1. The afforestation site and area of this contract are subject to Acceptance (tending) Note of World Bank loan HFRDP. The acceptance note is an annex to the contract.

2. The contract is protected by national laws and shall enter into force after signing. If any party breaches the contract, the party shall compensate the other party for the economic losses.

3. For any unstated matters or disputes in the performance of the contract, the two parties shall settle them together through negotiation.

4. The contract is in duplicates and each party holds one copy with the same legal effect.

Party A: (official seal) Signature of person in charge:

Party B: (official seal) Signature of the representative:

Date:

**HFRDP Afforestation Acceptance Note**

Afforestation unit: \_\_\_household in \_\_\_\_village,\_\_\_\_\_township (forest farm)

Afforestation type: \_\_\_\_\_as dominant species; mixed species:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Mixed percentage:\_\_\_\_\_\_\_\_

Location of implementation:\_\_\_\_\_\_\_, sub-compartment No.:\_\_\_\_\_\_\_\_\_

Engineering report period：From to\_\_\_\_\_\_\_

Required area of implementation： ha.

Actual completed area：\_\_ha.

Rate of consolidated area： %

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Site preparation | | Seedling | | Qualification  Rate of environmental protection measures | Fertilizer application | | Tending（in the year of afforestation） | Survival rate (%) | Maintenance rate (%) | Survival rate (%) |
| method | specification（m） | Grade | tree/ha. | type | Quantity (ton/ha.) | times/year |
|  |  |  |  |  |  |  |  |  |  |  |
|  | | | | Does it comply with the designed afforestation model? Yes□ No□ | | | | | | |

The results of check and acceptance: Does it comply with quality and requirements of afforestation check and acceptance of HFRDP？ Yes□ No□

Comments of acceptor：do you agree to apply for reimbursement? Yes□ No□

Engineering technician: (signature)

Responsible person of afforestation: (signature)

Acceptance unit（seal）

Date of Acceptance：

**HFRDP Tending Acceptance Note in Afforestation Year\_\_**

Afforestation unit: \_\_\_household in \_\_\_\_village,\_\_\_\_\_township (forest farm)

Afforestation type: \_\_\_\_\_as dominant species; mixed species:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Mixed percentage:\_\_\_\_\_\_\_\_

Location of implementation:\_\_\_\_\_\_\_, sub-compartment No.:\_\_\_\_\_\_\_\_\_

Engineering report period：From to\_\_\_\_\_\_\_

Required area of implementation： ha.

Actual completed area：\_\_ha.

Rate of consolidated area： %

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Site preparation | | Seedling | | Qualification  Rate of environmental protection measures | Fertilizer application | | tending（in the year of afforestation） | Survival rate (%) | Maintenance rate (%) | Survival rate (%) |
| method | specification（m） | Grade | tree/ha. | type | Quantity (ton/ha.) | times/year |
|  |  |  |  |  |  |  |  |  |  |  |
|  | | | | Does it comply with the designed afforestation model? Yes□ No□ | | | | | | |

The results of check and acceptance: Does it comply with quality and requirements of afforestation check and acceptance of HFRDP？ Yes□ No□

Comments of acceptor：do you agree to apply for reimbursement? Yes□ No□

Engineering technician: (signature)

Responsible person of afforestation: (signature)

Acceptance unit（seal）

Date of Acceptance：

**6.8.2 Enrichment planting and Maintenance Contract (format)**

**HFRDP Contract of Enrichment Planting and Maintenance**

(format)

**Project contract number:**

**Party A:** (Name of County Project Management Office)

**Party B:** (Project implementation entities)

In order to guarantee the quality and progress of World Bank loan HFRDP, in accordance with relevant contract laws in People’s Republic of China, Party A and Party B come to the following contract that both will comply with.

**I. Area and period of enrichment planting and maintenance**

1. Party B will render the land located in \_\_\_sub-compartment in\_\_\_\_village (compartment), \_\_\_township(forest farm) for enrichment planting and maintenance in HFRDP. The area of the land is \_\_ha. Management model number :\_\_\_\_\_. The specific location of the site is indicated in the sub-compartment design map. The period of afforestation and management is from the moment project afforestation starts until trees (dominant species) reach their physiological maturity.

2. The project land must be ecological plantations damaged in the 2008 ice storm and has no disputes upon the tenure.

**II. Rights and obligations of Party A:**

1. To make good planning and design for enrichment planting; to make clear with Party B about the boundaries of enrichment planting area, the technical requirements and methods.

2. To provide fund installments to Party B in time. In the first three years of afforestation, funds shall be installed four times to the qualified plantation on the basis of sub-compartment. Total amount of fund and installments are shown in Table 1.

**Table 1 Time and Amount of Fund Installment**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Afforestation**  **Activities** | **Time of fund installments** | **Type of afforestation** | | |
| **Area** | **Yuan/ha.** | **Amount (Yuan)** |
| enrichment planting and tending | 1 year after enrichment planting for the 1st installment |  |  |  |
| Tending & Maintenance | 2 years after enrichment planting for the 3rd installment |  |  |
| Total |  |  |  |

**Notes:**

1. **Preconditions for the 1st Installment**：One year after enrichment planting by party B, if the survival rate reaches 85% and is accepted by party A, party A shall pay the site preparation and plantation subsidies to party B (the 1st installment). No payment will happen if the survival rate did not reach 85%. In this case, the first installment could be done when party B could do the enrichment planting in time and reach an accepted survival rate of 70%.
2. **Preconditions of the 2nd Installments**：Two years after the enrichment planting, if survival rate could reach 70% and the tending rate could reach 80%, the and accepted by Party A, Party A shall pay the tending and maintenance subsidies to party B (the 2nd, 3rd, 4th installments). No payments will happen if the survival rate could not reach 70% or the tending rate could not reach 80%. In this case, the installment could be done when party B could do the enrichment planting and tending in time, and reach a survival rate of 70% and tending rate of 80%. Two years later, party B shall keep the responsibility of sites maintenance until the end of the rotation age.

3. To provide good-quality seedlings, fertilizers, pesticides for Party B so as to ensure the quality of afforestation, and to offer technical services, monitoring and guidance, check and acceptance to the work of Party B.

4. If Party B does not carry out the enrichment planting and maintenance obligations that stated in this contract because of intentional misconduct or gross negligence, Party A has the right to compel Party B to take appropriate measures. If Party B refuses, or could not reach certain required standard after taking steps, Party A could terminate the contract and pursue for corresponding responsibilities.

**III. Rights and obligations of Party B:**

1. To carry out the tasks of site preparation, plantation, tending and maintenance etc. for of the project in accordance with the technical requirements made by Party A, and to guarantee the good quality of the tasks undertaken.

2. To enhance the management of project ecological forest after plantation, to conduct tending, pest control, protect the forests from fire, carry out measurements of mountain closures, build marks for forest protection, and forbid grazing and other human damages to the project forests. Three years after the afforestation in the project, maintenance work needs to be continued by Party B.

3. To receive technical services, monitoring and check on the afforestation and maintenance work from superior authorities such as Party A, and report relevant situations to superior authorities such as Party A regularly.

4. Party B can do under-forest intercropping in the conditions that it won’t affect the normal growth of the forest or cause soil erosion.

5. The tenure of the forest land belongs to Party B.

**IV. Liability for breach of the contract**

1. If Party A does not follow what is stipulated in the contract to install the relevant costs and provide technical supports to Party B and cause losses for Party A, Party B should compensate for the economic losses to Party B.

2. If Party B does not follow what is stipulated in the contract to conduct afforestation, tending and maintenance tasks regularly, Party A has the rights to pursue Party B for compensation of economic losses.

**V． Other terms**

1. The site and area of enrichment planting of this contract are subject to Acceptance (enrichment planting) Note of World Bank loan HFRDP. The acceptance note is an annex to the contract.

2. The contract is protected by national laws and shall enter into force after signing. If any party breaches the contract, the party shall compensate the other party for the economic losses.

3. For any unstated matters or disputes in the performance of the contract, the two parties shall settle them together through negotiation.

4. The contract is in duplicates and each party holds one copy with the same legal effect.

Party A: (official seal) Signature of person in charge:

Party B: (official seal) Signature of the representative:

Date:

**HFRDP Enrichment Planting Acceptance Note**

Enrichment planting unit: \_\_\_household in \_\_\_\_village,\_\_\_\_\_township (forest farm)

Afforestation type: \_\_\_\_\_as dominant species; mixed species:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Mixed percentage:\_\_\_\_\_\_\_\_

Location of implementation:\_\_\_\_\_\_\_, sub-compartment No.:\_\_\_\_\_\_\_\_\_

Engineering report period：From to\_\_\_\_\_\_\_

Required area of implementation： ha.

Actual completed area：\_\_ha.

Rate of consolidated area： %

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Original crown density | Site preparation | | Seedling | | Qualification  Rate of environmental protection measures | Fertilizer application | | Tending（in the year of afforestation） | Survival rate (%) | Maintenance rate (%) | Survival rate (%) |
| method | specification（m） | Grade | tree/ha. | type | Quantity (ton/ha.) | times/year |
|  |  |  |  |  |  |  |  |  |  |  |  |
|  |  | | | | Does it comply with the designed afforestation model? Yes□ No□ | | | | | | |

The results of check and acceptance: Does it comply with quality and requirements of afforestation check and acceptance of HFRDP？ Yes□ No□

Comments of acceptor：do you agree to apply for reimbursement? Yes□ No□

Engineering technician: (signature)

Responsible person of afforestation: (signature)

Acceptance unit（seal）

Date of Acceptance：

**HFRDP Acceptance Note for Tending in Year**\_\_\_\_\_\_\_\_

Enrichment planting unit: \_\_\_household in \_\_\_\_village,\_\_\_\_\_township (forest farm)

Afforestation type: \_\_\_\_\_as dominant species; mixed species:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Mixed percentage:\_\_\_\_\_\_\_\_

Location of implementation:\_\_\_\_\_\_\_, sub-compartment No.:\_\_\_\_\_\_\_\_\_

|  |  |  |  |
| --- | --- | --- | --- |
| Tending（times/year） | Survival rate (%) | Maintenance rate (%) | Survived tree species |
|  |  |  |  |

Comments of acceptor： Does it comply with the requirements of tending and maintenance of HFRDP？ Yes□ No□

do you agree to apply for reimbursement? Yes□ No□

Engineering technician: (signature)

Responsible person of afforestation: (signature)

Acceptance unit（seal）

Date of Acceptance：

Appendix 2: Project Brochure

**1. Project Background**

In the beginning of 2008, Southern China experienced a strong ice storm that occurred in one centrury. This ice storm damaged some 22 million hectare of forests in 19 provinces with a direct economic loss of approximately US$9 billion. Hunan Province experienced the most severe damage with some 4.5 million ha. of forests or 35 percent of the provincial forest area affected. The damages from the ice storm was more severe and devastating in single species coniferous forest plantations and bamboo stands than in natural, mature forests or mixed species plantations. A few years after the event, it is now clear that most of the damaged forests will not be able to recover naturally, in particular for plantations. In fact, the storm has set in motion a long-term downward ecological degradation process. Previously forested areas have been transformed into grassland and bamboo shrub-lands that prevent any natural recovery of shrub or trees, and these new grasslands are now prone to fire and further land degradation. The effect of this ecological degradation is not limited to specific sites but extents over the whole landscapes in Hunan. In order to mitigate and restore the long time environmental effect caused by the ice storm in 2008, as an important component of restoration after the ice storm, Hunan Province proposed the HFRDP to try to use local species to build conifer and broad-leaved mixed forest with multi-species. Through multiply sivilculture method to promote the diversity and stability of stand structure, and enhance the resilience of plantation to natural disasters and adaptability to future climate various changes.

**2. Project Objective and Components**

The objective of the project is to develop and adopt forest restoration and management model to enhance forest resilience and forest carbon sequestration capacity in severely damaged area in the ice storm.

The project has three components: (1) Reforestation and rehabilitation of damaged ecological forest plantations; (2) technical supports, extension, training and forest monitoring; (3) institutional capacity building and project management.

**3. Criteria Guidance for Project Site Selection**

1. Project counties, beneficiaries (households, villages, forest farms) apply to participate in the project voluntarily.
2. In the selection of project beneficiaries, ethnic minorities and women have the same rights and opportunity with Han nationality to participate in the project. Meanwhile, customs and cultures of ethnic minorities should be respected and protected.
3. In the preparation and implementation stage, women shall be provided with more opportunities of participation and play important roles.
4. The selection of project activities should receive people’s suggestions and respect their willingness.
5. Project activities and implementation should be good to environmental protection, and minimize the negative effects to environment.
6. Project preparation and implementation should make a full consideration of the interests and willingness of affected people beyond the project area, and attract them to participate in the project in various forms, share project results and extend project influences.
7. Household/joint households, forest collectives, village collective and state-owned forest farms all could participate in the project, but the priority order is household/joint households followed by forest collectives, village collective and state-owned forest farms.

**4. Proposed Species and Management Models**

**Table 1 Proposed species and management models of HFRDP**

| **Forest management type** | **TSP&dominant species** | **suitable site conditions and stand situation** | **available mixed species** |
| --- | --- | --- | --- |
| MM1: conifer + broad-leaved species | | | |
|  | PiMa-LiHa-ScSu-SaFz | degenerated forest in foothills and lower part of mountains at middle-high altitude, canopy density＜ 0.2 | *Pinus massoniana* and broad-leaved species |
|  | CuLa-SaFz-LiHa-Qusp | degenerated forest in foothills and lower part of mountains at middle-high altitude, canopy density＜ 0.2 | *Cunninghamia lanceolata* and broad-leaved species |
|  | PiEn-LiHa-ChBu-ScSu | degeneration forest in plat and hilly area at low altitude , canopy density＜ 0.2 | *Pinus elliotti* and broad-leaved species |
|  | PiMa-LiHa-ScSu-SaFz | degeneration forest in foothills and hillsides at middle-low altitude with canopy density ＜0.2 | schima, Acer elegantulum , Toona sinensis Roem, Choerospondias axillaris Burtt et Hill |
| MM2: Conifer + “precious” broad-leaved species | | | |
|  | CuLa-PhZh-LiCh-Qusp | middle and upper part of hillsides at middle-high altitude, damaged in the ice storm, canopy density ＜0.2 | *Cunninghamia lanceolata* and precious broad-leaved species |
|  | PiMa-ZeSc-CiCa-Qusp | middle, upper and rigde of hillsides, damaged in the ice storm, canopy density ＜0.2 | *Pinus massoniana* and precious broad-leaved species |
|  | Cufu-RoPs-AlJud | degenerated forest in upper hillsides or ridges, in limestone or purple rock site conditions, canopy density＜ 0.2 | *Cupressus funebris*, Cyclobalanopsis glaua, C.henryi Rehd.＆ Wils, etc precious broad-leaved species. Ailanthus altissima can associated in poor site condistions. |
|  | LaKa-Ch-LiCh | degenerated forest, canopy density ＜0.2, at high altitude | *Larix kaempferi* and precious broad-leaved species |
|  | Multi-specie mixture in groups | places with landscape maintenance or ecological importance, having special demand for landscape educational and cultural services | conifer and broad-leaved species as rich as possible |
| MM3: Mixed broad-leaved forest | | | |
|  | LiHa- AlJu-MaOI | foothills at low altitude, lower part, degenerated forest, pure broad-leaved forest | soft broad-leaved species |
|  | BeWi-AcEI-PoPs | lower part or whole hillside, middle-high altitude, conifer or broad-leaved forest with canopy ＜0.2 | soft broad-leaved species |
| MM4：Precious and high value broad-leaved management species | | | |
|  | DaHu-AIJu-broad-leaved | low altitude, leeward and adret slope, good water and fertilizer condition, red soil, canopy ＜0.5, residue broadleadf forest | Reserve and promote other parasitic and associated species to grow |
|  | PhZh-CiCa-broad-leaved | high altitude, slope over 25°，damange forest, have braodleaf trees | Reserve and promote other parasitic and associated species to grow |
| MM5：Enrichment with Conifer + Broad-leaved species | | | |
|  | CuLa- SaFz-LiHa-Qusp | barren-middle site conditions at high altitude, canopy density 0.2-0.5, middle aged forest damaged in the ice storm, good natural regeneration | broad-leaved species |
|  | PiMa-LiHa-ScSu-SaFz | low-middle altitude, canopy density 0.2-0.5, middle aged forest damaged in the ice storm, good natural regeneration | broad-leaved species |
|  | PiEn-LiHa-ChBu-ScSu | Low altitude, plain and hilly area, canopy density 0.2-0.5, middle aged forest damaged in the ice storm, good natural regeneration | broad-leaved species |
| MM6：Enrichment with conifer + precious broad-leaved | | | |
|  | CuLa-PhZh-LiCh-Qusp | good site conditions at high altitude, canopy density 0.2-0.5, middle aged forest damaged in the ice storm, good natural regeneration | enrich precious broad-leaved species |
|  | PiMa-ZeSc-CiCa-Quap | Low-middle altitude, canopy density 0.2-0.5, middle aged forest damaged in the ice storm, good natural regeneration | other evergreen precious broad-leaved species |
| MM7：Enrichment with tree + bamboo | | | |
|  | PhHe- broad-leaved mixed management type | affected heavily by ice storm, thin soil, steep slope, and places easily to have landslide, water and soil erosion | enrich shade tolerant and deep rooted arbor tree species like chinese fir,Taxus chinensis, Cyclobalanopsis glaua, C.henryi Rehd.＆ Wils, Michelia figo（Lour.）Spreng, etc. |
| MM8：Natural regeneration with treatment | | | |
|  | Enriching existing broad-leaved forests with simplified structure | at high altitude with poor site conditions and steep slopes where dominant layer is severely damaged but natural regeneration in more than 800-1200 trees/ha | selectively remian natural regeneration or high value or dominant species, enrich 10-30% other broad-leaved species. |

**5. Project Financing**

**On-lending procedures and repayment responsibility of World Bank loan**

The Ministry of Finance is responsible to borrow loan from WB, and on-lend it to the PFinB which would in turn on-lend it to the participating county finance bureaus (CFinB). No WB loan would be on-lent to households/villages and other land owners. CFinB would be responsible for its repayment. Farmers’ households and other land owners are not responsible for the repayment.

**Fund source**

The expected project investment is about 720 million Yuan, including 500 million or 69.4% from the WB, 80 million or 10.83% from labor input voluntarily from afforestation entities, 70 million or 9.72% from counterpart fund from county finance, 70 million or 9.72% from counterpart fund from province finance.

**Unit cost**

**Table 2 Estimated Unit Cost for HFRDP Investment**

Unit：Yuan/ha.

| **No.** | **Management type** | **Unit price of investment** |
| --- | --- | --- |
| m1 | conifer + broad-leaved mixed forest  (new plantation) | 14116 |
| m2 | Conifer + precious broad-leaved management model (new plantation) | 14432 |
| m3 | common broad-leaved management model (new plantation) | 14651 |
| m4 | Precious species breeding type (new plantation) | 14513 |
| m5 | conifer + broad-leaved mixed forest (rehabilitation plantation) | 6602 |
| m6 | Conifer+ precious broad-leaved mixed forest (rehabilitation plantation) | 6872 |
| m7 | Bamboo and tree mixed species management (rehabilitation plantation) | 6410 |
| m8 | Natural regeneration with treatment (rehabilitation plantation) | 6737 |

**6. Requirements and Procedures for Applying for HFRDP**

1) Requirements for project participation

Units (village, household, forest farm, other afforestation entities) for participating in the project shall meet with following requirements:

* Clear requests to participate in the project and willingness to comply with all the technical requirement and management regulations;
* Project area should have be severely damaged in the 2008 ice storm and ecological public-benefit forests. The forest farmers can do the management according to the management methods for public benefit forest.
* The project land should be forestland without disputes about forest tenure.
* Experiences in forest management;
* Guarantee the counterpart fund (labor input is available).

1. Procedures of application for the project

Households (village communities, other afforestation entities) voluntarily submit applications to village; the village director collect all applications and report to township. After review, the township send the application to County (city, district) Forestry Bureau.

Currently, the following questions should be paid special attention to in the preparation work in different area:

* Activities to develop plantation by destroying natural forest in any form is banned;
* Biodiversity should be in important place in project activities. Existing vegetation shall be protected. Species selection should consider diversification.
* The project activities should consider using biological measures to prevent future forest pests. For the possible pests, pesticide should be selected within the permissions of Chinese government and WB.
* Fertilizers should be selected with the requirements to promote both the short term growth of plants and the long term effects on soil and environment.

**7. Contact Information**

For any questions, comments or suggestions, please contact us.

County Project Management Office in CFB

Telephone:

E-mail:

1. 1 mu = 1/15 ha. [↑](#footnote-ref-1)
2. “正”is a Chinese character representing 5 votes, which is widely use in counting number of votes. [↑](#footnote-ref-2)
3. Party A includes 3 types of participants: 1) Individual farmer farmers’ household; 2) United farmer HHs; 3) The forest cooperative; 4)The village committee [↑](#footnote-ref-3)