

World Bank Loan

Hunan Forest Restoration and Development Project  
(HFRDP)

**Ethnic Minority Development Plan**

Hunan Provincial Forest Foreign Fund Project Management Office  
Social Assessment Team of HFRDP

March, 2012

## **Abbreviations**

CFB: County Forestry Bureau

FC: Forest Cooperative

HFRDP: Hunan Forest Restoration and Development Project

HH: household

HN: Hunan Province

PCP: Participatory consultation and planning

PFD: Provincial Forestry Department

PPMO: Provincial Project Management Office

PRA: Participatory Rural Appraisal

SA: Social Assessment

TFS: Township Forestry Station

## Contents

1. OVERVIEW OF HFRDP.....	1
1.1 Project Background.....	1
1.2 Project Objective.....	1
1.3 Project Components .....	2
2. ETHNIC MINORITIES.....	3
2.1 Overview in Hunan Province.....	3
2.2 Overview in Project Area.....	5
2.2.1. Minorities in Luxi County.....	6
2.2.2. Minorities in Mayang County .....	6
2.2.3. Minorities in Yuanling County .....	6
2.2.4. Minorities in Rucheng County .....	7
2.2.5. Minorities in Changning City.....	7
2.3 History and Culture.....	8
2.3.1 Miao Minority .....	8
2.3.2. Yao Minority .....	10
2.4 Means of Livelihood .....	11
2.4.1 Miao Minority .....	11
2.4.2 Yao Minority .....	13
3. FRMEWORK OF POLICIES, LAWS AND REGULATIONS.....	15
3.1 Relevant National Laws and Regulations .....	15
3.1.1 Constitution of the People's Republic of China.....	15
3.1.2 Law of Regional Autonomy for Ethnic Minorities in China.....	17
3.1.3 Marriage Law of the People's Republic of China.....	18
3.1.4 The Law of the PRC on the Standard Spoken and Written Chinese Language.....	18
3.2 Local Relevant Laws and Regulations.....	18
3.2.1 Several Provisions on Implementing RAEMC in HN.....	18
3.2.2 Regulations on Dispersed Inhabited Minorities in HN .....	20
3.2.3 Regulations of Autonomy for Xiangxi Tujia and Miao Autonomous Prefecture ...	21
3.2.4 Regulations of Autonomy in Mayang Miao Autonomous County .....	23
4. SUMMARY OF SOCIAL ASSESSMENT .....	27
4.1 Methods.....	27
4.1.1 Literature Review.....	27
4.1.2 Interview .....	27
4.1.3 Participatory Rural Appraisal (PRA).....	28
4.1.4 Field Observation.....	28
4.1.5 Questionnaires.....	28

4.2 Sample Sites.....	28
4.3 Process .....	31
4.4 Findings.....	33
4.4.1 Some Issues to be Concerned.....	33
4.4.2. Attitudes Towards HFRDP.....	34
5. PROJECT IMPACTS.....	36
5.1 Positive Impacts .....	36
5.2 Negative Impacts .....	36
5.3. Solutions .....	37
6. MECHANISM FOR PARTICIPATION .....	41
6.1 Approaches of Participation.....	41
6.2 Types of Participation .....	41
6.3 Measures for Participation .....	42
7. ACTION PLAN .....	45
7.1 To Reinforce Project Publicity, Management and Training.....	45
7.2 To Improve the Project Management System.....	46
7.3 To Ensure the Participation of Minorities .....	46
7.4 To Alleviate the Negative Impacts .....	46
7.5 To Reinforce Poverty Alleviation .....	47
8. MECHANISM FOR GRIEVANCE.....	52
8.1 Agency to Accept Complaints.....	52
8.2 Procedures of Complaint.....	52
8.3 Feedback Mechanism for Complaints .....	53
9. MONITORING AND EVALUATION .....	54
9.1 Progress Statistical Monitoring.....	54
9.1.1 Key Indicators .....	54
9.1.2 Methods.....	54
9.1.3 Financing.....	54
9.2 Impact Monitoring .....	54
9.2.1 Key Indicators .....	54
9.2.2 Methods.....	55
9.2.3 Financing.....	55

Appendix I .....	56
Appendix II .....	61
Appendix III.....	65
Appendix IV.....	68
Appendix V .....	72

The Ethnic Minority Development Plan (EMDP) was developed to ensure that the ethnic minorities in Hunan Forest Restoration and Development Project area can get equal project benefits from and to reduce the negative impact of the project by adopting associated measures. This plan is based on the Social Assessment (SA) Report. And in the process of establishment, we collected advices from the ethnic minority communities, the local government and relevant institutions. This plan focuses on Miao and Yao minorities which lives the project area and will be directly influenced by the project.

## **1. OVERVIEW OF HFRDP**

### **1.1 Project Background**

The ice storm in early 2008 caused severe damage on forestry resources terrible ecological disaster in Hunan Province (HN). Meanwhile, it also brought some hidden dangers of secondary disasters, such as forest fires, diseases and pests. During the disaster, coniferous plantations and bamboo forests of single tree species suffered the more severe and devastating damages than natural forests or mixed plantations.

To relieve and recover from the long-term environmental influences from the 2008 ice storm, HN proposed the “Hunan Forest Restoration and Development Project” which is an important part of the post-disaster reconstruction. The project seeks to build mixed forests by adopting various silvicultural methods with indigenous tree species, enhance the diversity and stability of forest stand structure and improve the resilience of forest plantations to natural disasters and its capability to deal with capricious climate in the future.

HN has successfully carried out four forestry projects with World Bank Loans since 1991. The previous WB projects aimed at improvements of the outputs, quality and quantity of timber production, while the HFRDP is aimed to restore and reconstruct forests to improve their resilience to natural disasters and the capricious climate.

### **1.2 Project Objective**

The objective of HFRDP is to undertake the post-disaster reconstruction by restoring

and reconstructing forests with indigenous tree species, and to build mixed forests and change the forest structure, thus to reinforce the forest structure stability, improve resilience and carbon sequestration of forests in the severely damaged areas from the ice storm.

### **1.3 Project Components**

The HFRDP includes 3 components: 1) Restoration and reconstruction of severely damaged forests from the ice storm; 2) Technical support, extension, training and forest monitoring; 3) Institutional capacity building and project management.

## **2. ETHNIC MINORITIES**

The ethnic minority refers to all other nationalities except Han nationality in China. As the total population of them covers a small proportion in the total population of China, they are generally called as minority (which in Chinese means nationalities with small number of population). The Chinese government is very concerned about the political status of ethnic minorities and respect for their culture very well. The Constitution and Law of Regional Autonomy for Ethnic Minorities in China state clearly about the ethnic minority autonomy institution that autonomous prefectures, cities and counties shall be established in all regions where minorities lived in compact communities. Meanwhile, in places where ethnic minority live in compact communities but the population of the ethnic minority and the area they live in are relatively small, ethnic township shall be established. In the OP4.10 policy of WB, ethnic minority is applied with its general implications that refer to the unique but disadvantaged social and cultural groups which have the following characteristics: 1) self-identified and identified by others as one unique indigenous cultural group; 2) living in a certain area with unique geographical figures or an ancestral residential place, and depending on the natural resources in the area for living; 3) has its own traditional cultural, economic, social or political institutions that are distinguished from the mainstream society; 4) usually has its own language distinguished from national language or the official language in local area.

### **2.1 Overview in Hunan Province**

HN is a multi-ethnic province. According to the fifth census of China in 2000, HN is a family of 56 ethnic groups. The total provincial population is 63.2742 million, of which there are 6.4107 million of ethnic minority population, accounting for 10.13% of the total. The population of 11 native ethnic minorities, including Tujia, Miao, Dong, Yao, Bai, Hui, Zhuang, Uygur, Mongolian, She, Man, is 6.3909 million, accounting for 99.69% of the total ethnic minority population in HN, while the population of the other 44 ethnic minorities is 19800, accounting for 0.31% of the total. There are 17 ethnic groups that has a population of over 1,000, 16 ethnic groups with a population ranging from 100 to 1,000, 22 ethnic groups with a population of less than 100. The minority population in HN accounts for 6% of the total in the country, ranking No. 6



minority population province among all.

The ethnic minorities are widely distributed throughout the 14 prefectures in HN. The minority population is above 1 million in the prefecture of Huaihua and Zhangjiajie, among 100,000 to 1 million in the prefectures of Yongzhou, Shaoyang and Changde. The distribution of minorities shows a feature of different minorities inhabited in a scattered way, while some single minority inhabited in one community. The majority of minority population, which is 96.86% of the total, are inhabited in the six prefectures of Huaihua, Zhangjiajie, Yongzhou, Shaoyang and Changde, while the rest 3.14 % minority population are habited in the other 8 prefectures.

The different minority inhabitation are mixed together, which could be described as “You are among us and we are among you”. The major inhabitation distribution of them in terms of prefecture administration is indicated in table 2-1.

**Table 2-1 The major inhabited prefectures of ethnic minorities in HN**

Minority	Major inhabitation		
	prefectures	No. of Population (million)	Percentage in the total minority population in HN
Tujia	Xiangxi, Zhangjiajie, Changde	2.44	92.44%
Miao	Xiangxi, Huaihua, Shaoyang	1.8675	97.19%
Dong	Huaihua	0.8012	95.97%
Yao	Yongzhou	0.5138	72.82%
Bai	Zhangjiajie	0.1046	82.93%
Hui	Changde, Shaoyang	0.0677	69.92%
Zhuang	Yongzhou	0.0148	62.64%
Uygur	Changde	0.0057	72.02%

Geographically, the minorities of Hunan province are mostly distributed in remote mountainous areas, such as WulingMountain, XuefengMountain, NanlingMountain and LuoxiaoMountain. And most of them are located in bordering areas stretching from north to west and to south. For example, Tujia and Miao minority gather mainly in the west of Wuling Mountain and Xuefeng Mountain area, and Dong minority in the south of Xuefeng Mountain area, Yao Minority in Five-Mountain of south HN and Luoxiao Mountain area.

Presently, HN has 1 autonomous prefecture (Xiangxi Tujia and Miao Autonomous Prefecture, administrating Jishou City, Fenghuang County, Huayuan County, Baojing

County, Guzhang County, Luxi County, Yongshun County and Longshan County), 7 Autonomous Counties (AA) (Tongdao Dong AA, Xinhuang Dong AA, Jingzhou Miao and Dong AA, Zhijiang Dong AA, Mayang Miao AA, Chengbu Miao AA and Jianghua Yao AA) and 3 counties enjoying preferential policies of autonomous region (Sangzhi County, Yongding District and Wulingyuan District). Besides, There are 6 counties (Jiangyong county, Huitong county, Suining county, Shimen county, Cili county and Yuanling county), has a population with half minorities.

## **2.2 Overview in Project Area**

HFRDP covers 22 counties in 10 prefectures, including Ningxiang County in Changsha Prefecture, Liling City in Zhuzhou Prefecture, Yueyang and Pingjiang County in Yueyang Prefecture, Hengnan and Changning County, Leiyang City in Hengyang Prefecture, Xinshao County in Shaoyang Prefecture, Taoyuan County and Dingcheng District in Changde Prefecture, Suxian District, Yongxin County, Zixing City, Guiyang County, Rucheng County, Guidong County and Anren County in Chenzhou Prefecture, Jindong Administrative District and Shuangpai County in Yongzhou Prefecture, Yuanling County in Huaihua Prefecture, Mayang Miao Autonomous County and Luxi County in XiangxiTujia and Miao Autonomous Prefecture.

There are certain number of minority population in some project counties of HFRDP, mainly Miao, Tujia, Yao, Uyghur and Hui minorities inhabited in counties (cities, districts) of Yuanling, Mayang, Luxi, Rucheng, Zixing, Guiyang, Guidong, Jindong, Shuangpai, Changning and Taoyuan. In the project areas, the culture of Tujia minority has been assimilated with the culture of Han nationality. Though Uyghur and Hui minorities retain some unique features of their culture, they are not covered in the project. Therefore, HFRDP focuses on those ethnic minorities with concentrated inhabitation and well-preserved traditional culture, which is Miao and Yao. Hereby, we choose the following five counties, including Luxi, Mayang, Yuanling, Rucheng and Changning, to conduct the field survey with participatory approaches. The socio-economic situations of the five sampled counties is indicated in table 2-2.

**Table 2-2 The basic socio-economic situations of the sampled counties**

Project counties (cities)	Total population (thousand)	Population of minority (thousand)	GDP (million Yuan)	GDP per Capita (Yuan)	Rural per capita net income (Yuan)	The ratio between primary, secondary and tertiary industries
Luxi	295.8	180	3706	13400	3144	13.4 : 61.2 : 25.4
Mayang	388.3	306.7	3223	9415	2600	22.8 : 33.1 : 42.1
Yuanling	650.2	370	9536	14666	2626	10.7 : 65.1 : 24.2
Rucheng	379.8	60	2628.07	6919	2128	26.7 : 35.5 : 37.8
Changning	902	5.744	14013	15535	6931	22 : 42.8 : 35.2

### 2.2.1. Minorities in Luxi County

Luxi County is subordinate to Xiangxi Tujia and Miao Autonomous Prefecture. There are 16 townships in the, including 15 townships and 1 state-owned forest farm. There are 150 administrative village (community) committees, including 134 village committees and 16 community committees. Villagers' groups amount to 690. The total population of the county is 295,847. The total population of minorities is 180,444, accounting for 60.99% in the total. There are 122,958 of Miao population and 54,235 of Tujia population, accounting for respectively 69.61% and 30.06% in the total population. The population of other minorities in the county is 594, accounting for 0.33% in the total minority population.

### 2.2.2. Minorities in Mayang County

Mayang is a Miao Autonomous County with 7 ethnic minorities inhabitants, such as Miao, Han, Tujia and Dong. It covers an area of 1,556.45 km<sup>2</sup>, having jurisdiction over 1884 villagers' groups in 307 administrative villages in 23 townships, as well as 1 state-owned forest farm. The total population of the county is 388,300 and the population of minorities, mainly Miao across the county, is 306,700, accounting for 78.98% of the total. The total rural population is 342,500, among which 173,600 are male, 168,900 are female, 271,200 are minorities and 270,600 are Miao minority. There are 93,100 farmers' HHs and 183,800 rural labors including 100,800 male labor and 83,000 female labor. The rural labor force of Miao minority is 148,100.

### 2.2.3. Minorities in Yuanling County

Yuanling County has jurisdiction over 498 villagers' and community committees in 23 townships, and has a population of 650,200. It is the largest county in HN with a total area of 5852 km<sup>2</sup>. There are 24 ethnic minorities in the county, such as Miao, Tujia and Bai. The population of minorities is 367,400, accounting for 56.5% of the total

county population. It is one of the six counties whose minority population surpasses half of the total population. In the total minority population in Yuanling, there are 230,000 of Miao minority, accounting for 61%; 110,000 of Tujia minority, accounting for 32%, 18,000 of Bai minority, accounting for 4%. The minorities are widespread in 23 townships in the county. Miao minority is mainly inhabited at the banks of You River, Li River, as well as along Liangshuijing and Guanzhuang. Tujia minority is inhabited in the drainage area of Shen River, Dongting River, Huochang Tujia Township and Mingxikou Township. Bai minority is distributed in Daheping Township. In the county, there are two minority townships as the Eryou Miao Township and Huochang Tujia Township, the area of which is 466 km<sup>2</sup> with a population of 49,000.

#### **2.2.4. Minorities in Rucheng County**

Rucheng county has jurisdiction over 23 townships with a population of 370,500. There are 26 ethnic minorities in the county with a total population of 62,800, accounting for 16.35% of the total. Yao and She minority accounts for respectively 15.27% and 0.24% of the total population. The absolute quantity of minority population in Rucheng ranks the fifth in HN. It is the most minority populous county, and has the biggest number of minority townships in Chenzhou Prefecture. There are 5 Yao minority townships of Yingdong, Lingxiu, Yanshou, Xiaoyuan and Sanjiangkou. The total population in the five townships is 47,000, accounting for 13% of the county's. There are also 17 ethnic minority villages. The total area of ethnic minority townships and villages accounts for 27% of the total county area.

#### **2.2.5. Minorities in Changning City**

Changning City has jurisdiction over 780 village and community committees in 27 townships. Its total population is 902,000, including 5744 minority population. Minorities scatter in the whole area, including Yao, Hui, Miao, Zhuang, Man, Yi, Dong, Bai, Li, Wa, Tujia, Mongolian, Uygur, Bouyei, Lahu and Naxi. Among these, Yao minority is the dominant, inhabited mainly in Tashan Yao Minority Township which is the only minority township in Changning City as well in Hengyang Prefecture. In the township, there are 2078 households, 111 villager groups in 12 administrative villages. Its total population is 8,964, including 4349 of Yao minority population in 652 Yao minority HHs, accounting for 48.5% of the total.

## **2.3 History and Culture**

### **2.3.1 Miao Minority**

As one of the oldest nationalities in China, with a large population and extensive distribution, Miao minority boasts splendid history and culture. The ancestor of Miao can be traced back to Chiyou tribe lived in Central Plains area in the era of primitive society. During the period of Shang and Zhou Dynasties, the ancestors of Miao built Sanmiao State in the middle and lower reaches of Yangtze River, engaged in rice farming. Miao has migrated many times in its history. The basic route was from the Yellow River drainage area to HN, Guizhou and Yunnan. The present distribution pattern was basically formed in the Ming and Qing Dynasties.

Miao minority has its own language which is a branch of Miao-Yao language in Sino-Tibetan language family. There are three dialects of eastern, central and western dialects. It has an old alphabetic writing system and a new alphabetic writing system. But neither is widely accepted. The project area are in Miao dialect area. However, most of Miao people now speak Mandarin Chinese and use Chinese characters because they have been living together with Han nationality for a long time. Now the number of people speaking Miao language is dwindling. Few can speak Miao language, especially in Yuanling and Mayang County.

As for the costumes of Miao, males wear breasted coats with buttons down. The sleeves are long and narrow while pants are short and large with dark blue cloth leggings. Men tend to have their heads covered with kerchiefs colored in dark blue or blue and white, which are 3.3 to 10 meters long, the kerchiefs are large and wrapped around like a cross. Generally women wear large and long full-breasted clothing without collar. The sleeves are large and short; the chest part and cuffs are decorated with rolled lace, embroidery or shusha (a characteristic yarn manufacturing work of Miao) with railings petals. Miao clothing is also featured by slit; lap and cloud hook embroidery on the front and back edges. Wide-leg trousers are short and large on the bottom decorated by roll lace, embroidery or shusha on the edges. The dark blue or lattice kerchiefs people use to cover head are winded to several feet long. Miao are fond of wearing silver ornaments, such as bun hairpins, earrings, bracelets and so on. When it is festival or wedding day, in addition to what has been mentioned, people

would wear a variety of chaplets, silver buttons, shawls and silver crowns.

Miao used to implement endogamy. Few married people outside. With the expansion of external exchanges, however, intermarriage with the Han people has increased. It is a traditional practice that Miao people have the freedom to choose their spouses. They know each other mostly through the village fairs and visiting relatives. With regard to its descent system, generally, men tend to inherit family land while women inherit the family property their parents prepared, especially mother's property, such as jewelries, clothes and so on.

Miao has many festivals. "The Third of March" of lunar calendar, the traditional song and dance festival of Miao people in Xiangxi, has been a great event for the Miao people to commemorate ancestors and celebrate new birth and blessed life since ancient times. On that day, Miao people would gather together at a certain square to participate in antiphonal singing, listen to songs and dance to rejoice themselves. "The Sixth of June" of lunar calendar is also an ancient custom for people to worship their ancestors. People celebrate that day to commemorate the six ancestors of Miao, wishing being blessed that the family could give birth to six boys and six girls. On "Catch the Autumn" festival, the beginning of autumn, Miao people would stop farming activities, dressed in their festival costumes, rushing to autumn fields with friends and relatives to participate in or watch a variety of recreational activities. When it comes to "Jump Incense Meeting", all people would dance around the fire and enjoy other entertainment activities.

Miao believe in animism and polytheism. They enshrine ancestors and worship nature. Their beliefs are in the forms of primitive religion—nature worship, totemism and ancestor worship. There is a legend handed down from generation to generation, "God Father of bitches", regarding Panhu(an ancient mythology character) as totem worship. They regard Panhu as their ancestors, worshiping Chiyou, Nuo god and goddess and Heavenly King. The most ethnic featured and largest ritual of Miao nationality is eating pigs, cattle and "dragon dance". Moreover, a so called "redeem a vow to the Nuo god" ritual activity is also popular among Miao people.

### 2.3.2. Yao Minority

Yao is a nationality with long history. Early in the times of Chiyou tribe, Yao has become a member of the big Chinese family. As for its origin, there are different opinions. The following are five main opinions: a) It is said that Yao is rooted in “Shanyue people”; b) Yao is originated from “Changsha savage, Wuling savage”; c) Yao is originated from “Wuxi savage” who lived between Hunan and Guizhou; d) The origin of Yao is diversified; e) Yao is considered as the offspring of “You People”.

The houses Yao used to live in were very simple and crude. These houses are generally supported by cedars, covered by couch grass and cedars, surrounded by cedars or bamboo chips. They are often referred as “thousands of stakes going to the ground”. Nowadays, the living conditions of Yao people have been greatly improved. Most of them now live in houses of wooden partition, earth wall or tiles.

As for the costumes of Yao, men always wear a shirt, short or long, with front opening snap collar and cloth buttons. Usually, they wear a dark blue kerchiefs on head and short, wide trousers. In terms of women, their shirts are always with buttons down the front. With flowers embroidered, their sleeves and hems are wide-brimmed. The dark blue kerchiefs are 2 meters long, 0.3 meters wide, with various decorative patterns at the two edges and tetragonum patterns in the central part. Women wear a kerchief in the form of tip angle. Their trousers cuffs are also wide and embroidered. Some women like embroidered aprons. Nowadays, most Yao people wear the same clothes as the Han people. Only people in the few areas inhabited by Yao wear these traditional costumes.

Yao has its own language with complex branches and large differences in different regions. Some of them even have difficulty to communicate with each other. People use Chinese as their character for they have no character of their own. However, Yao’s folk literature is rich with a long history. It has tales and fairies, displaying the origin of people and its nationality, such as *the Praise of King Pan*, *Legend of King Pan* and etc.

Yao used not to marry people who were not of the same clan. The practice of having

the groom living with the bride's family after marriage was popular. Young boys and girls are free to choose their lovers before marriage. Festivals, fairs and visiting relatives and friends in the slack season provide them opportunities to seek their beloved by singing folk songs. If the boys and girls have feelings for each other, they exchange gifts. By this means, they have absolute freedom to choose their couples without any interference of their parents. Under some circumstances, they should be permitted by their parents to get married after matchmakings.

Yao are good at singing and dancing. People, men and women, old and young, can sing and dance. The most featured activities are talking and laughing and dancing with long drum. When it is birthday or there are celebrities, talking and laughing will begin after guests arrive. Though they call it talking and laughing, the main part lies in singing. Young men and women can have opportunity to make acquaintance and establish a relation. Talking and laughing usually lasts a whole night or even several nights. Dancing with long drum is a folk dancing form in Yao nationality. It is said that King Pan, the ancestor of Yao, once hunted in the wood and was killed by a wild goat under a dove tree. His six sons captured the wild goat and revenged for their father. They cut down the dove tree and hollow it, mantling the skin of the wild goat on it. That is the original long drum, large in the two sides but small in the middle. They danced with this drum for three days and nights in honor of their father. For thousands of years, Yao have passed this tradition down from generation to generation in memory of King Pan.

Yao have many festivals, and the liveliest one is the King Pan festival. It is said that its first ancestor won his spurs and was granted the title of King Pan on Oct 16th of the lunar calendar. From then on, people celebrate this day each year to commemorate King Pan. On that day, people will sing songs and dance with long drum to show their respect and admiration to King Pan, praying for peace, good luck, happiness and a harvest year.

## **2.4 Means of Livelihood**

### **2.4.1 Miao Minority**

Before the establishment of the People's Republic of China (PRC), Miao lived in



poverty with undeveloped economy. Later on, their living standard has been improved to a large extent. After the Third Plenary Session of the Eleventh Central Committee adopted the Household Responsibility Land Tenure System (HRLTS), Miao people make the best of their good natural conditions, growing grains in their farmlands, mainly rice, as well as sweet potatoes and corns. The rice usually rotate with rapeseeds in one year, but yields poorly. The average output of rice is 500-800 *jin/mu*<sup>1</sup>. In some places with more sloped farmlands, people usually grow maize and sweet potato in a traditional way, which generate very low income. Some farmers raise cattle, sheep and pigs, but most of these domestic animals are for family consumption.

In recent years, Miao-inhabited areas adjusted the structure of agricultural production, and the prioritized fruit trees cultivation on mountain slopes became an important measure to improve the economic development and generate income for people. By vigorously promoting their fruit-growing industry, Mayang County became known as “the home of Chinese crystal sugar oranges”. The accelerated urbanization process has boosted the vegetable production development, with expanding areas, increasing outputs and quality and the development of environment-friendly vegetables. Animal husbandry also develops greatly, which provides good opportunities for Miao people to get rid of poverty. Since the HRLTS was introduced to the area, Miao people’s enthusiasm in reforestation, forest closure and protection was raised greatly, leading to faster development of forestry production with the emergence of a number of large forest farms. The implementation of a series of key forestry projects, especially Land Conversion Project, has become important ways of income increase and has brought about great development to the forestry in the Miao-inhabited areas. The once bare hills and mountains have been gradually covered by forests. The climate in those areas has been improved a lot, presenting a new picture of people and nature getting along harmoniously with each other. Nowadays, the tertiary industry and labor migration also contribute greatly to the poverty alleviation of Miao people.

The labor division in the Miao family depends on gender and age. Men undertake heavy work, such as ploughing and cultivating the land. Women are responsible for housework including caring for children, feeding the pigs, cattle, chickens and ducks,

---

<sup>1</sup> 1 *jin* = 0.5 kg, 1 *mu* = 1/15 ha.

and they also help in farming in the busy seasons. The elderly and children do auxiliary work like housework and shepherding sheep and other domestic animals.

#### **2.4.2 Yao Minority**

Yao live in the mountains. To adapt to different mountain environments, they have formed different living patterns. In the top-mountain areas with scattered farmlands, the houses are also scattered with about ten HHs living in one specific area. The road condition in these areas are usually rugged. The middle-mountain areas usually have more dry land than paddy fields. The size of residential areas ranges from ten to twenty or thirty HHs. In the low-mountain areas and valleys of the rivers, the size of residential areas usually ranges from several dozens to one hundred HHs.

In the early 1980s, HRLTS was introduced in the Yao-inhabited areas. Yao people were given the right to use the basic means of production and life, such as farmlands and forests. According to the policies of the government, the contract term shall be maintained for at least 30 years.

The traditional means of livelihood of Yao is the self-sufficient economy in the mountain areas which combines farming and hunting. The crops mainly include rice, maize, sweet potato and wheat. They grow two crops a year. In the spring, they grow rice, sweet potatoes and maize, and in the autumn they grow wheat and rapeseed plants. The vegetable produced by Yao people include cabbage, radish, beans, pumpkin and cucumber. The main oil-bearing crop is rapeseed. HH breeding animals include chickens, pigs and cattle, and some families breed goats. In the seasons of autumn and winter, they hunt in the forests. In the seasons of spring and summer, they pick wild productions in the mountains. It was once an important source of non-staple food of Yao people and the main local specialty of Yao for external exchange.

In the traditional production activities, individual HH is the basic unit. Heavy work like cutting trees, ploughing and hunting are undertaken by men, while housework like washing, stitching and weaving, boiling the water, preparing meals and taking care of the elderly and the young is the work of women. Other work is accomplished with the cooperation of all family members. In the busy seasons, labor cooperation is conducted between relatives, friends and neighbors in the form of mutual help and

labor exchange.

Since the 1980s, big changes have taken place in the means of livelihood of Yao. First of all, the self-sufficient natural economy has given way to commodity economy. The market orientation of the production becomes increasingly apparent. The productive consumption and living consumption rely on the market increasingly. Secondly, with more and more rural labors migrate out, labor migration has become the main cash source for local people, and also contributed to the sound ecological cycle in these areas.

### **3. FRAMEWORK OF POLICIES, LAWS AND REGULATIONS**

The laws that Chinese government applies to protect the rights of ethnic minorities to manage their own affairs autonomously and promote the development of ethnic minorities include Constitution of PRC, other relevant laws and regulations and the Law of Regional Autonomy for Ethnic Minorities in China (RAEMC). The national autonomous regions formulate their own regulations for local ethnic autonomy through local People's Congress, in accordance with the Constitution and Law of Regional Autonomy for Ethnic Minorities in China

#### **3.1 Relevant National Laws and Regulations**

The framework of laws and regulations that the Chinese government uses to guarantee minorities' rights and promote the development of minorities are as follows:

##### **3.1.1 Constitution of the People's Republic of China**

**Article 4** All nationalities in the People's Republic of China are equal. The state protects the lawful rights and interests of the minority nationalities and upholds and develops a relationship of equality, unity and mutual assistance among all of China's nationalities. Discrimination against and oppression of any nationality are prohibited; any act which undermines the unity of the nationalities or instigates division is prohibited.

The state assists areas inhabited by minority nationalities in accelerating their economic and cultural development according to the characteristics and needs of the various minority nationalities.

Regional autonomy is practiced in areas where people of minority nationalities live in concentrated communities; in these areas organs of self-government are established to exercise the power of autonomy. All national autonomous areas are integral parts of the People's Republic of China.

All nationalities have the freedom to use and develop their own spoken and written languages and to preserve or reform their own folkways and customs.

**Article 25** The state promotes family planning so that population growth may fit the plans for economic and social development.

**Article 26** The state protects and improves the environment in which people live and the ecological environment. It prevents and controls pollution and other public hazards.

The state organizes and encourages afforestation and the protection of forests.

**Article 117** The organs of self-government of the national autonomous areas have the power of autonomy in administering the finances of their areas. All revenues accruing to the national autonomous areas under the financial system of the state shall be managed and used by the organs of self-government of those areas.

**Article 118** The organs of self-government of the national autonomous areas independently arrange for and administer local economic development under the guidance of state plans.

In developing natural resources and building enterprises in the national autonomous areas, the state shall give due consideration to the interests of those areas.

**Article 119** The organs of self-government of the national autonomous areas independently administer educational, scientific, cultural, public health and physical culture affairs in their respective areas, protect and sift through the cultural heritage of the nationalities and work for a vigorous development of their cultures.

**Article 121** In performing their functions, the organs of self-government of the national autonomous areas, in accordance with the regulations on the exercise of autonomy in those areas, employ the spoken and written language or languages in common use in the locality.

**Article 122** The state provides financial, material and technical assistance to the minority nationalities to accelerate their economic and cultural development.

The state helps the national autonomous areas train large numbers of cadres at various levels and specialized personnel and skilled workers of various professions and trades from among the nationality or nationalities in those areas.

### **3.1.2 Law of Regional Autonomy for Ethnic Minorities in China**

**Article 23** When recruiting personnel in accordance with State regulations, enterprises and institutions in national autonomous areas shall give priority to minority nationalities and may enlist them from the population of minority nationalities in rural and pastoral areas.

**Article 65** While exploiting resources and undertaking construction in national autonomous areas, the State shall give consideration to the interests of these areas, make arrangements favorable to the economic development there and pay proper attention to the productive pursuits and the life of the minority nationalities there. The State shall take measures to give due benefit compensation to the national autonomous areas from which the natural resources are transported out.

**Article 66** Where national autonomous areas make contribution to the ecological balance and environmental protection of the State, the State shall give them due benefit compensation. While exploiting resources and undertaking construction in national autonomous areas, the organizations or individuals shall take effective measures to protect and improve local living and ecological environment and to prevent and control pollution and other public hazards.

**Article 67** Enterprises and institutions in national autonomous areas shall respect the power of autonomy of local organs of self-government, observe the local regulations on the exercise of autonomy and separate regulations as well as the local rules and regulations, and subject themselves to supervision by such organs.

**Article 69** The State and the people's governments at higher levels shall provide greater support to the poverty-stricken areas in national autonomous areas in the financial, monetary, material, technological and trained personnel fields so as to help the poor population there to shake off poverty as soon possible and to become well off.

### **3.1.3 Marriage Law of the People's Republic of China**

**Article 50** The people's congresses of the autonomous regions and the standing committees thereof are empowered to formulate adaptations according to the specific conditions of the marriage and family of the ethnic group of the local place. The adaptations formulated by the autonomous prefectures and counties become effective after being ratified by the standing committee of the people's congress of the corresponding province, autonomous region or municipality under the direct control of the central government. The adaptations formulated by the autonomous regions become effective after being ratified by the Standing Committee of the National People's Congress.

### **3.1.4 The Law of the PRC on the Standard Spoken and Written Chinese**

#### **Language**

**Article 8** All the nationalities shall have the freedom to use and develop their own spoken and written languages.

The spoken and written languages of the ethnic peoples shall be used in accordance with the relevant provisions of the Constitution, the Law on Regional Autonomy of Ethnic Minorities in China.

## **3.2 Local Relevant Laws and Regulations**

Since 1985, local people's congresses of provinces, prefectures and counties have successively formulated a series of local ethnic laws and regulations in accordance with the Constitution and the RAEMC.

### **3.2.1 Several Provisions on Implementing RAEMC in HN**

**Article 4** If resolutions, decisions, orders and instructions of the higher state organs are not suitable for local conditions of autonomous areas, the organs of autonomous regions can report it to its higher state organs for approval of flexible execution or execution suspension.

**Article 7** The higher state organs shall help autonomous regions develop forestry, and provide forestry protection and development projects in the autonomous regions with the forestations fund and forestry protection fund collected from the autonomous

regions, and give the priority of implementation of such ecological construction engineering projects as land conversion project to the autonomous regions.

**Article 11** While exploiting resources and undertaking construction in autonomous regions, the state organs at a higher level shall give consideration to the interests of these regions, make arrangements favorable to the economic development there and take care of the production and life of ethnic minorities in the regions.

The higher state organs shall take measures and provide compensations to autonomous regions that have made contribution to the establishment of ecological public-benefit forests, nature reserve and export of natural resources and national defense construction.

**Article 17** The higher state organs shall provide reinforce financial, material, technical and personnel supports to the poverty-stricken areas in autonomous regions, and increase poverty alleviation investment year by year so as to help the poor population there to shake off poverty as soon possible and to become well off.

**Article 19** The higher state organs shall formulate preferential policies, guide and encourage domestic and foreign funds to invest on infrastructure construction, such as traffic, energy, water conservancy, mineral and tourism and resource exploitation in the autonomous regions.

The higher state organs help the autonomous regions introduce foreign loans and aids that will mainly be used for public-benefit undertakings such as poverty alleviation, environmental protection and ecological construction.

**Article 24** The higher state organs shall help the autonomous regions develop sports and culture, build facilities for culture and sports, inherit and develop traditional art with ethnic characteristics, and enrich cultural life of people of all ethnic groups.

**Article 27** The higher state organs should respect the habits and customs of ethnic minorities. For food and the specially-needed products of the ethnic minorities, relevant departments should organize the source of goods and provide good supply.



Traditional festivals of Minorities should be respected.

### **3.2.2 Regulations on Dispersed Inhabited Minorities in HN**

**Article 3** The township with minorities accounting for more than 30% of the total population could be established as an ethnic township, which shall be reported by local county government to the provincial government for approval.

The head of the ethnic township shall be elected from the ethnic minorities in the township. The chairman, vice-chairman of the town's People's Congress or the deputy-director of the township should be elected from the ethnic minorities in the township. Other positions of the government should have certain numbers of ethnic minorities from the township.

**Article 5** The standing committee of the county (city, district) People's Congress and the people's government with ethnic townships and a large dispersed inhabited minority population under its jurisdiction should have certain numbers of ethnic minorities.

**Article 7** The province, prefectures with a large population of ethnic minorities and the county (city, district) administrating ethnic townships and a large dispersed ethnic minority population under its jurisdiction should allocate a certain amount of special funds in the budget to develop the economy and culture of dispersed ethnic minorities.

**Article 8** The ethnic townships shall make development plans for economic, cultural and public infrastructure development according to the local natural conditions, resources reserve and ethnic characteristics. The townships that has ethnic groups should take the characteristics and demands of the ethnic minorities into consideration when developing plans for economic and cultural development, public infrastructure construction.

**Article 10** The government above the county level should encourage forestry development in ethnic townships, and protect forest farmers' interests in accordance with the provisions of Chapter VII of Hunan Forestry Regulations.

As for the ethnic townships with rich forest resources, the timber quota can be slightly higher than in other towns, based on the principle that forest consumption shall be lower than forest growth. The forest farmers can be authorized for self-management while abide by relevant laws.

**Article 14** Where resources exploitation and infrastructure construction are conducted by the state in an ethnic township or in a town with ethnic groups, the construction party should cope appropriately with the interests of local people and help them for economic development.

**Article 21** The state organs, enterprises, institutions and social organizations should respect the habits and customs, religious belief and the sentiments of dispersed ethnic groups, and protect their rights to use their native languages and writings.

The government and relevant departments above county level should guarantee the production and supply of Muslim food, meat, non-staple food, and special needed commodities of other ethnic minorities.

News reports, literary and artistic creation, and film and television crew shouldn't discriminate, abuse and vilify ethnic minorities.

On the major festivals of ethnic minorities, ethnic minority employees should have holidays with full pay as stipulated in relevant state regulations.

**Article 22** Governments at all levels should respect the funeral customs of dispersed ethnic minorities, and encourage and support those who are willing to reform their funeral customs.

### **3.2.3 Regulations of Autonomy for Xiangxi Tujia and Miao Autonomous Prefecture**

**Article 6** Self-governing organs of Autonomous Prefecture should upholds and develops the socialist ethnic relations of equality, unity and mutual assistance among all of China's nationalities. Discrimination against and oppression of any nationality are prohibited; any act which undermines the unity of the nationalities or instigates

division is prohibited

**Article 10** The number of representatives from Tujia, Miao and other ethnic groups in Autonomous Prefecture People's Congress should be determined in accordance with the principles stipulated by laws and regulations.

The ratio of the representatives from Tujia and Miao in the standing committee of the Autonomous Prefecture People's Congress should be over 50%.

The director or deputy directors of the standing committee of the Autonomous Prefecture People's Congress should include Tujia or Miao minorities.

**Article 11** The People's Government in the Autonomous Prefecture should employ a certain number of people from Tujia or Miao minorities, and gradually exceeding 50% of the total staff.

The governor of the Autonomous Prefecture should be from Tujia or Miao minorities.

**Article 12** The officials that belong to the self-governing organs of the Autonomous Prefecture should include people from Tujia, Miao and other ethnic minorities as much as possible, in particular, women from ethnic groups.

**Article 19** Under the guidance of national plan, the self-governing organs of the Autonomous Prefecture should make economic and cultural development plans and corresponding policies and measures according to the prefecture's actual conditions, and independently arrange and manage the prefecture's economic and cultural construction.

Under the guidance of national plan, the self-governing organs of the Autonomous Prefecture should independently arrange infrastructure projects and determine the setting up, expansion and technical transformation for local enterprises according to the prefecture's financial, material and other conditions.

**Article 23** The self-governing organs of Autonomous Prefecture should protect the

ownership and user rights of forests, trees and forest lands according to the stipulations of laws and regulations, encourage forest protection and afforestation, ban excessive deforestation, and strengthen the construction and management of forestry production.

**Article 24** The self-governing organs of Autonomous Prefecture should consolidate water and soil conservation, actively carry out small watershed management, prohibit the practice of reclaiming wasteland by deforestation, and plant trees and grass on the land with a slope of more than 25 degrees designedly.

**Article 38** The self-governing organs of Autonomous Prefecture should actively develop the literature and art with ethnic characteristics and forms, carry out public cultural activities, strengthen the research on ethnic theory, history, language and characters, collect, collate and compile ethnic books and protect cultural relics, famous scenic spots and places of historical interest and other important ethnic cultural heritages.

**Article 52** The self-governing organs of Autonomous Prefecture should strengthen the education of ethnic policies, regularly check the compliance and enforcement of ethnic policies and regulations, educate the officials and the masses to trust, learn from and help each other and respect each other's languages, habits and customs and religious beliefs, thus to safeguard the nation's unity and the solidarity among all nationalities.

#### **3.2.4 Regulations of Autonomy in Mayang Miao Autonomous County**

**Article 6** The self-governing organs in the autonomous county ought to adopt, based on the actual situation of the county, special policies and flexible measures to accelerate economic and cultural development without violating the Constitution and laws.

If the decisions, resolutions, orders and instructions of higher state organs do not fit the actual situation in the county, The self-governing organs in the autonomous county ought to make a alteration or suspension on them after reported and approved by the higher state organs.

**Article 8** The self-governing organs in the autonomous county ought to maintain and develop the socialist ethnic relations of equality, unity and mutual assistance.

The self-governing organs in the autonomous county ought to guarantee that all ethnic groups have the freedom to use and develop their own spoken and written language and to preserve or reform their own folkways and customs.

**Article 15** The director of the autonomous county shall be undertaken by a Miao citizen. Among the members of the People's Government of the autonomous county, no less than half shall be from Miao Minority. Other ethnic groups should also have appropriate proportion in the members.

**Article 22** The self-governing organs in the autonomous county ought to draw up the national economic and social development planning and corresponding policies and measures to independently arrange and manage the county's economic construction based on its actual situation.

**Article 26** Autonomous County shall maintain the ownership and user right of the forests, trees and woodlands in accordance with the laws. Autonomous County shall encourage a variety of afforestation implementers; adhere strongly to the policy of afforestation, forest protection and tending, the combination of cutting and sustainable utilization.

The autonomous county ought to protect the forest resources in accordance with law; to control forest pests and diseases; to prevent forest fires. Deforestation and unauthorized reclamation and digging are all forbidden.

Public-benefit forestry protection and forest construction projects in Autonomous County can enjoy the preferential policies and the ecological benefits compensation granted by the higher state organs in accordance with relevant state regulations.

The forestry taxes and fees of the autonomous county are used for developing the county's forestry and maintaining forest ecological environment.

**Article 29** The self-governing organs in the autonomous county manage and preserve the natural resources in the autonomous county such as lands, forests, minerals, water, barren hills and grass-covered hills by itself according to the laws and regulations. In addition, it assures and guarantees their ownership and user right.

**Article 40** The autonomous county helps the poor areas and poor population shake off poverty and accelerate the realization of well-off, with the national poverty alleviation and development policies and preferential policies.

**Article 41** The self-governing organs in the autonomous county protect and improve the ecological environment and living environment in accordance with the law, and control pollution and other public hazards to realize the coordinated development of population, resources and the environment.

The autonomous county which has contributed to the ecological balance and environmental protection shall have the compensation granted by higher state organs.

**Article 42** The self-governing organs in the autonomous county make fiscal budget according to national laws and regulations, combined with the actual situation of the county. They exercise independently the right of financial management, arrange the use of local revenue and establish special minority funds for maneuvering.

**Article 55** The autonomous county develop the cultural and sports with ethnic characteristics and attach importance to the construction of cultural and sports facilities and folk arts to enrich cultural and sports life of all ethnic groups.

The autonomous county develops the radio, television and literatures, preserves historical cultural relics and historical sites, explores and promotes the national cultural heritage.

The above legal framework indicates that: the Chinese governments at all levels pay much attention to the protection of minority rights. The purpose of the development

plan of ethnic minorities is to better safeguard the right of equal participation of the minorities in project area and the right for ethnic traditional culture development. This basic principle of HFRDP is in line with the spirit of Chinese laws. Although there are still space for further improvements of Chinese laws and regulations, there is no contradiction and conflict between the current legal framework and the EMDP of HFRDP.

## **4. SUMMARY OF SOCIAL ASSESSMENT**

### **4.1 Methods**

To reach scientific and effective appraisal conclusions, we applied a variety of survey methods, and strive to make the information and data collected to complement and verify each other, so as to ensure the accuracy of the assessment results. In the field assessment, we have mainly applied the following methods:

#### **4.1.1 Literature Review**

Literature review finds the laws and makes conclusions by studying, summarizing, and analyzing the information collected from the literature works. This method is essential both for natural science and social science researches.

Due to the limited sample sites in the field survey, literatures could help to provide relevant information about project background and socio-economic situation in project area. Before the field survey started, the SA team collected the project information from the relevant departments, and conducted an in-depth study on it to get a macro image of the project as well as the project area. On this basis, the SA team developed the field research plan, questionnaire and interview outlines. Meanwhile, socio-economic statistics and project-related information are collected at all levels to get a comprehensive understanding about the basic socio-economic information of all project area.

#### **4.1.2 Interview**

Interview is the way to get information through in-depth conversations with interviewees. In this way, not only the feelings, attitudes, values and other information that are not able to be quantified could be understood, but also some true issues and problems could be discovered.

In the field survey, the SA team had extensive interviews on the county and township officials, village cadres and farmers in survey sites. The basic situation of HFRDP were introduced to them, and their suggestions and comments toward the project, and their willingness of participation were collected.



### **4.1.3 Participatory Rural Appraisal (PRA)**

To make the project beneficiary groups participate in the SA and obtain true and vivid first-hand data, we applied PRA in the field survey including tools of seasonal calendar and daily routine charts of both genders, and discussions on the labor division of agricultural work and housework, as well as focus group interviews on relevant issues in the upcoming projects.

### **4.1.4 Field Observation**

Field observation was applied to collect some intuitive and perceptual social information, including village appearance, farmers' living environment, damages caused by ice storm to forests and so on.

### **4.1.5 Questionnaires**

A sociological questionnaire was also applied in the SA survey. In total, 267 valid questionnaires are collected including 35 in Yuanling County, 53 in Luxi County, 61 in Mayang County, 52 in Rucheng County and 66 in Changning County. The types of respondents are different, including 75 government officials, 192 village cadres and farmers. In terms of gender, there are 165 male and 102 respondents. In terms of ethnic minorities, there are 112 Miao and 85 Yao respondents.

## **4.2 Sample Sites**

The SA team has conducted field survey in 10 villages. The basic information of 10 villages is indicated in table 4-1.

Miao Minority population account for respectively 91.5% and 97.3% of the total population in Yangjia and Liangchaxi Village in Yuanling County. They all speak Waxiang language, but they rarely reserve other ethnic cultures. They mainly live on agriculture. Since most of the forest is environmental public-benefit forest, their income are mainly from the government subsidies, with a very small proportion of income from lumbering.

Miao Minority population account for respectively 66.8% and 72.2% in Yantoushan Village and Bajiaoping Village in Luxi County. Most of them can speak Miao language. Their cultures have been well preserved generation to generation. They

worship Pan Hu (a legendary figure in China) and follow the custom of Tiaoxiang dancing, a religious services to give thanks to the China's Grain God and pray for a harvest next year. They celebrate the March 3rd Festival, June 6th Festival and other traditional festivals. The economy is mainly agricultural with orange as the main product and the primary income source. Ecological construction and forest protection are emphasized in forestry, so villagers depend little on forest for income.

Miao Minority population account for respectively 100% and 98.7% in Luojiachong Village and Mashantan Village in Mayang County. Most of them speak Chinese language instead of Miao language. They have preserved the customs of worshipping Pan Hu and Nuo Rite for driving out evil spirits. They are engaged in agriculture and planting rice. Citrus industry is a supporting industry in the area. They also develop grape in a large scale which has raised the local income. The income from forestry takes a small part in the total income.

Yao Minority population account for respectively 70.6% and 49.7% in Dongshan Village and Xiangling Village in Rucheng County. Most of them speak Chinese, and only a few senior villagers can speak Yao language. But they still preserve some features of the nationality such as worshipping the legend Pan Hu. They live on agriculture, growing fruits and ginger as well as rice. Although they have a large area of forest, they get very limited income from the forestry.

Yao Minority population account for respectively 33.3% and 52.1% in Songta Village and Puzhu Village in Changning City. They all can speak Yao language and have well preserved traditional customs of Pan Hu festival, Yao dancing for wedding and long-drum dancing. These two villages are located in mountainous areas with small area of land. Hence, they mainly live on forestry such as China fir and bamboo.

**Table 4-1 Basic information of the sample villages**

Name of the village	Township	County (city, district)	Population					Per capita net income (Yuan)	The area of arable land (mu)				The area of forest (mu)		
			Number of HHs	Total population	Total ethnic Population	Miao popu.	Yao popu.		No. of Labor	Total	Per HH	Paddy field	dry land	Total	Per HH
Yangjia	Eryou Miao Township	Yuanling	168	820	750	750		310	1100	1500	9	760	740	5100	30
Liangchaxi			172	744	744	724		360	1200	661	4	501	161	6400	37
Yantoushan	Pushi Township	Luxi	556	2716	2215	1815		1150	1100	2835	5	2411	424	21000	38
Bajiaoping	Liangjiatan Township		373	1773	1701	1280		410	1850	2004	5	804	1200	8300	22
Luojiachong	Wenchangge Township	Mayang	124	628	628	628		401	900	531.5	4	411.5	120	2100	17
Mashantan	Yaoshi Township		415	1678	1657	1657		868	1580	1175	3	1153	22	8917	21
Dongshan	Lingxiu Yao Minority Township	Rucheng	361	1348	952		952	720	820	1222	3	1090	132	14500	40
Xiangling			230	950	475		472	565	1200	662	3	429	233	15000	65
Songta	Tashan Yao Minority Township	Changning	70	387	129		129	232	1200	310.1	4	23.1	287	10000	143
Puzhu			120	687	358		358	428	2200	332	3	77	255	18117	151

### **4.3 Process**

Supported by Hunan Provincial Forestry Department (PFD) and relevant government agencies at county (city, district) level, the SA work started at the beginning of August and completed until the end of August. The detailed process is as follows:

From August 1<sup>st</sup> to 9<sup>th</sup>: Preparation for the survey including documents analysis, questionnaires and interview outline design. The questionnaires and interview outline were revised for several times with suggestions from various parties.

In the afternoon of the August 10<sup>th</sup>: Workshop with the officials from Yuanling County government agencies.

On August 11<sup>th</sup>: Field survey in Yangjia Village and Liangchaxi Village in Eryou Miao Township in Yuanling County, interviews with local ethnic affairs commission.

On August 12<sup>th</sup>: Workshop with concerned officials from Luxi County government in the morning; field survey in Yantoushan Village in Pushi Township in Luxi County in the afternoon.

In the morning of August 13<sup>th</sup>: Field survey in Bajiaoping Village in Liangjiatan Township.

On August 14<sup>th</sup>: Field survey in Luojiachong Village in Wenchangge Township and Mashantan Village in Yaoshi County in Mayang County.

In the morning of August 15<sup>th</sup>: Workshop with concerned officers from Mayang County government.

In the afternoon of August 19<sup>th</sup>: Workshop with concerned officers from Rucheng County government.

On August 20<sup>th</sup>: Field survey in Dongshan Village and Xiangling Village in Lingxiu Yao Minority Township in Rucheng County.

On August 22<sup>nd</sup>: Field survey in Songta Village and Puzhu Village in Tashan Yao Minority Township in Changning City.

In the morning of August 23<sup>rd</sup>: Workshop with concerned officers from Changning City government.

The workshops were generally moderated by the chief of county government administrative office or the deputy director responsible for forestry management. The participants included the officials from the departments of forestry, finance, agriculture, water resource management, land resource management, environmental protection, culture, women's federation, poverty alleviation, development and reform commission and ethnic affairs commission. The SA experts usually introduced first the background, components and objectives of HFRDP in details. Having learnt about the project, all the participants considered it a significant project and expressed their willingness to participate. They also proposed many valuable recommendations for the project.

During the field survey in villages, PRA tools including focus group interviews, village resource mapping, seasonal calendars, scoring and sorting, farmers' interviews have been conducted. Each sample village was visited by the SA team. At first, the SA team observed the production and life in villages, and distributed advocacy materials of HFRDP. Later, workshops were organized with villagers and HFRDP was introduced to reinforce their knowledge about it. The participants in the workshop expressed their attitudes and opinions toward HFRDP. Extensive consultation was conducted to discuss extensively with them on ways of participation, tree species selection and the possible impacts. In villages, totally more than 500 pieces of introduction flyers were distributed, over 20 workshops were organized, over 190 villagers was investigated with questionnaires and about 50 villagers was interviewed. Furthermore, over 100 project stakeholders participated in the consultation. They got clear overall knowledge about HFRDP, and put forward their opinions and suggestions for the project which contributed in the decision making on selection of management types and models and tree species, sites and area for afforestation, the density and spacing of trees and so on. Hence, the project is accepted and supported

by stakeholders.

## 4.4 Findings

### 4.4.1 Some Issues to be Concerned

Special concerns shall be taken to some minority issues concluded from the basis information of ethnic minorities in project area.

Firstly, the economy is at a low level of development in ethnic minority concentrated counties, and the minority groups are usually the poorest group in their villages or townships, therefore, their living standard is generally lower than the average in the local area. For example, in the sample villages, the highest per capita net income is 2,200 Yuan while the lowest is 820 Yuan (see table 4-1), which is much lower than the average level of 5,622 Yuan in HN (according to the statistical data in 2010). The local farmers can only afford for food and clothing. They are helpless in providing medical services and education for children, house construction, electric facilities purchases, not to mention achievements in economic development and ecological improvements.

Secondly, the majority of ethnic minority population live in the countryside, in particular in mountainous areas. They have more mountains than arable land. The average family land holding among survey respondents is 3 to 5 *mu*, while the average family forest land holding is 56.5 *mu* per family, maximum 151 *mu* (see table 4-1). However, not corresponding with this, farmers' major income source is labor migration rather forestry. According to the questionnaire result on 192 minority farmers, 145 of them have labor migration as the largest income source, accounting for 75.5%. More details could be seen in table 4-2

**Table 2 farmers' income sources**

Income sources	Labor migration	Agriculture	Forestry	Animal husbandry
No. of respondents	145	30	11	6
Percentage	75.5%	15.6%	5.7%	3.2%

Thirdly, the ethnic minority received generally low education. According to the questionnaire survey, Among the respondents, 60.9% of them have received primary education; 32.8% of them have been graduated from junior middle school and 6.3%

of them have ever studied in senior middle school. No one has ever studied in universities or colleges (see table 4-3). Therefore, the quality of local labor force is relatively low and the capacity for independent development is weak.

**Table 3 the education level of the farmers**

Education level	Elementary school	Junior middle school	Senior middle school	Universities or colleges
No. of respondents	117	63	12	0
Percentage	60.9%	32.8%	6.3%	0

Fourthly, the infrastructure for water and transportation are in bad situation. There is many difficulties in getting drinking and irrigation water, and people suffer from harsh labor environment.

Lastly, most of the minorities are native inhabitants for generations and boast a long history and abundant cultural resources. However, due to powerful influence by Han Nationality, the distinctive features of Yao and Miao are fading out.

#### **4.4.2. Attitudes Towards HFRDP**

According to the results of field survey, more than 98% of ethnic minority people in project area approved the basic goals of the project, and considered that it would help the recovery of forest resources and the improvement of ecological environment. They have generally expressed their willingness to participating in the project and great enthusiasm toward it. They hoped the project will be implemented soon and had great expectations upon it. Meanwhile, some of them also have various kinds of worries.

##### **1) Expectations:**

- a. General and urgent requirements for water conservancy facilities, roads and other infrastructures;
- b. To plant trees that can bring ecological and economic benefits;
- c. Right to choose the form of participation, and their choice shall be respected by the PMOs and government departments, especially in the portfolio measures;

- d. The government officials and project office staff could throw off their airs, lend a hand to farmers, listen to their wishes and requirements, work for their interests instead of making arbitrary decisions and deliver blind commands;
- e. To get more loans and grants;
- f. To implement HFRDP as soon as possible to improve their production and living conditions;
- g. To get information, technical and management services from the PMO and the government departments, so as to help them identify problems and reduce production risks timely;
- h. Government and PMO can provide prompt and effective training on relevant technologies and skills, and venue for training is preferred to be nearby.

## **2) Worries:**

Some farmers were worried that they could not participate in the project. Reimbursement system was applied in the project for loan installments. In other words, the project implementer shall invest in advance in site preparation, seedling, afforestation, tending and management activities. After the evaluation and acceptance, they could receive the loan by reimbursement. Therefore, poor minority farmers were afraid to be excluded from the project due to lack of capital.

Some other farmers who have less labor were worried that the increased labor burden by the project might be unaffordable to them.



## 5. PROJECT IMPACTS

### 5.1 Positive Impacts

**1) Ecological environment improvement.** The HFRDP will largely improve ecological environment and living quality of people, restore the ice-damaged forests and increase forest productivity and quality of forest stand, enhancing the resilience of forests to disasters and pests. By extensive restoration in ice-damaged areas, HFRDP will ensure the function of water reservation, reduce soil erosion, bring back biodiversity, and thus decreases the possibility of natural and ecological disasters.

**2) Forest quality Improvement.** Owing to the recovery of forest, HFRDP will increase the forest volume and improve the forest stand quality in Hunan Province. The project will effectively improve the resilience of forests to natural disaster. It will also ensure the positive economic output from forests.

**3) Biodiversity enrichment.** The HFRDP will effectively construct multifunctional forest shelters for birds, reptiles, amphibians with a forest trinity of arbor, shrub and herb. A natural platform for development of biodiversity can be constructed through effective forest restoration in HFRDP. When the forest vegetation is recovered, there will be obvious increase of wild animals, growth of above and under forest resources, thus to ensure the biodiversity and good natural environment.

**4) Promotion of the development of minorities.** After the implementation of HFRDP, the eco-environment in ethnic minority inhabited areas will be improved, forest resources will be enriched. It will also help conserve water and soil, restore vegetation, and enhance the sustainable development of minorities, thus narrowing the gap and promoting the equality among nationalities.

### 5.2 Negative Impacts

Ethnic Minority groups are mainly engaged in agriculture, forestry and animal husbandry which depend strongly on land, with few other income sources and weak family economic basis. Meanwhile, local resource and environment is the foundation

for their traditional culture. The potential negative impacts might include:

**1) Marginalization.** During the project implementation, social disadvantaged groups such as minorities, women and poor farmers may have little access to project participation due to lack of knowledge and capability, thus they could be marginalized.

2) Risks caused by the difference between their lifestyle and project requirements. The SA found that some minority inhabitants in project area use timber as fuel and building material, especially in less developed area. So there is a high demand for timber or wood by daily life. This, more or less, will be a risk to the ecological objective pursued by HFRDP. However, some inhabitants in project area are unaware of that their lifestyle may threaten the natural ecology, neither are they aware of that ecological optimization should be carried out in their everyday life. This is negative for the achievements and sustainability of the project, but it may not threaten directly the implementation.

### **5.3. Solutions**

**1) To guide the development of diversified economy and under forest economy.**

HFRDP is an ecological construction project, without apparent and direct economic benefit in the short term. Thus, the design and implementation of the project should comply with local livelihood conditions and socio-economic development demand to guide farmers to inter-plant some local herb plants or tea, Chinese chestnut, and walnut and other economic trees that could help them to achieve economic benefits in short term and ecological benefits in the long term. Meanwhile, energy alternatives, processing of agricultural and forestry products and exploitation of ecotourism, and development of various industries shall be arranged by the project to promote economic development and solve the problems of both short and long term income generation for farmers. In this way, when the project achieved its ecological objectives, local farmers could also improve their life, local area could realize sustainable social, economic and cultural development.

Here are some specific recommendations:

- CPO shall be responsible for collecting information about small projects which could be launched under-forest with small investment and promising profits in short term. Currently, fungus cultivation, honeysuckle, radix ophiopogonis, gastrodia elata in high altitude area and chicken raising under forest could be applied.
- CPO shall make some adjustments in tree species and seedling deployment to grow some economic trees such as Chinese chestnut, walnut and sumach in project design.
- The project county government shall coordinate the funds of projects including poverty alleviation, land conversion consolidation, agricultural development and national debts to implement some projects on energy alternatives, processing of agricultural and forestry products and development of ecotourism.

## **2) To provide minority labor force with trainings.**

Trainings for minority labor force should be targeted at improving forest utilization efficiency and multi-business management based on local resource potentials. The main contents of training shall be locally suitable skills including fungus and herb cultivation, forest management, tourist services and so on. Furthermore, appropriate skill trainings shall also be provided for labor migrants to guide reasonable export of labor and effective development. Here are some specific recommendations:

- CPO shall organize trainings on practical technologies for farmers. Currently, training topics suggested are fungus cultivation, honeysuckle, radix ophiopogonis, gastrodia elata in high altitude area and chicken raising under forest.
- The skill training for labor migrants shall be provided by PPO and COP together. Content design, participants, time, trainers and other relevant services shall be coordinated.

## **3) To support and promote forest economic cooperative organization**

The reimbursement principle for financing HFRDP requires project participants to

invest by themselves in advance. However, for the majority of farmers, especially poor farmers, this is a big restriction. So, it is recommended that the project shall be organized in the form of forest cooperative organizations which could be established by whatever number of HHs at voluntary basis. Appropriate guidance shall be provided to coordinate the rich, medium and poor HHs to cooperate together. This will solve the problem of investment capital. Furthermore, as many families have migrant labor, the cooperative organizations could also solve the problem of labor for some families through reasonable allocation of labor.

- There are some successful cases of forest cooperatives with good operation and standardized management in counties (city) such as Ningxiang, Yueyang, Leiyang, Changning, Pingjiang and others. PPO shall coordinate and organize project counties which have not established forest cooperatives to visit and learn from them.

#### **4) To strengthen publicity**

As an ecological construction project, even though HFRDP produces no direct economic benefits temporarily, many potential and expected benefits may not be seen by farmers. For example, through many years of cultivation on precious broad-leaved trees, timbers with long diameters shall be grown which will supply for the renovation of temples, ancestral halls and old houses. Besides, good ecological environment is useful for attracting investments, and it is also necessary for clean water supply and air in the locality. These contents should be publicized to farmers by various ways, such as handouts, booklets, broadcast and TV. Here is a specific suggestion:

- County Forestry Bureau shall edit and print project publicity leaflets and flyers together with the Bureau of Minority and Religious Affairs. These materials shall be widely distributed in the pattern of “one people one flyer” or “one HH one flyer”.

#### **5) To enhance the opportunities for minorities to participate in project decision making**

Farmers provide land resource for HFRDP, so they are both executor and beneficiary of the project. The design of this project should shift from traditional “top-down” way into “bottom-up” way and allow farmers to participate in the whole process of the project, and make decisions by themselves.

- Participatory consultation and planning can best ensure farmers to participate in the project freely and voluntarily. It is also an effective approach to realize their decisions. The timing, procedures and methods that minorities take part in the project should comply with the Participatory Consultation and Planning Guidelines for HFRDP.

#### **6) To reinforce poverty alleviation**

This project mainly pursues ecological and social benefits, but have limited influences on the extent and degree of development for poverty-stricken mountainous areas inhabited by minorities. Governments at all levels in project area shall integrate local poverty alleviation and development projects funds to reinforce the construction and transformation of infrastructures, such as water conservancy, roads, communication and power in the countryside inhabited by minorities, to provide irrigation and drinking water for them, to improve commodity rate of agricultural products. Ecology-friendly technologies shall be introduced to exploit local resource, which could be coordinated with HFRDP to help ethnic minorities get rid of poverty and enhance the project positive impacts and fulfill its objectives.

- Project county governments shall coordinate and combine the funds of projects including poverty alleviation, land conversion consolidation, agricultural development and prevention of rocky desertification, shelter forest belts to improve the infrastructure of water supply, communication and electricity.

## **6. MECHANISM FOR PARTICIPATION**

All levels of governments and the relevant departments in project area have paid particular attention to the minority groups, and take effective measures to ensure that they can gain tangible development through the implementation of HFRDP.

### **6.1 Approaches of Participation**

1) Organizing: Minority people can participate in the project in the forms of the existing production team or villages, or a united form by a number of friends and relatives, or family. All these organizing forms have their social and cultural basis and collaborative experiences, so they are relatively easier for self-management and could give more space for people to express their opinions freely. However, government departments and village committees, when necessary, should give appropriate guidance according to the actual needs of the project to ensure that the structural performance of these organizations could be consistent with the project requirements.

2) Measures: In order to avoid the blind obedience in the project, the design and implementation of the project should take into full account the opinions and wisdom of people. That is to say, the final program should be the combination of three sides of government departments, experts and public opinions, so that the effectiveness of participation can be guaranteed.

### **6.2 Types of Participation**

Farmers could participate in the project in varied forms including individual HH, united HHs with neighbors or relatives, united HHs with land neighbors, villagers' groups, village committee or other economic organizations established by farmers. All these forms of organization and participation are free to take part in the project under the guidance of PMOs at different levels and keep close cooperative relationship among each other.

Since the project participation must be voluntary and autonomous, the PMOs and all government departments and organizations at all levels shall not impose models or approaches of participation, type and amount of funds to farmers of all nationalities

whose independent decision on participation shall be ensured. What's more, the government and the PMOs need to provide information services to protect people's right to know.

As the majority of the project villages are multi-ethnic mixed rural communities, all ethnic groups should be encouraged to participate in the project so as to provide a good social basis. The formation of cross-nationality project working groups should be encouraged, which could further tighten the ethnic ties, rather than damage national or ethnic relations.

### **6.3 Measures for Participation**

The time, process and method for minority farmers to participate in the project shall follow the "Participatory Consultation and Planning Guidelines of HFRDP". The brief matrix for the procedures and methods of PCP is shown in table 6-1.

In the ethnic minority concentrated areas, in addition to the implementation of PCP Guidelines, some other issues shall be further considered:

1) The participation of ethnic minorities shall be in open and transparent ways, their wishes of tree species and modes of forest management shall be respected. The project contracts shall be signed by the participant himself/herself or his/her trustees under the premise of his/her sufficient knowledge about the project. Any contracts arranged by village cadres or signed by village cadres on farmers' behalf shall be prevented.

2) According to the project requirements by WB and the development ideology or regulations of Chinese government, local ethnic minority communities with mountain resources should be included into the project to prevent exclusion created by its remote location, traffic inconvenience, poverty and lack of technology and knowledge.

**Table 6-1 Procedures and methods of PCP**

<b>Procedures</b>	<b>Main tasks</b>	<b>Methods and tools</b>	<b>Outputs</b>	<b>Main participants</b>
Step 1: Introduction and mobilization	<ol style="list-style-type: none"> <li>1. To design and distribute the project brochure</li> <li>2. To introduce the project by various means</li> <li>3. To distribute the project application forms</li> <li>4. To design project participation contracts</li> </ol>	Formats of brochure (shall be provided by PFD); 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, village cadres and villagers
Step 2: Consultation workshops and village meetings	<ol style="list-style-type: none"> <li>1. To introducing project information</li> <li>2. to collect application forms from farmers and group them on the basis of types of the land tenure</li> <li>3. to consult with different types of farmers' 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</li> <li>4. To design on site the project activities</li> <li>5. To consolidate the area to be reforested with what kind of models</li> </ol>	<ol style="list-style-type: none"> <li>1.Small group consultation coordinated by Ct and Tt</li> <li>2. Consultation workshops attended by representatives of different types of farmers' HHs</li> <li>3. field reconnaissance</li> </ol>	<ol style="list-style-type: none"> <li>1.Detailed lists of project participants identified</li> <li>2. Tree species, afforestation models, tending, resource use restrictions and compensation plans agreed by relative farmers' HHs</li> <li>3. Project plots consolidated with farmers HHs</li> </ol>	<ol style="list-style-type: none"> <li>1. as representatives for the project party</li> <li>2. Farmer HHs who contracted collective forest land as project participants party</li> <li>3. Farmers that may be influenced by resource use restrictions</li> <li>4. Township officials and village cadres</li> </ol>
Step 3: Signing the project participation contracts	<ol style="list-style-type: none"> <li>1. To sign contracts with farmers HHs or village committees that will take part in the project</li> <li>2. To announce the list of project participants in villages</li> <li>3. To introduce the project content and other results from consultations</li> </ol>	<ol style="list-style-type: none"> <li>1.Public announcements</li> </ol>	<ol style="list-style-type: none"> <li>1. Project participation contracts signed</li> <li>2. Project information and other consultation results</li> </ol>	<ol style="list-style-type: none"> <li>1.Farmer participants in the project</li> <li>2.Village cadres, as the party for collectively managed project land</li> <li>3. Representatives of the CFBs</li> </ol>
Step 4: signing project management and protection contracts	<ol style="list-style-type: none"> <li>1. To sign contracts with farmers HHs or village committees that will take part in the project</li> </ol>	<ol style="list-style-type: none"> <li>1. Project management and protection contracts that be held by both parties</li> </ol>	<ol style="list-style-type: none"> <li>1. Project contracts signed</li> </ol>	<ol style="list-style-type: none"> <li>1. Farmers, village cadres, or legal representatives of other participants as the party for project land owners</li> <li>2. Representatives of County Forestry Bureaus as the Project Party</li> </ol>



3) The Ethnic Affairs Commission or Ethnic and Religious Affairs Bureau of counties (cities, districts) and prefectures should be involved in the project and play a full role in providing policy consultation, project experiences in ethnic communities and relative knowledge.

4) One experienced official that is familiar with the situation of project area from each corresponding minority county and township shall be selected to join the PMO to provide consultation, communication, supervision and other services.

5) The role of the director of minority villages, old farmers with rich production experiences and indigenous knowledge, and the prestigious and influential farmers in a certain ethnic minority group shall be brought into full play in the project.

6) CPMO and TPMO shall keep regular and close contacts with people in the project area with goal in accordance with the needs of project components and implementation. The meeting with project farmers shall be organized in their villages for the convenience of their participation.

7) Project introduction materials should apply as less technical term as possible, and make the wording easy to be understood, especially for those content relative to farmers' rights, obligations and operating techniques, so that farmers with poor reading capacity could easily understand it.

## **7. ACTION PLAN**

The HFRPD will be initiated when it pass the pre-assessment by WB and is planned to be implemented for a period of six years. To coordinate with the project ecological forest construction, the EMDP includes several aspects of actions. The details are indicated in table 7-1.

The action plan is developed on the basis of wishes and needs proposed by ethnic minority communities and the situation of local development. It could be the effective ways that HFRDP could contribute to the development of ethnic minority communities, with the coordination from local government. For example, regarding the problem of low level of local development, the project designed economic forests in project minority communities which aims at both ecological construction and promotion of farmers' livelihood and community development. Furthermore, the project will also strengthen trainings for minorities to improve their capacity for participation and development, as well as to promote local development together with social services and infrastructure provision by domestic investments.

### **7.1 To Reinforce Project Publicity, Management and Training**

Detailed introduction on the project information including objectives, funding sources, responsibilities and obligations of participants, input from and output for farmers, risks and social safeguards and so on shall be further publicized to local residents in project area. Before the implementation of the project, farmers involved in whatever ways should sign contracts with the project. The contract should include the afforestation sites, areas, tree species, duration, loan amount, duties and obligations of the beneficiary, income distribution and risk provisions. During implementation of the project, technical training courses should be organized according to the designed project activities by CFB and TFS on topics including task design, forest clearing, site preparation, nursery stock allocation, seedling, nursery tending, tending and thinning as well as other technical services throughout the whole process. In order to embody the project principle of protecting minority cultures and improve the effectiveness of publicity and training, all project activities should use the local minority language as far as possible, respect ethnic minority customs, act in whatever forms loved by local

people, and make efforts to train minority backbone personnel.

## **7.2 To Improve the Project Management System**

A Project Management Board (PMB) consisted by county heads and directors from bureaus of financial management, development and planning, forestry, agriculture, water conservancy, education, poverty alleviation, ethnic affairs and so on in each level of government in project area. The PMB shall be responsible for organizing the project implementation and coordinate the HFRDP to synchronize with projects of infrastructure construction, poverty alleviation and development, thus to reduce project cost and increase the project effectiveness. What's more, to reflect that the project is concerned about ethnic minorities, the Ethnic Affairs Commission at all levels shall establish a complaint mechanism for farmer participants in the project to collect their complaints and recommendations and report to the PMB. A social supervision system shall also be established.

## **7.3 To Ensure the Participation of Minorities**

The wishes of minorities shall be considered in the selection of tree species and forest management models. The project contracts shall be signed by the participant himself/herself or his/her trustees under the premise of his/her sufficient knowledge about the project. Any contracts arranged by village cadres or signed by village cadres on famers' behalf shall be prevented. The PMOs and PMBs at all levels shall strengthen the supervision in two aspects: one is that remote and poor minority communities shall be given priorities for the selection of project sites; the other is that the interests of ethnic minorities shall be protected in the distribution of project benefits.

## **7.4 To Alleviate the Negative Impacts**

During the implementation stage, the project shall take into account local social and economic development needs to allow farmers to utilize the under forest space for small projects with short-term benefits, such as fungus and herb cultivation, chicken raising and so on. Some economic tree species like chestnuts and walnuts shall be allocated, depending on local site conditions and ecological forest management regulations.

### **7.5 To Reinforce Poverty Alleviation**

Since HFRDP is mainly aimed at ecological benefits, it has limited impacts upon the local development of ethnic minority communities in mountainous area. Therefore, governments of all levels in project area should integrate and coordinate well the funds of HFRDP and local poverty alleviation projects to promote the poverty alleviation for minorities, and to enlarge the positive effects of HFRDP and fulfill its aims.

**Table 7-1 Action Plan of EMDP**

No.	Activity	Objects and contents	No. of townships	No. of villages	Objectives	Scale	Source and amount of fund		Time of implementation	Indicators and methods for monitoring
							Amount (million Yuan)	Sources		
1	Economic forest plantation	1. To plant economic trees such as chestnut or walnut in all project townships in Yuanling County	4	11	To improve farmers' income in project area	100 ha.	1.5	HFRDP	Throughout the project period	The number and process of projects (go synchronously with annual evaluation and acceptance)
		2. To plant economic trees such as citrus in all project townships in Mayang County	8	30		300 ha.	4.5	HFRDP		
		3. To plant economic trees such as citrus in all project townships in Luxi County	10	30		200 ha.	3.0	HFRDP		
		4. To plant economic trees such as oil-tea camellia or tea in all project townships in Rucheng County	1	7		30 ha.	0.45	HFRDP		
		5. To plant economic trees such as oil-tea camellia or tea in all project townships in Changning City	1	12		50 ha.	0.75	HFRDP		
2	Ecological forest plantation	1. To plant mixed forests with models of coniferous and broadleaved species, coniferous and precious broadleaved species; and to rehabilitate coniferous and broadleaved mixed forests; to regenerate natural forests through physical treatments in minority communities in Yuanling County	4	11	To improve the ecological environment and restore the	6.7ha	8.04	HFRDP	Throughout the project period	The number and process of projects (go synchronously with annual evaluation and acceptance)

No.	Activity	Objects and contents	No. of townships	No. of villages	Objectives	Scale	Source and amount of fund		Time of implementation	Indicators and methods for monitoring
							Amount (million Yuan)	Sources		
					damaged forests					
		2. To plant mixed forests with models of coniferous and broadleaved species, coniferous and precious broadleaved species; and to rehabilitate coniferous and broadleaved mixed forests; to regenerate natural forests through physical treatments in minority communities in Mayang County	8	30		20.4ha	24.48	HFRDP		
		3. To plant coniferous and broadleaved mixed forests,; and to rehabilitate coniferous and broadleaved mixed forests; to regenerate natural forests through physical treatments in minority communities in Luxi County	10	30		19.21ha	23.052	HFRDP		
		4. To plant coniferous and broadleaved mixed forests,; and to rehabilitate coniferous and broadleaved mixed forests; to regenerate natural forests through physical treatments in Lingxiu Yao Minority Township in Luxi County	1	7		2.4ha	2.88	HFRDP		
		5. To plant mixed forests with models of coniferous and broadleaved species, coniferous and precious broadleaved species; and to rehabilitate coniferous and	1	12		3.2ha	3.84	HFRDP		

No.	Activity	Objects and contents		No. of townships	No. of villages	Objectives	Scale	Source and amount of fund		Time of implementation	Indicators and methods for monitoring
								Amount (million Yuan)	Sources		
		broadleaved mixed forests in Tashan Yao Minority Township in Changning City									
3	Training on practical technologies on seedling materials and planting techniques	In Yuanling County			168*	Ensure the feasibility of plans and the rationality of loans utilization	96p/d	0.0161	HFRDP	2013~2016	Indicator: number of trainees Method: typical sample survey for the annual evaluation and acceptance
		In Mayang County			1297		96 p/d	0.1245	HFRDP	2013~2016	
		In Luxi County			429		96 p/d	0.0412	HFRDP	2013~2016	
		In Rucheng County			83		20 p/d	0.0017	HFRDP	2013~2016	
		In Changning City			131		30 p/d	0.0039	HFRDP	2013~2016	
		Total			2108			0.1874			
4	Local supportive measures	Yuanling County	Rural drinking water program	4		To improve income and living standards in project area	4 townships	3.0	Local finances	2012	Governments in project area shall be responsible for the monitoring. The CPMOs shall communicate with government organizations to supervise that the social projects could be implemented in the project area of HFRDP.
		Mayang county	Rural road hardening program	8			8 townships	25.5		2012~2013	
			Nutritious meal plan for students in poverty-stricken areas	8			8 townships	9.05 /year		2013~2016	
			Skills training for surplus rural labor to migrate	8	30		8 townships	6.4		2013~2016	
		Luxi county	Consolidation project for land conversion	10	30		10 townships	2.5		2012~2017	

\* In section 3, the column of “number of villages” change into “number of trainees”

No.	Activity	Objects and contents		No. of townships	No. of villages	Objectives	Scale	Source and amount of fund		Time of implementation	Indicators and methods for monitoring			
								Amount (million Yuan)	Sources					
5			Rural drinking water program	1			1 township			2012				
			Study grants for minority students	10	30		10 townships	0.4 /year						
		Rucheng county	Qualified school construction in Lingxiu Yao Minority Township	1				2.58		2012				
			Cement road construction in Dayuan Village	1	1			1.3		2012				
		Changning city	Smooth traffic program	1	1			0.5		2013~2015				
			Border trade market development in Tasha Township	1			1	0.45		2013				
		Social security system	Yuanling County		4		11	Basic livelihood of the destitute population in Security Project Areas		840 Persons		0.0503 /month	Local finances	2012~2017
			Mayang County		8		30			6485 Persons		0.383 /month		2012~2017
	Luxi County		10	30	2440 Persons	0.122 /month	2012~2017							
	Rucheng County		1	7	415 Persons	0.0208 /month	2012~2017							
	Changning City		1	12	655 persons	0.0469 /month	2012~2017							



## **8. MECHANISM FOR GRIEVANCE**

The HFRDP will establish a convenient, open and efficient appeal mechanism, which will enable the affected people to lodge a complaint whenever they have any question about the EMDP, and to better maintain the benefit of the affected ethnic minorities.

### **8.1 Agency to Accept Complaints**

A complaint accepting working team will be established. A telephone line will be open to accept consultation and complaint of the public. The team consists of 5 members, including 1 from the exterior monitoring agency, 2 from the PMOs and 2 from implementation entities of the action plan. A team leader shall be selected from them.

### **8.2 Procedures of Complaint**

#### **Step 1:**

If the project area residents or other target groups are discontent of EMDP, they can make an oral or written complaint to the community working team. If the complaint is an oral one, the work team should process it and then do some written records for it. Generally speaking, the reasonable requests will be solved in two weeks after being accepted.

#### **Step 2:**

When the complainants received the solution provided by the working team, if they are not satisfied with it, they can lodge their complaints to the CPMO. The CPMO shall make their decisions in two weeks.

#### **Step 3:**

When the complainants received the decision from the CPMO, if they are still not satisfied with it, they can make complaints to the PPMO or to civil courts according to the Civil Procedure Law.

The above procedures of complaints will be informed to all the residents in project area through workshops and other ways to enable them to fully understand their rights

to make complaints. Meanwhile, media tools shall be used to strengthen the publicity. Furthermore, opinions and recommendations on the EMDP shall be collected and analyzed by governments at all levels. The complaint service is free.

### **8.3 Feedback Mechanism for Complaints**

The Complaint Feedback Mechanism is established by the PMO as an internal monitoring mechanism in the process of complaints. It includes a system of standardized recording, tracing and regular reporting.

Standardized recording is the basis of information collection, classification and analysis. The main content of to be recorded includes basic information of the complainant, the complaint, basic information of the replier and the inspection condition.

When the complaints covers a lot of issues that cannot be solved by the working team alone, it would be entrusted to corresponding professionals or agencies to make replies. Such entrustments will need tracings to the complaint processing to make sure that complainants can get a reply within a given time.

Reporting is the last step to achieve the feedback. Actually, the tracing procedure has basically achieved the information feedback to the project owner and the implementation entity. But this kind feedback is only for each single complaint. Therefore, it is necessary to analyze and report on all the complaints that happened in a certain period of time. The reporting shall cover the processing situation of the no-reply complaint in the last period, the main issues in the complaints, the suggested processing method, measures to rectify and reform and so on. These contents can form a separate report or be reflected in the timely internal monitoring report.

## **9. MONITORING AND EVALUATION**

We have put forward some suggestions on the monitoring and evaluation for HFRDP in SA report which are also applicable to minority communities. However, there are some specific development projects for ethnic minority communities in EMDP which are also required to be monitored and evaluated to ensure its good implementation. Based on the components and requests of EMDP, progress and impact monitoring shall be carried out for it.

### **9.1 Progress Statistical Monitoring**

#### **9.1.1 Key Indicators**

- The number and proportion of minority community in all project areas;
- The number and proportion of contracts signed with minority households;
- The area and proportion of land allocated to minority households;
- The number and proportion of minority farmers participants in trainings;
- The area and proportion of economic forest.

#### **9.1.2 Methods**

The PPMO and CPMOs shall do statistics, monitor and evaluate the various components of the project on an annual basis.

#### **9.1.3 Financing**

The cost of the monitoring is 150,000 Yuan which will be covered in the budget of HFRDP.

### **9.2 Impact Monitoring**

#### **9.2.1 Key Indicators**

- The equal right of participation for minorities (the number of minority participants, the amount of the loans obtained, etc.);
- The language and cultural right of minorities (the lineage of minority language; the maintenance of traditional customs);
- Specific measures in EMDP adopted by local PMOs and their impacts (the condition of forest restoration and improvement of forest stand; the economic

situation of farmers HHs and so on);

- The attitude, opinions of and advices by minorities on these measures;
- The attitude, opinions of and advices by target groups on these measures;
- The mechanism for monitoring and evaluation on EMDP and its effectiveness (the composition and operation of the monitoring organization)

### **9.2.2 Methods**

The PPMO will organize SA experts, ethnologists or anthropologists to carry out field investigation in project area for the mid-term (the 3<sup>rd</sup> year) and final (the 6<sup>th</sup> year) monitoring and evaluation.

### **9.2.3 Financing**

The monitoring will cost 150,000 Yuan which will be covered in the budget of HFRDP.

## Appendix I

### Records of Workshops

Time (d/m)	Place	Participants	Main content	Conversation results
p.m., 10/08/2011	Meeting room in Yuanling County Government building	Officials from the bureaus and commissions of forestry, finance, development and planning, agriculture, water conservancy, land resource, poverty alleviation, environmental protection, education, culture, Women's Federation, ethnic affairs, and relevant township officials	1. Project introduction 2. suggestions collection	Yuanling County has carried out the WB Loan Forestry Development Project in Poverty-stricken Areas from which rich experiences and a social basis have been accumulated. In addition, the County Government attaches great importance to HFRDP, and it has held several meetings for coordination and organization. HFRFP is highly feasible to be implemented in Yuaning and local government departments are willing to organize and cooperate with it and provide supports. Taking all these into consideration, the project is feasible here. In the meantime, officials of the Finance Bureau have proposed that the use and regulatory approach of loan funds shall be further clarified. Officials of Forestry Bureau suggested that there shall be a fixed number of growth years and timber diameter standard for selective cutting. Water Conservancy Bureau officials emphasized that the project should guarantee the quality of implementation.
a.m., 11/08/2011	Yangjia Villiage in Eryou Miao Township in Yuanling Country	Village cadres and farmers	1. project introduction 2. publicity of project 3. suggestions collection	The participants regarded HFRDP as a good project for ecological environment improvements, and were willing to participate in it. They also mentioned that they have afforested several times with citrus, gall, turmeric and other project development, but all of them did not benefit much due to insufficient investment and bad management in the post-project period. So they expected for appropriate funding in post-project period to strengthen forest management to achieve good benefits.
p.m., 11/08/2011	Liangchaxi Villiage in Eryou Miao Township in Yuanling Country	Village cadres and farmers	1. project introduction 2. publicity of project 3. suggestions collection	The participants regarded HFRDP as a good project for ecological environment improvements, and were willing to participate in it. However, they were worried about if the funds could be installed in time and would like to know the specific standard for afforestation funding. In addition, they hoped to get labor payments from the project.

Time (d/m)	Place	Participants	Main content	Conversation results
a.m., 12/08/2011	Meeting room in Luxi County Government building	Officials from the bureaus and commissions of forestry, finance, development and planning, agriculture, water conservancy, land resource, poverty alleviation, environmental protection, education, culture, Women's Federation, ethnic affairs, and relevant township officials	1. Project introduction 2. suggestions collection	The participants thought that HFRDP is very timely because Luxi County is a hilly area with serious soil erosion and geological disasters, but the ecological construction task is arduous for funding shortages. They will organize well the implementation of the project and provide active support. Meanwhile, officials of Development and Reform Bureau and the Bureau of Finance proposed that HFRDP shall not require for the counterpart funding because of economic underdevelopment and limited financial resources. Forestry Bureau officials pointed out that indigenous tree species which are easy to adapt and grow should be adopted as far as possible and those species which inhibit the growth of the existing trees cannot be introduced. Water Conservancy Bureau officials expected the project can be integrated with the protection of water sources and shall cover the water-source locations as the key project sites. Ethnic Affairs Commission officials stressed to guarantee the equal participation of minorities in the project, and to give minorities priority in project site selection and funding allocation.
p.m., 12/08/2011	Yantoushan Village in Pushi Township in Luxi Country	Village cadres and farmers	1. project introduction 2. publicity of project 3. suggestions collection	The participants thought HFRDP is helpful for soil erosion prevention and construction of beautiful and safe ecological home. So, they are willing participate in the project. Meanwhile, they argued that citrus is the local pillar industry which has good economic return and ecological benefits for it is evergreen all year round. As a result, they hope to plant a certain number of economic tree species such as citrus to increase income.
a.m., 13/08/2011	Bajiaoping Village in Liangjiatan Township in Luxi Country	Village cadres and farmers	1. project introduction 2. publicity of project 3. suggestions collection	The participants thought HFRDP bring about good ecological benefit and they were willing to participate in it. Meanwhile, they expected that enough trainings could be provide for them because of their low education level and lacking of technology and management experience required by the project.
a.m., 14/08/2011	Luojiachong Village, Wenchangge Township in Mayang County	Village cadres and farmers	1. project introduction 2. publicity of	The participants thought HFRDP can protect and improve the environment. In particular, the water source could be well protected and improved for the mineral water plant in the village. They were all

Time (d/m)	Place	Participants	Main content	Conversation results
			project 3. suggestions collection	willing to participate in the project. In addition, they hoped the standard for ecological forest subsidies shall be increased to generate more income for them.
p.m., 14/08/2011	Mashantan Village in Yaoshi Township in Mayang County	Village cadres and farmers	1. project introduction 2. publicity of project 3. suggestions collection	The participants knew that HFRDP can bring about good ecological benefit, so they were willing to participate in it. Meanwhile, they hoped to plant a certain number of economic tree and requested for specific field guidance on technologies and management.
a.m., 15/08/2011	Meeting room in Mayang County Government building	Officials from the bureaus and commissions of forestry, finance, development and planning, agriculture, water conservancy, land resource, poverty alleviation, environmental protection, education, culture, Women's Federation, ethnic affairs, and relevant township officials	1. Project introduction 2. suggestions collection	The participants thought that HFRDP is a good project because it can conserve soil and water and improve ecology to create a favorable environment for economic and social developments. Therefore, they are willing to organize well the implementation and provide extensive supports. Meanwhile, Forestry Bureau officials emphasized that project planning shall pay attention to the concentration of afforest sites to achieve scale production and management, and adopt indigenous coniferous and broad-leaved species and economic species like citrus. Water Conservancy Bureau officials stressed to give priority to areas of drinking water sources, reservoirs and along the roads. Women's Federation officials pointed out that since most of the male labor migrated out and women were left behind in rural areas, it's necessary to mobilize women to participate and strengthen trainings for them on technologies and management.
p.m., 19/08/2011	Meeting room in Rucheng CFB building	Officials from the bureaus and commissions of forestry, finance, development and planning, agriculture, water conservancy, land resource, poverty alleviation, environmental protection, education, culture, Women's Federation, ethnic affairs, and relevant township	1. Project introduction 2. suggestions collection	The participants thought that HFRDP has great importance to local ecological construction as Rucheng County is a hilly area, so they were willing to organize well the implementation and provide active supports. At the same time, Forestry Bureau officials hoped the project to be initiated as early as possible, so the benefits could come earlier. Poverty Alleviation Office officials proposed to provide guidance for a diversified economy to increase farmers' income. Development and Reform Bureau officials stressed to strengthen technical guidance and proposed that forest cooperative could be the main management model. Cultural Affairs Bureau officials pointed

Time (d/m)	Place	Participants	Main content	Conversation results
		officials		out that the implementation of the project shall protect well the cultural relics and prevent potential damages.
a.m., 20/08/2011	Dongshan Village in Lingxiu Yao Minority Township in Rucheng County	Village cadres and farmers	1. project introduction 2. publicity of project 3. suggestions collection	The participants thought that HFRDP came in good time as the 2008 ice storm caused severe damage on local forest resources and require urgent restoration. They were willing to participate in the project. At same time, they intended to organize forest cooperatives for forest management. Indigenous tree species were recommended, as well as certain number of economic tree species such as fruit and tea to increase revenue.
p.m., 20/08/2011	Xiangling Village in Lingxiu Yao Minority Township in Rucheng County	Village cadres and farmers	1. project introduction 2. publicity of project 3. suggestions collection	The participants reflected that their village experienced serious damage from the 2008 ice storm, so HFRDP will be very helpful to restore the forests and improve ecological environment. So they were very willing to participate in the project. They thought even though HFRDP might impact upon the ginger production in the village, it is not that critical and can be resolved by crop rotation in dry lands. They hope that the forests plantations from the project could be classified as ecological public-benefit forests and they can get some economic compensations.
a.m., 22/08/2011	Songta Village in Tashan Township in Changning City	Village cadres and farmers	1. project introduction 2. publicity of project 3. suggestions collection	The participants thought that HFRDP was a good project for its positive ecological benefits and they were willing to participate in it. They pointed out there are more hilly areas than arable lands in the village so that they dependent strongly on forestry. Therefore, they expect to grow a certain number of tea and other economic trees to increase revenue.
p.m., 22/08/2011	Puzhu Village in Tashan Township in Changning City	Village cadres and farmers	1. project introduction 2. publicity of project 3. suggestions collection	The participants thought that HFRDP would help restore the damaged forests and improve the eco-environment, so they were willing to participate in it. They hope that the forests plantations from the project could be classified as ecological public-benefit forests and they can get some economic compensations.
a.m., 23/08/2011	Meeting room in Changning CFB building	Officials from the bureaus and commissions of forestry, finance, development and	1. Project introduction 2. suggestions	The participants reflected that they have experienced serious damage from the 2008 ice storm, and HFRDP would be very helpful to restore the forests and improve ecological environment, so they expressed



Time (d/m)	Place	Participants	Main content	Conversation results
		<p>planning, agriculture, water conservancy, land resource, poverty alleviation, environmental protection, education, culture, Women's Federation, ethnic affairs, and relevant township officials</p>	<p>collection</p>	<p>their willingness to well organize the project implementation and provide active supports for it. Forestry Bureau officials hoped the project can be initiated as soon as possible and give them some priority on funding. Moreover, indigenous tree species should be the dominate species for the project, and a number of rare and ornamental tree species to accommodate tourism development needs shall be selected. Finance Bureau officials proposed to reinforce the financial management and their coordination with the CFB, and to improve the reimbursement procedures. Poverty Alleviation Office officials said that since HFRDP gives priority to ecological benefits, it will, in a short term, has some negative impacts on farmers who rely on forestry for income. Therefore, some countermeasures should be taken, such as increasing the standard of project labor payment, including these farmers into the social security system, and strengthening poverty alleviation.</p>

## Appendix II

### Records of Individual Interviews

(Code for education level: 1=Primary school education; 2=Junior middle school education; 3=High school education)

Name	Sex	Age	Nationality	Education level	Place of residence			Time of interview	Is he/she willing to participate in the HFRDP?	Remarks
					Villagers' Group, Village	Township	County (city)			
Qu Changwu	M	46	Miao	3	Qujia Group, Yangjia Village	Eryou Miao Township	Yuanling County	11/08/2011	Worried the project will influence the land circulation	Party secretary of the village
Qu Yonglin	M	48	Miao	2	Qujia Group, Yangjia Village			11/08/2011	Yes.	
Qu Changfu	M	59	Miao	1	Qujia Group, Yangjia Village			11/08/2011	Yes.	
Xiang Houli	M	45	Miao	2	Jiujia Group, Yangjia Village			11/08/2011	Yes.	
Yang Dailong	F	62	Miao	1	Jiujia Group, Yangjia Village			11/08/2011	Yes.	
Su Yunlin	M	50	Miao	3	Group 2, Liangchaxi Village			11/08/2011	Yes.	Director of village committee
Qu Zhongsheng	M	48	Miao	1	Group 4, Liangchaxi Village			11/08/2011	Yes.	
Li Guanmei	F	48	Miao	2	Group 4, Liangchaxi Village			11/08/2011	Yes.	
Su Yuanshuang	M	60	Miao	1	Group 3, Liangchaxi Village			11/08/2011	Yes.	
Su Jianshe	F	48	Miao	1	Group 5, Liangchaxi Village			11/08/2011	Yes.	
Zheng Fusheng	M	47	Miao	2	Group 6, Yantoushan Village	Pushi Township	Luxi County	12/08/2011	Yes.	
Zheng Guanggui	M	58	Miao	2	Group 6, Yantoushan Village			12/08/2011	Yes.	
Yang Mingju	F	39	Miao	2	Group 4, Yantoushan Village			12/08/2011	Yes.	
Shi Tiemei	F	40	Miao	1	Group 4, Yantoushan Village			12/08/2011	Yes.	
Shi Biying	F	53	Miao	1	Group 5, Yantoushan Village			12/08/2011	Yes.	

Name	Sex	Age	Nationality	Education level	Place of residence			Time of interview	Is he/she willing to participate in the HFRDP?	Remarks
					Villagers' Group, Village	Township	County (city)			
Zhang Weilin	M	40	Miao	3	Group 3, Bajiaoping Village	Liangjiatan Township		13/08/2011	Yes.	Party secretary of the village
Zheng Qiusheng	M	43	Miao	1	Group 2, Bajiaoping Village			13/08/2011	Yes.	
Su Shuixiang	F	41	Miao	1	Group 1, Bajiaoping Village			13/08/2011	Hesitating, worried about counterpart funding required for her poor family	
Qin Kaikuan	M	29	Miao	3	Group 1, Bajiaoping Village			13/08/2011	Yes.	
Qin Guijin	F	42	Miao	1	Group 2, Bajiaoping Village			13/08/2011	Yes.	
Teng Shuhai	M	55	Miao	2	Group 3, Luojiachong Village	Wenchangge Township	Mayang Country	14/08/2011	Yes.	Party secretary of the village
Ren Yunqiao	M	55	Miao	1	Group 3, Luojiachong Village			14/08/2011	Yes.	
Pan Xiaoqun	M	43	Miao	2	Group 2, Luojiachong Village			14/08/2011	Yes.	
Long Meimei	F	38	Miao	1	Group 2, Luojiachong Village			14/08/2011	Yes.	
Xiang Ping	F	38	Miao	1	Group 1, Luojiachong Village			14/08/2011	Yes, but all the labor in her family migrated	
Huang Zegai	M	65	Miao	1	Group 3, Mashantan Village	Yaoshi Township		14/08/2011	Yes.	
Shu Youju	F	43	Miao	2	Group 3, Mashantan Village			14/08/2011	Yes, hope special project	The director of Village Women's Union

Name	Sex	Age	Nation ality	Education level	Place of residence			Time of interview	Is he/she willing to participate in the HFRDP?	Remarks
					Villagers' Group, Village	Township	County (city)			
									could be designed for women.	
Zhang Ciliang	M	45	Miao	2	Group 4, Mashantan Village			14/08/2011	Yes.	
Luo Xiaoping	M	46	Miao	1	Group 5, Mashantan Village			14/08/2011	Yes.	
Tang Jinjun	M	36	Miao	2	Group 2, Mashantan Village			14/08/2011	Yes.	
Xu Qiannu	M	58	Yao	2	Dongshanqiao Group, Dongshan Village	Lingxiu Township	Rucheng Country	20/08/2011	Yes, and expect to plant some economic forests	Party secretary of the village
Deng Goubao	M	56	Yao	1				20/08/2011	Yes.	
Xu Xunming	M	55	Yao	1				20/08/2011	Yes.	
Xu Songri	M	53	Yao	1	Shangshui Group, Dongshan Village			20/08/2011	Yes.	
Xu Genliang	M	42	Yao	2	Yuandun Group, Dongshan Village			20/08/2011	Yes.	
Deng Jinhua	F	45	Yao	1	Songshuxia Group, Dongshan Village			20/08/2011	Yes.	
Tan Faliang	M	40	Yao	2	Tiangeng Group, Xiangling village			20/08/2011	Yes.	
Deng Xiangcai	M	41	Yao	1				20/08/2011	Yes.	
Chen Manping	M	38	Yao	2	Liangshuikou Group,			20/08/2011	Yes.	

Name	Sex	Age	Nationality	Education level	Place of residence			Time of interview	Is he/she willing to participate in the HFRDP?	Remarks
					Villagers' Group, Village	Township	County (city)			
					Xiangling village					
Zhu Xiaozhen	F	52	Yao	1	The Lingtou Group, Xiangling village, Lingxiu Village, Ruxian Country.			20/08/2011	Yes.	
Xu Ping'e	F	36	Yao	2	The Shilongpo Group, Xiangling village, Lingxiu Village, Ruxian Country.			20/08/2011	Yes.	
Pan Wenhua	M	43	Yao	1	Mazhuping Group, Songta Village	Tashan Township	Changning City	22/08/2011	Yes.	
Pan Zhihong	F	48	Yao	1				22/08/2011	Yes.	
Zhao Yuanxiu	F	44	Yao	1				22/08/2011	Yes.	
Pan Wensheng	M	59	Yao	2	Shangsongyuan Group, Songta Village			22/08/2011	Yes.	
Pan Wengui	M	42	Yao	3	Xialing Group, Puzhu Village			22/08/2011	Yes.	Party secretary of the village
Pan Zhubao	M	48	Yao	1				22/08/2011	Yes.	
Pan Fa	M	45	Yao	1	Shazizhao Group, Songta Village			22/08/2011	Yes.	
Pan Sanmei	F	43	Yao	1	Wanguangyuan Group, Puzhu Village			22/08/2011	Yes.	
Pan Fuying	F	58	Yao	1				22/08/2011	Yes.	
Pan Chunsheng	M	52	Yao	2	Dazhu Group, Puzhu Village			22/08/2011	Yes.	

## Appendix III

### Questionnaire for Government Officials

Dear friends,

To accelerate the restoration for forests damaged by the ice storm in 2008, Hunan Province decided to implement Hunan Forest Restoration and Development Project with loans from World Bank. This investigation is conducted to meet the requirements by WB for formulating Ethnic Minority Development Plan. Please choose your own answers by ticking (“√”) them. When you come across questions with \_\_\_\_ blanks, please fill in them directly.

Thank you for your supports and cooperation!

Social Assessment Team of HFRDP

August 4<sup>th</sup>, 2011

1. Your gender:

(1) Male (2) Female

2. Your age: \_\_\_\_ years old

3. Your marital state:

(1) Married (2) Single (3) Divorce (4) Widowed

4. Education level:

(1) Primary school (2) Junior high school (3) High school (technical secondary school) (4) College (5) University and above

5. Nationality:

(1) Han (2) Miao (3) Tujia (4) Yao (5) Dong (6) Hui (7) Uyghur (8) others \_\_\_\_

6. What do you think is the level of local economic situation?

(1) Poor (2) Sufficient food and clothing

(3) Moderate prosperous (4) Well-off

7. How do you think of the local ecological environment?

(1) Good (2) Bad (3) Average

8. Is there serious local soil erosion?

- (1) Yes (2) No
9. Were local forest damaged severely by the 2008 ice storm?  
(1) Yes (2) No
10. Do you think it necessary to restore the damaged forests?  
(1) Yes (2) No
11. Have you ever heard that Hunan Province has requested WB loan for the restoration of the 2008 ice-damaged forests?  
(1) Yes (2) No
12. If you have known, in which way you got the information?  
(1) Files (2) meetings (3) radio or television or newspapers (4) flyers (5) bulletins (6) relatives and friends (7) Others\_\_\_\_\_
13. Which of the following information do you know about HFRDP? (Multiple choices allowed)  
(1) Time of implementation (2) Requirements of project sites (3) Project objectives (4) Amount of loan (5) Modes of the implementation (6) Others \_\_\_\_\_
14. What benefits will the project bring to the local area? (Multiple choices allowed)  
(1) Forest restoration (2) Ecological environment Improvement (3) Employment increase (4) Ethnic minority development promotion (5) Gender equality improvement (6) others \_\_\_\_\_
15. Do you think HFRDP has any negative impacts?  
(1) Yes (2) No (3) Maybe (4) I don't know.
16. If yes, what are the main negative impacts? (Multiple choices allowed)  
(1) To reduce forestry income (2) To impede the development of other industries (3) To slow down poverty alleviation (4) To change the ethnic minority traditional culture (5) To discourage women's development (6) others\_\_\_\_\_
17. Is there plenty land suitable for afforestation?  
(1) Yes (2) No
18. If needed, are you willing to provide services for this project?  
(1) Yes (2) No
19. Do you think it is acceptable to prohibit the forest land from circulating and commercial development for the implementation of this project?  
(1) Yes (2) No
20. Which of the management model do you think is better?  
(1) Individual operation (2) United forest farm

(3) Forest cooperatives (4) others

21. What kind of afforestation do you think is more appropriate?

(1) Mixed coniferous-broadleaved forest (2) Mixed coniferous forest (3) Mixed broad-leaved forest (4) Pure coniferous forest (5) Pure broad-leaved forest

22. Which do you think is better for the project, indigenous tree species or exotic tree species?

(1) Indigenous tree species (2) Exotic tree species (3) Both

23. What do you think the project needs most in addition to funds?

(1) Labor (2) Technical guidance (3) Management experiences (4) Others

24. Do you have any suggestions on the implementation of this project?

Place of interview:

Interviewer:

Time of interview:

Respondent name:

Work unit:

Current Position:

Tel:



## Appendix IV

### Questionnaire for Farmers

Dear friends,

To accelerate the restoration for forests damaged by the ice storm in 2008, Hunan Province decided to implement Hunan Forest Restoration and Development Project with loans from World Bank. This investigation is conducted to meet the requirements by WB for formulating Ethnic Minority Development Plan. Please choose your own answers by ticking (“√”) them. When you come across questions with \_\_\_\_ blanks, please fill in them directly.

Thank you for your supports and cooperation!

Social Assessment Team of HFRDP

August 4<sup>th</sup>, 2011

1. Your gender:

(1) Male (2) Female

2. Your age: \_\_\_\_ years old

3. Your marital state:

(1) married (2) unmarried (3) divorced (4) widow or widower

4. Education level:

(1) illiteracy (2) primary school (3) junior high school (4) high school (technical secondary school) (5) college and above

5. Your position in your village:

(1) cadre (2) group leader (3) common villager

6. Your nationality:

(1) Han (2) Miao (3) Tujia (4) Yao (5) Dong (6) Hui (7) Uyghur (8) others \_\_\_\_

7. Your religious belief:

(1) Buddhism (2) Taoism (3) Christian (4) Islamism (5) local folk religion

(6) others \_\_\_\_ (7) none

8. There are \_\_\_\_ persons, \_\_\_\_ labors in your family, \_\_\_\_ labor migrated out.

9. The area of your arable land is \_\_\_\_ *mu*, including \_\_\_\_ *mu* of paddy field and \_\_\_\_

*mu* of dry land.

10. The area of your forestland is \_\_\_\_ *mu*, including \_\_\_\_ *mu* of barren hills.
11. There are \_\_\_\_ heads of livestock (pig, cattle, sheep, etc.) in your home.
12. There are \_\_\_\_ fowls (chicken, duck, goose, etc.) in your home.
13. The total income of your family in last year is about \_\_\_\_\_ Yuan.
14. The income sources of your home includes (multiple choices allowed):  
(1) agriculture (2) animal husbandry (3) forestry (4) non-agricultural business  
(5) labor migration (6) others \_\_\_\_\_
15. The primary income source of your family is:  
(1) agriculture (2) animal husbandry (3) forestry (4) non-agricultural business  
(5) labor migration (6) others \_\_\_\_\_
16. The total daily expense of your family in last year is about \_\_\_\_\_ Yuan.
17. The top three daily expenses of your family are respectively:\_\_\_\_,\_\_\_\_,\_\_\_\_  
(1) food (2) clothing (3) production cost (4) transportation (5) education  
(6) medical care (7) supporting for the elderly (8) social interaction  
(9) other living expenses such as furniture and household appliance (10) others \_\_\_\_\_
18. The economic situation of your home is:  
(1) impoverished (2) food and clothing assured (3) fairly comfortable (4) wealthy
19. Who does more housework in your family?  
(1) husband (2) wife (3) the same
20. Who does more farm work in your family?  
(1) husband (2) wife (3) the same
21. Who will decide the issues of everyday life in your family?  
(1) husband (2) wife (3) decide together with discussion
22. Who will decide the production issue in your family?  
(1) husband (2) wife (3) decide together with discussion
23. Who manages and operates the forest of your family?  
(1) husband (2) wife (3) both
24. Who attend more social activities in your family?  
(1) husband (2) wife (3) both
25. Who voted in the village election?  
(1) husband (2) wife (3) both (4) others \_\_\_\_\_
26. What do you use as fuel?  
(1) electricity (2) coal (3) liquid gas (4) biogas (5) firewood

27. What do you think about local ecological environment?  
 (1) good (2) bad (3) common
28. How is local soil erosion situation?  
 (1) serious (2) not serious
29. Did the 2008 ice storm damaged seriously the forests of your family?  
 (1) Yes (2) No
30. Do you think the forests that damaged needs afforestation for restoration?  
 (1) Yes (2) No
31. Have you ever heard that Hunan Province has requested WB loan for the restoration of the 2008 ice-damaged forests?  
 (1) Yes (2) No
32. If you have known, in which way you got the information?  
 (1) Files (2) meetings (3) radio or television or newspapers (4) flyers (5) bulletins (6) relatives and friends (7) Others\_\_\_\_\_
33. Which of the following information do you know about HFRDP? (Multiple choices allowed)  
 (1) Time of implementation (2) Requirements of project sites (3) Project objectives  
 (4) Amount of loan (5) Modes of the implementation (6) Others \_\_\_\_\_
34. What benefits will the project bring to the local area? (Multiple choices allowed)  
 (1) Forest restoration (2) Ecological environment Improvement  
 (3) Employment increase (4) Ethnic minority development promotion  
 (5) Gender equality improvement (6) others \_\_\_\_\_
35. Do you think HFRDP has any negative impacts?  
 (1) Yes (2) No (3) Maybe (4) I don't know.
36. If yes, what are the main negative impacts? (Multiple choices allowed)  
 (1) To reduce forestry income (2) To impede the development of other industries  
 (3) To slow down poverty alleviation (4) To change the ethnic minority traditional culture (5) To discourage women's development (6) others \_\_\_\_\_
37. Does your family have land suitable for afforestation?  
 (1) Yes (2) No
38. Are you willing to participate in the project?  
 (1) Yes (2) No
39. Do you think it is acceptable to prohibit the forest land from circulating and commercial development for the implementation of this project?

(1) Yes (2) No

40. Which of the management model do you think is better?

(1) Individual operation (2) United forest farm

(3) Forest cooperatives (4) others

41. What kind of afforestation do you think is more appropriate?

(1) Mixed coniferous-broadleaved forest (2) Mixed coniferous forest (3) Mixed broad-leaved forest (4) Pure coniferous forest (5) Pure broad-leaved forest

42. Which do you think is better for the project, indigenous tree species or exotic tree species?

(1) Indigenous tree species (2) Exotic tree species (3) Both

43. What do you think the project needs most in addition to funds?

(1) Labor (2) Technical guidances (3) Management experiences (4) Others

44. Do you have any suggestions on the implementation of this project?

Place of interview: \_\_Group,\_\_Village,\_\_Township,\_\_County/city,\_\_\_\_Prefecture

Interviewer:

Time of interview:

Respondent name:

Current Position:

Tel:

## **Appendix V**

### **Interview Outlines for Farmers**

1. What is your age, sex, education level and nationality?
2. How many members are there in your family? And their nationalities?
3. Can you speak the language of your nationality? Are you proficient in it? When do you speak it?
4. What customs in production and life does your nationality have (customs in agricultural and forestry production, animal husbandry; festivals, costumes, food, housing and funeral)?
5. Do you have religious belief? What religion (Buddhism, Taoism, Christianity, Catholicism, Islamism, or folk religion)? Is there any temple, church, mosque or dedicated religious workers in your place? When kind of religious activities are held?
6. What traditional social institutions (marriage, family, civil customs) does your nationality have?
7. How is your social interaction with other nationalities (making friends, intermarriage, seeking help, respect and understanding, prejudice)?
8. What are the main facilities (household appliances and large agricultural implements included) in your house?
9. How much arable land does your family have? How much paddy field and dry land?
10. How much forestland does your family have? Who is managing it? What is the income? How much barren hill?
11. What are the main crops in your family land? What about the harvest and income last year?
12. Which livestock does your family mainly cultivate? How many? How many heads of livestock did your family sell in last year and what was the income?
13. Is there anyone in your family migrate out? When and where did they migrate? What are they doing? How much money do they bring back every year?
14. Is there anyone in your family doing small businesses? What kind? What about the income?
15. Is there any other income source in your family? What is the annual income?
16. What is the main expense of your family in one year (for example, food, clothing,

children's education, medical care, social interactions, etc.)?

17. When your family is short of money, from who does your family borrow money?

How much is the interest rate? Does your family owe any debt currently?

18. What kind of difficulty does your family confront currently?

19. What kind of energy does your family use for daily life (electricity, coal, liquid gas, biogas, firewood)?

20. Is there any soil erosion around your house? If any, when is it serious? And what do you think are the main causes?

21. Do you think you are influenced by soil erosion? If any, what? And what kind of measure do you think can be taken to control it?

22. Have you ever heard HFRDP? If yes, how? And what do you know about it?

23. What positive and negative impacts do you think this project will have on local area? How can the negative impacts be solved?

24. Are you willing to participate in this project? If yes, what are your main concerns?

25. Do you have any suggestions for the project implementation?

Place of interview: \_\_Group,\_\_Village,\_\_Township,\_\_County/city,\_\_Prefecture

Interviewer:

Time of interview:

Respondent name:

Current Position:

Tel: