World Bank-China
Shandong Ecological Afforestation Project-SEAP

Participatory planning Manual
(Final version)

Prepared by:

Shandong Provincial Forestry Department

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### Major abbreviations and acronyms

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CPMO</td>
<td>County Project Management Office</td>
</tr>
<tr>
<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
</tr>
<tr>
<td>OP</td>
<td>Operational Principles (World Bank)</td>
</tr>
<tr>
<td>PPMO</td>
<td>Provinicial Project Management Office</td>
</tr>
<tr>
<td>PRA</td>
<td>Participatory Rural Appraisal</td>
</tr>
<tr>
<td>PSCP</td>
<td>Participatory Stakeholder Consultation and Planning</td>
</tr>
<tr>
<td>SA</td>
<td>Social Assessment</td>
</tr>
<tr>
<td>SEAP</td>
<td>Shandong Ecological Afforestation Project</td>
</tr>
<tr>
<td>SFA</td>
<td>State Forestry Administration</td>
</tr>
<tr>
<td>SWOT</td>
<td>Strength-Weakness-Opportunity-Threat</td>
</tr>
</tbody>
</table>

1 ha = 15 Chinese Mu

1 USD = 6.8 Chinese Yuan RMB
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1. Introduction to the project

The objectives of Shandong Ecological Afforestation Project-SEAP are to improve the environmental conditions of Shandong’s most fragile land areas through afforestation. Such afforestation would help: (a) to stabilize the fragile ecological conditions of the alluvial land areas of the Yellow River in the North of the province, which are characterized by high salinity and severe wind and water erosion; (b) reduce soil and water erosion of some of the most degraded mountainous areas in the central part of the province.

SEAP consists of three major components, namely:
(i) **Protective Plantations on Saline Coastal Areas**: Under this sub-component mixed forest plantations would be established to stabilize the newly created alluvial land near the mouth of the Yellow River;
(ii) **Re-vegetation of Degraded Mountainous Areas**: The project would establish mixed forest and shrub vegetation on highly degraded hill sides with a very shallow soil cover;
(iii) **Technical Support and Project Management** would include research and study activities geared to an improved understanding of ecological plantations and the public good services provided by such plantations;

A total of 65972.6 ha lands have been selected for ecological afforestation in various regions. Among 65992.6 ha project afforestation land, state owned land is only 2421 ha (3.7%), 63551.1 ha is collective owned land, of which 33077 ha (52%) has been contracted or auctioned to 44850 individual households or group of households, 30477 ha (48%) is still managed by the administrative villages. This land tenure feature determines that large number (44850 households) of individual land use right holders and village committees (1850) are the major stakeholders for consultation during the SEAP project designing period.

From 16 to 29 August 2008, a Social Assessment-SA has been carried out in four selected pilot counties. Consultation with the community stakeholders on the site selection, tree variety selection, possible social impacts and social risks have been assessed through using the methods and tools of participatory rural appraisal-PRA. The SA survey has analyzed the farmer’s behavior toward the recommended protective forest plantations and identified possible social impacts, possible restrictions or social conflicts in the SA pilot villages.

2. The Objectives of participatory consultation and planning

According to the World Bank Social Safeguard Policy (OP 4.12) Participatory Stakeholder Consultation-PSC should be carried out for ensuring the voluntary participation of the communities and
HHs in the SEAP project, avoiding or reducing the possible social conflicts and risks and working out the solutions for compensating the affected HHs whose land resource use right may restricted by the project interventions.

The concrete objectives and purposes of the stakeholder’s consultation and participation are:

- To ensure the voluntary participation of resource users and farmer’s households
- To avoid the possible social conflicts which might be encountered by the project implementation;
- To work out relevant solutions and countermeasures to mitigate the risks and conflicts with relevant stakeholders affected by the SEAP project;
- Raising stakeholders’ ecological protection awareness by consultation.

3. Stakeholders who should participate in the consultation and planning

As above described, more than 50% of the collective owned SEAP afforestation lands have already been contracted to individual farmer’s households or groups of farmers. These individual and group households are the major stakeholders to be consulted. Following stakeholders are recommended to participate in the consultation during designing of SEAP project at community level:

1. Individual land users who have already contracted the collective lands: (i) not yet afforested barren slopping mountain lands and wastelands (for component 1); (ii) households who have contracted wastelands which will be selected for afforesting protection windbreaks in coastal area (component 2);
2. Individual households who are qualified and interested in contracting the collective owned barren lands or saline wasteland for planting protective and forest plantations;
3. Households who are not the land use right holders but currently use of collective barren lands or saline wastelands for animal grazing, collecting fuel wood and other activities. The implementation of the SEAP project might restrict their use to the land resources;
4. Group of households who have put their contracted land together for cooperative development and management of these lands and interested in participating in the SEAP project;
5. Households who have not directly contracted the collective forestlands but they are the potential the legal beneficiaries to share the possible benefits to be generated from the development of these collective lands. They may transfer their shared land use right to the land contractors according to the Forest Land Tenure Reform Policy implemented since 2008.
6. Village committee members and villager’s representatives, as consultation partners for selected sites which are not contracted to individual and will be managed by village committee.
4. Participatory Stakeholder Consultation

According to the World Bank social safeguard principle, the participatory stakeholder consultation will be carried out in all project related villages throughout the SEAP project designing and implementation period. Following procedures should be undertaken:

Step one: Community and household mobilization

Community mobilization through information delivering and invitation of all relevant villages and stakeholders within the villages in the project area is the first step of stakeholder consultation and precondition for farmers to make their decision on voluntary participation to the project with sufficient knowledge and information about the project.

Major tasks and activities to be undertaken:

1. Designing the project information leaflets (Refer to annex 9.1) by county forestry bureau. The information will focus on:
   a) Project objectives;
   b) Project components, recommended afforestation models and tree species;
   c) Project supports and expected outputs and impacts;
   d) Expected benefits and obligations of contracted HHs;
   e) Who are qualified to participate in the project;
   f) Application and participation process;

2. Inviting the submission of Village Participation Application (Refer to Annex 9.2.1)

3. Design the Stakeholder Application Form for individual or group HH applicants (Refer to Annex 9.2.2 and 9.2.3)

4. Conducting community mobilization and inviting for application before starting the concrete village consultation and planning. Major activities include:
   a) Distributing the leaflets to villagers by village leaders before the county consultation facilitation team going to the villages applied;
   b) Conducting village project mobilization meeting for publicizing the information on the project by village leaders and consultation facilitation team
   c) Inviting relevant HHs to fill out the application form

Major actors for this step:

a) County and township forest technicians who involved in the stakeholder consultation
b) Village leaders
c) Villagers and HHs who are interested in participation in the SEAP project

Step two: Participatory consultation with relevant stakeholders

Tasks and Activities:

---

1 Principles and measures are detailed in policy framework for resettlement and land acquisition for SEAP
(1) Identification of potential and affected stakeholders according to the submitted application, producing a list of stakeholders:
- HHs who already contracted the collective lands;
- HHs who are interested to contract collective lands;
- Group of HHs who are interested to participate in the project;
- HHs who are not land users but might be affected by the resource use restrictions caused by the SEAP project interventions

(2) Conduct group consultation or multi-stakeholder consultation workshop with above stakeholders on:
- Selection and agreement on the afforestation species
- Afforestation models, mixture of varieties, trees and shrubs;
- Seedling production and supply
- Post planting maintenance arrangement
- What resource use restrictions are envisaged and how to compensate the restrictions of the resource use for the contracted households or households who graze their animals on the wastelands

(3) On-site designing of the project activities by forestland transect walk with stakeholders (refer to annex). Major tasks include:
- Confirming the planting area;
- Verifying the species to be introduced;
- Planting models;
- Tree spacing and density, etc.;
- Mapping the afforestation sites
- Verifying and indicating in the compartment maps

Tools and Methods:
- a) Group consultation facilitated by the forestry technicians
- b) Consultation workshop facilitated by forestry technicians
- c) Land resource transect walk and resource mapping

Major Actors for this step:
- a) Village leaders as representatives for the collective land which are not contracted to individual HHs or group of HHs;
- b) Land users and contractors who are interested in participating in SEAP project
- c) Household groups who intend to participate in the project
- d) HHs might affected by the restrictions
- e) Women of the project households
- f) County and township forestry technicians

Step three: Signing the participation contract with individual contractors

Tasks and activities:
- a) Prepare the contract templates and consult with relevant households who decided to participate in the SEAP project, i.e. individual HHs, groups of HHs, village
committee in case the selected collective land are not contracted to individual HH or group HHs;
b) Signing the contract with relevant households
c) Publicizing the results within villages, project sites contracted to individual HHs, sites contracted to group HHs, sites will be under the management of the village committee

**Actors:**

a) Related individual households or group of households
b) Village committee members representing all villagers for the selected collective land that no body wants to contract
c) Representative of County Project Management Office-CPMO

The major steps above can be summarized in following framework for guiding the practical application:
Table 4-1 Procedures of participatory stakeholder consultation

<table>
<thead>
<tr>
<th>Steps</th>
<th>Major activities</th>
<th>Methods and Tools used</th>
<th>Outputs</th>
<th>Actors</th>
</tr>
</thead>
</table>
| Step 1: community mobilization and inviting for participation (before starting the concrete consultation) | (1) Design and distribute the SEAP project brochures  
(2) Design and distribute application forms to households and villagers  
(3) Organize village meeting for publicizing the project information | - Village meeting  
- Distributing Leaflets and Posters (annex 9.1)  
- Distributing the application forms | Villagers including poor HHs and women are well informed about the SEAP project | - County forestry bureau will prepare and distribute the brochures  
- County and township Forestry Technicians  
- Village leaders  
- Villagers |
| Step 2: Consultation with relevant stakeholders | (1) Collect the filled out application forms from households and classified them according to the current land types and tenure  
(2) Conduct Consultation on:  
a) Selection and agreement on the afforestation species, and afforestation models, i.e. mixture of varieties, trees and shrubs, etc.  
b) Seedling supply and production  
c) Maintenance arrangement  
d) Alternatives and Compensation for the restrictions of the resource use | - Group consultation interview and consultation with relevant stakeholders  
- Multi-stakeholder Consultation workshop  
- On-site forestland transect walk | Lists of HHs who are voluntarily participating in the SEAP project established  
Agreement on afforestation models and compensation mechanism agreed with relevant households  
SEAP project sites verified with relevant stakeholders | - On side of SEAP Project:  
County and Township Forestry technicians  
On side of village stakeholders:  
- Land users  
(component 1 and 2)  
- Poor and low income Households might affected by the restrictions  
- Group of HHs  
- Community leaders |
| Step 3: Conclusion of contractor with relevant stakeholders (individual HHs, group HHs, or village committee for selected collective lands) | e) Needs on training and technical services  
(3) On-site designing of the project activities  
a) Confirm the areas;  
b) Planting models;  
c) Density, etc.; | Stakeholder Workshop  
- Prepare the contract templates in consultation with relevant households  
- Signing the contract with relevant households, i.e. Individual, group HHs or village committee.  
- Publicizing the results within villages through a village meeting | - Relevant households, group of HHs  
- Village leaders  
- Representative of CPMO |
5. Building and Training of Consultation Facilitation Team

5.1 Building the facilitation team

The efficiency and success of the participatory stakeholder consultation will mostly depend on the consultation facilitation. Therefore, a skillful facilitation team should be built and trained before carrying out the stakeholder consultation. Following team building approach is proposed:

a) Shandong Provincial Team: 4-5 forestry technicians who involved in the pre-feasibility of SEAP will be selected from Shandong Provincial Forestry Department and Provincial Forestry Survey and Design Academy to form the provincial facilitator’s team. The provincial team will be mainly responsible for providing participatory consultation methodology training to county facilitators and providing rotational backstopping and facilitation service while carrying out the consultation in the project counties;

b) County team: each project county will select 2-3 forestry technicians who have involved in the pre-feasibility process for building the county facilitation team. Major tasks of the county facilitator’s team is to provide consultation facilitation training to township staff, methodology backstopping and partly involve in the village consultation;

c) Township facilitators: 2-3 township forestry technicians will be nominated from the township forestry station as field level consultation facilitators. They will be the major stakeholder consultation facilitators in both project designing and implementation phases. They will receive facilitation methodology training from county and provincial levels.

5.2 Training the Facilitators

Training Approach
The Facilitators’ Training will adopt a “Training of Trainers” approach. As mentioned above, 4-5 provincial staff will be trainers for facilitation methodology training for county facilitators. The county facilitator’s training can be held at provincial level or at the county level prior to the implementation of the consultation at village level. County facilitators who received the methodology training will further act as trainers for township facilitators. The Participatory Consultation and Planning Manual for SEAP and Resettlement Policy Framework for SEAP can be used as training reference materials.

Training Time
The minimum time of training will be 2 days: 1.5 day in-door methodology training
and 0.5 day village consultation exercise.

Major training contents and Proposed Agenda

Table 5-2 Proposed Agenda for Consultation Facilitation Training

<table>
<thead>
<tr>
<th>Date and Time</th>
<th>Contents</th>
<th>Actors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Day 1</td>
<td>Indoor methodology training</td>
<td></td>
</tr>
<tr>
<td>AM</td>
<td>- Introduction to the SEAP project</td>
<td>Trainers</td>
</tr>
<tr>
<td></td>
<td>- Importance of stakeholder consultation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Presentation of procedures and methods of consultation</td>
<td></td>
</tr>
<tr>
<td>PM</td>
<td>Consultation and facilitation method exercise</td>
<td>Trainers</td>
</tr>
<tr>
<td></td>
<td>- Group work: Procedures, contents and facilitation techniques of group</td>
<td>Participants</td>
</tr>
<tr>
<td></td>
<td>consultation and consultation workshop, How to use the visualization</td>
<td></td>
</tr>
<tr>
<td></td>
<td>tools for facilitation of the consultation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Presentation of the group work</td>
<td></td>
</tr>
<tr>
<td>Day 2</td>
<td>Consultation and facilitation exercise in a village</td>
<td></td>
</tr>
<tr>
<td>AM</td>
<td>- Group consultation</td>
<td>Participants</td>
</tr>
<tr>
<td></td>
<td>- Consultation workshop</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Land use transect walk</td>
<td></td>
</tr>
<tr>
<td>PM</td>
<td>- Summary and reflection of the village exercise</td>
<td>Trainers</td>
</tr>
<tr>
<td></td>
<td>- Review and analysis of the results</td>
<td>Participants</td>
</tr>
<tr>
<td></td>
<td>- Question and Answer on the methodologies and procedures</td>
<td></td>
</tr>
</tbody>
</table>

6. Application of PSCP in SEAP

As participatory instrument for avoiding the possible social conflicts and as a platform for working out alternative solutions or compensation mechanism, PSCP could be applied in all stages of the whole project life cycle.

(1) Application in Project Designing

Participatory consultation and planning is not only a planning instrument, but also the precondition of applying SEAP project support. Without participatory consultation the project villages are not qualified to be supported. Systematic PSCP will be mainly conducted in the preparation phase and in the first project year.
(2) Application in the project implementation
PSCP could be dynamically and flexibly applied whenever necessary during the whole implementation period as an instrument for mitigating and settling the conflicts, for modifying the project activities, for planning the forthcoming project activities.

(3) In the Performance and Impact M&E
PSCP can also be use as participatory toolkits for collecting data and information for impact monitoring and evaluation.

(4) Participation of women and poor households in PSCP²
As a social participation safeguard mechanism, while applying PSCP in the whole project cycle, women and lower income and poor households in the communities should be always given the priority. Empowering their participation is a major task of consultation facilitators.

(5) Grievance redress mechanism
The consultation and participation framework might fails to fulfill its function in some locations. Some land users might still be impacted by the project.

The project, in line with World Bank policies, provides opportunities for any land user in the project area to report directly to PMO on such issues. This mechanism complements the national legal framework which fully operational in project counties and villages and offers a channel for land users to seek mediation of conflicts at local level.

Households should be informed by the provincial and county PMOs that, in addition to such mediation, they can directly report to the PMOs any failure of the project’ consultation and participation process. The provincial and county PMOs must keep a file of any such cases and will facilitate their timely resolution.

7. Financing the PSCP
The Participatory Stakeholder Consultation to be carried out in the whole process of the project preparation should be financed by the counterpart institutions, i.e. PPMO and CPMOs as counterpart contribution to the project preparation.

² Also refer to Policy framework resettlement and land acquisition for SEAP
PSCP carried out during the project implementation as well as in the Monitoring and Evaluation should be financed by the SEAP project from the budget line of project management and capacity building.

8. Monitoring the PSCP Process and Impacts

Effects and impacts of PSCP will be monitored and evaluated throughout the whole project life cycle. Provincial and county forestry bureaus will be responsible for carrying out M&E on the performance and effects of the community and stakeholder participation. Following indicators for assessing the Process and Impacts of PSCP will be applied:

- No. of villages and households who participated in the PSCP and voluntarily applied to participate in the SEAP project;
- No. and percentage of affected HHs participated in the PSCP and well informed about the possible impacts and restrictions caused by the SEAP project activities;
- No. and percentage of poor and small HHs who participated in the PSCP and involved in project planning and implementation. Which benefits did they obtain from the project;
- No. and percentage of women participated in the PSCP and involved in and benefited from the project;

9. Annex

9.1 Project Information leaflets

<table>
<thead>
<tr>
<th>Xx County SEAP project introduction</th>
</tr>
</thead>
<tbody>
<tr>
<td>(this leaflet should be designed by the county forestry bureau according to the pre-designed project components and social economic features of the project sites)</td>
</tr>
<tr>
<td>1. Project Objectives</td>
</tr>
<tr>
<td>2. Recommended Project Components: (1) afforestation of ecological plantations or ecological economic plantations; (2) Capacity building</td>
</tr>
<tr>
<td>3. Recommended tree species and afforestation models, maintenance patterns, etc.;</td>
</tr>
<tr>
<td>4. Expected benefits and obligations of the participants</td>
</tr>
<tr>
<td>5. Project supports to participating land users</td>
</tr>
<tr>
<td>6. Who are qualified and eligible to apply the project</td>
</tr>
<tr>
<td>7. Procedure and process for application</td>
</tr>
</tbody>
</table>
### 9.2 Application forms

#### 9.2.1 Village application form

| County: | Township: |

<table>
<thead>
<tr>
<th><strong>Information about the village</strong></th>
<th><strong>Description</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of the village:</td>
<td></td>
</tr>
<tr>
<td>Population:</td>
<td></td>
</tr>
<tr>
<td>Total land area: (mu)</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Forest land tenure</strong></th>
<th><strong>(1) Proposed Land area for afforestation (mu)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>(2) Land tenure</td>
<td></td>
</tr>
<tr>
<td>(3) Current land use</td>
<td></td>
</tr>
</tbody>
</table>

| **Statement of participation** | **The village committee of < > village, on behalf of all villagers, apply the participation in the SEAP project** |

| **Signature of the village leader** | | |

| **Date of application** | | |
### 9.2.2 Individual HH application form

<table>
<thead>
<tr>
<th>Items</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of land users</td>
<td></td>
</tr>
<tr>
<td><strong>Forest land tenure</strong></td>
<td></td>
</tr>
<tr>
<td>(1) Land area (mu)</td>
<td></td>
</tr>
<tr>
<td>(2) Land tenure</td>
<td></td>
</tr>
<tr>
<td>(3) Current land use</td>
<td></td>
</tr>
<tr>
<td><strong>Statement of participation</strong></td>
<td>I, the applicant and signer of this application form, is ready to voluntarily participate in the SEAP project</td>
</tr>
<tr>
<td>Signature of the applicant</td>
<td></td>
</tr>
<tr>
<td>Date of application</td>
<td></td>
</tr>
</tbody>
</table>
9.2.3 HH Group Application form

County: Township: Village:

<table>
<thead>
<tr>
<th>Items</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of land users</td>
<td>(1) Name of HH1:</td>
</tr>
<tr>
<td></td>
<td>(2) Name of HH2</td>
</tr>
<tr>
<td></td>
<td>(3)</td>
</tr>
<tr>
<td></td>
<td>(4)</td>
</tr>
<tr>
<td>Forest land tenure</td>
<td>(1) Land area (mu)</td>
</tr>
<tr>
<td>Forest land tenure</td>
<td>(2) Land tenure</td>
</tr>
<tr>
<td></td>
<td>(3) Current land use</td>
</tr>
<tr>
<td></td>
<td>- Barren land</td>
</tr>
<tr>
<td></td>
<td>- Forest land</td>
</tr>
<tr>
<td></td>
<td>- Farmland</td>
</tr>
<tr>
<td>Statement of applicants</td>
<td>We, the group applicants and signers of this application form, are ready to voluntarily participate in the SEAP project and will fulfill the obligations and responsibilities assigned by the SEAP projects</td>
</tr>
<tr>
<td>Signature of the applicants</td>
<td>Signature of HH1:</td>
</tr>
<tr>
<td></td>
<td>Signature of HH2:</td>
</tr>
<tr>
<td></td>
<td>Signature of HHn:</td>
</tr>
<tr>
<td>Date of application</td>
<td></td>
</tr>
</tbody>
</table>

9.3 Outline for group consultation and consultation workshop

A. Key informant consultation
   a) Participants: 8-10 persons, include administrative village leaders, leaders from the sub-villages, farmer’s representatives;
   b) Major tasks and contents of the interview:
      i. Identifying who are the major stakeholders of contracted lands and collective land to be contracted to individual HHs, their numbers and their social economic features;
ii. Possible social impacts and social conflicts or compensating land use restrictions to the relevant HHs who graze their animal on the wastelands. Possible solutions should be discussed and selected:
   a) allocating alternative land for grazing;
   b) supporting to transform grazing to in-door feeding;
   c) allocating part of farm land for fodder production;
iii. Contracting arrangement after tree planting with individual or group of HHs;
iv. Agreement on post planting maintenance arrangement with contractors;
v. Consult how to manage afforestation and maintenance of plantations to be carried out in the selected collective land under contract between the village committee and the SEAP project

  c) Methods and tools: Facilitation of the interview and consultation by the facilitation team

B. Participatory consultation with different stakeholders
Participatory consultation with different community stakeholders is a key step to ensure that relevant stakeholders make their decision on participating in the project in an interactive and transparent manner. This process is also an important step for informing the small and poor HHs on the possible impacts on their livelihoods.

a) Participants: participants will be selected according to the land tenure of the project sites. Following groups should be consulted:
   (i) HHs who are the land use right holders for barren lands and degraded forestlands;
   (ii) HHs who are able and interested to contract collective barren lands;
   (iii) lower income or poor HHs who are not land contractors, but they are users of the not yet contracted collective land resources, and might be affected by the resource use restrictions;
   (iv) Group of HHs who are interested in contract the lands by group;

   It is addressed that female participants representing their families should be at least 30-40% in the group consultation participants.

b) Major issues to be consulted
i. Technical consultation: Species, afforestation model, seedling production, maintenance arrangement, etc.;
ii. Analyze positive and possible restrictions and negative impacts of the proposed project activities on the households and countermeasures for reducing the negative impacts or restrictions;
iii. Technical training needs and demand on technical service

c) Methods: moderation, visualization tools, species ranking or scoring, impact analysis matrix, SWOT, etc.

C. Multi-stakeholder consultation workshop
(1) Participants: 15-20 persons, include village leaders, farmer’s representatives of each type of HHs, women (at least 30-40%), etc.

(2) Major tasks and contents of the workshop:
   i. Presentation of the PSCP results and findings;
   ii. Stakeholder analysis for SEAP;
   iii. Technical consultation: species, afforestation model, seedling production, maintenance of the planted trees, etc.;
   iv. Social conflicts and restrictions caused by the projects, solutions for avoiding the conflicts;
   v. How to promote the development of farmer’s association or cooperatives as platform for participation of the small and lower income HHs;
   vi. Village project management structure, functions and roles of the village project management group
   vii. Demand on capacity building and technical services

(3) Methods: workshop moderation, visualization tools, problem analysis, stakeholder analysis, scoring and ranking, SWOT analysis, feasibility matrix, etc.

9.4 Guideline for village land use and on-site land transect walk and mapping

Community resource transect walk and mapping is a participatory tool used for diagnosing the land resource degradation, existing land use pattern and identifying the potential for afforestation project. It is also a useful tool for stakeholder consultation during the project designing period.

Steps:
- Form a transect group: two PSCP team members, 3-5 villagers who voluntarily applied for SEAP project;
- Selection of the sites for transect walk according to the village land use pattern and land tenure: (i) barren mountain and wastelands; (ii) degraded forestlands; (iii) farmlands for planting windbreak or planting ecological economic forests; (iv) lands could be allocated for grazing or fodder crop production;
- On-site transect walk and consultation: focusing on: (i) verifying the area of the site; (ii) how many land holders contracted to? And what about the current use; (iii) which species will be planted; (iv) afforestation models and technical issues;
- Mapping the land resource and mark the recorded information as above mentioned on the map
- Discussion on the resource endowment and afforestation potential based on the information found in the transect walk and marked on the resource
During the on-site transect walk and designing activities, the team should make detail note and records on above questions and after discussion, filling out the following table:

Table 9-4 Current land use pattern and afforestation lands proposed to SEAP

<table>
<thead>
<tr>
<th>Land type</th>
<th>Land tenure and current use</th>
<th>Area (mu)</th>
<th>SEAP afforestation</th>
<th>Land users (HH)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Barren lands</td>
<td>Land tenure</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Contracted to HH</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Not yet contracted</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Current use:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Barren land</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Grazing</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Fuel wood</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Herb medicine</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Farm land</td>
<td>Contracted to HH</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Crops</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Fruit trees</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

9.5 Species Ranking Matrix

The following tables are proposed to be used for ranking the tree species during the village key informant consultation, group consultation or consultation workshop.

Table 9-5-1 Tree species ranking matrix for consultation

<table>
<thead>
<tr>
<th>Species</th>
<th>Ecological benefit (1-5)</th>
<th>Economic benefit (1-5)</th>
<th>Restrictions (1-5)</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Protective forests</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ecological economic forests</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mixture of economic and ecological forest</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Windbreak</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Table 9-5-2 Preference Ranking Matrix (score: 1-5)

<table>
<thead>
<tr>
<th>Options</th>
<th>F1</th>
<th>F2</th>
<th>F3</th>
<th>F4</th>
<th>F5</th>
<th>F6</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ecological forests</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ecological economic</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>佩戴李新福</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mono-species forest</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Windbreaks</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

9.6 Impact and Restriction Analysis Matrix

Following matrix can be used in the group consultation or consultation workshop for identifying the possible restrictions and working out the compensation alternatives with stakeholders.

Table 9-7-1 Impact and restriction analysis matrix

<table>
<thead>
<tr>
<th>Major Afforestation Types</th>
<th>Possible Restrictions</th>
<th>Alternatives for compensations or reducing the impacts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Afforestation on the barren and wastelands</td>
<td>- Banning the grazing;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Banning the fuel wood collection</td>
<td></td>
</tr>
<tr>
<td>Rehabilitation of the degraded forests</td>
<td>- Affect the overall productivity</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Restriction of the forest resource use due to the protection measures</td>
<td></td>
</tr>
<tr>
<td>Wind break shelters</td>
<td>- Shadow effect on the crops in the field</td>
<td></td>
</tr>
</tbody>
</table>
SWOT analysis is a visualized participatory tool used in group interview or workshop for making the decision on the proposed project interventions. The 4 x 4 matrix provides an interactive consultation platform for the stakeholders and the technical designing team. It is also an effective mean for exchanging information between technicians and stakeholders. The results of SWOT analysis can be used as reference for assessing the social and other risks.

Table 9-7-2 SWOT analysis matrix used in PSCP

<table>
<thead>
<tr>
<th>Interventions</th>
<th>Strength (S)</th>
<th>Weakness (W)</th>
<th>Opportunity (O)</th>
<th>Threat (T)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ecological Afforestation</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ecological economic forests</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Seedling Production</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

3 Interventions will be identified according to the project sites
## 9.7 Village SEAP Plan

Table 9-8 Village Project Plan\(^4\)

<table>
<thead>
<tr>
<th>Land types</th>
<th>Area (mu)</th>
<th>HHs and land users</th>
<th>Plantations (^5)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Barren Mountain</td>
<td></td>
<td>No. of HHs and names of land holders</td>
<td>- Planting protective forests</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Shrubs</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Economic forests</td>
</tr>
<tr>
<td>2. Degraded Forest land</td>
<td></td>
<td>No. of HH and their names</td>
<td>- Introducing new species</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Replanting the degraded blocks</td>
</tr>
<tr>
<td>3. Farmland</td>
<td></td>
<td>No. of HHs and names</td>
<td>- Windbreak belt</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Ecological economic plantations</td>
</tr>
</tbody>
</table>

\(^4\) The village project plan should be publicized through village meeting or wall board and posters

\(^5\) Concrete afforestation models selected through consultation
9.8 Participation Contract

Agreement for participation in SEAP project
Between
<the name of contractor-Party A>  
And
Forestry Bureau of <County Name-Party B>

Party A and Party B conclude following agreement for implementing the Integrated Forestry Development Project-SEAP (hereinafter called Project):

1. Party A voluntarily participates in the SEAP project;
2. As land holder Party A agreed to provide <insert the area> mu <insert type of land> land for planting <insert here the species of tree, mixture> according the technical guidance of the project;
3. Party A agreed that the planted forests will be closed from <insert starting time of closure> to <insert termination of the closure> and maintained by Party A during this period, Party A will stop following use activities:
   a) Animal grazing
   b) Collecting the forest products
   c) cultivating the land
4. The survival rate agreed by Party A and Party B will be at least reaching <insert the percentage> % after 3 years of the planting
5. Party B will fulfill following obligations:
   a) Providing seedling to Party A
   b) Technical service to Party A
   c) Subsidy in kind of
6. Both Parties agreed that Party A will be exclusive beneficiaries of any economic outputs

Signature of Party A (or stamp)  
Signature of Party B (or stamp)

Date of signature:  
Date of Signature:

Party A includes three types of stakeholders, namely: (1) Individual households who decided to participate in the SEAP project; (2) group of households who jointly contracted collective land for participating in the SEAP project; (3) Village committee, who is representing all villagers to manage the afforestation and maintenance of the project sites which are not contracted to individual households or group of HHs.
9.9 Solutions to livelihood restriction

During the consultation and participatory process, each of the following points should be paid special attention to in order to ensure that potential project impacts are avoided or minimized:

**Measure 1. Individual applications by administrative villages and households**
Administrative village committees fill in an application to confirm to the county PMO their community’s interest to participate in the project. The application is signed by all villager group heads.
Households fill in and sign an application to confirm their interest to participate in the project in accordance with the procedure described in the consultation and participation guidelines.
In order to allow fully voluntary participation and meaningful applications, information in written form about the project will be broadly disseminated in the villages prior to the launch of project preparation activities. The project information leaflet will provide sufficient information in relation to technical aspects, financial aspects and other contractual aspects.
Applications received and accepted as well as project information leaflets will be archived during the whole project by the county PMOs.

**Measure 2. Opting out of afforestation site**
Each of the land users within a proposed site decides whether to join the afforestation scheme or not.
In order to provide this option to all land users, information about the location of the proposed site is made available to the village community in a timely manner.
Because land use rights on forest land are now formal land titles, informal land exchanges are not a viable solution for those not willing to join an afforestation scheme. Transfers of land use rights from poorer households within a site to more capable project participants are not supported under the project since they would generally not be a fair solution.

**Measure 3. Alternative fodder resource management**
In villages where livestock production is a livelihood source and where a proposed project site is used for animal grazing, the consultation and participation process includes at least one specific session to discuss livestock management at plantation establishment and after tree planting.
Solutions to be considered at plantation establishment time include at least (1) development of fodder grass and/or fodder trees; (2) zoning of other land for controlled animal grazing based on actual animal numbers; (3) designate and develop fodder production sites; (4) Encourage households to transfer from free grazing and semi-free grazing to feedlot or in-door breeding model; (5) The above-mentioned 4 steps require the consultation and close collaboration between county forestry
bureau and county livestock bureau. Solutions to be considered for post-plantation management also include sustainable grazing under the newly established trees. This generally requires a change of practice from full grazing to limit grazing. Training courses and extension activities under component 2 will include livestock management in and around afforested sites.

**Measure 4. Negotiations prior to allocation of collective forest land**
In villages where land in a proposed project site has remained unallocated collective forest land, the consultation and participation process includes at least one specific session to discuss future allocation of that land. Village community members will be informed about steps taken for allocation of the land in a timely and transparent manner through means such as public postings and villager representative meetings. Management solutions to be discussed during that session might include other management models besides currently identified management models of household, collective or state forest farm. However, allocation of individual land use rights will not a prerequisite for participation in the project.

**Measure 5. Resolution of specific poor household cases**
In some cases, measure 2 (continuation of previous practices on some plots within a plantation site) and measures 3 (alternative fodder management practices) might not be sufficient to minimize impact on the poorest resource users. The village negotiation workshops will invite participation of poor household representatives to help take their interest into account. Households with such specific difficulties will be identified early during the consultation and participation process. The administrative village committees will seek individual resolution of these cases through other means. These means will include changing the boundaries of the proposed afforestation site.

**Measure 6: Compensation for windbreak impact of households not taking part in project.** Households and collectives not participating in the project that might be impacted are invited in the consultation process. Solutions to minimize impact are jointly identified with project participants, such as clear definition of boundary, selection of tree species, and partial access to grazing under adult trees or other benefits from windbreaks.

**Measure 7. Contract specifications**
Each land user participating in the project signs an individual contract with the county project PMO. This contract is consistent with the standard contract formats prepared by PMC. It describes the rights and responsibilities of the land user and of the county PMO regarding the public goods aspects of the plantation. The county PMO will keep a registry of land users with a project contract.