



自然保护区系列教学丛书

周边区管理计划实践探索

ZHOUBIANQU GUANLI JIHUA SHIJIAN TANSUO

主编：林向群 Marlon ten Hoonte 张群 翻译：张群 裴艳辉

云南林业职业技术学院
云南省野生动植物保护管理办公室 编
中荷合作云南省森林保护与社区发展项目

云南民族出版社

周边区管理计划实践探索

主编：林向群 Marlon ten Hoonte 张群 翻译：张群 裴艳辉

云南民族出版社

图书在版编目 (CIP) 数据

周边区管理计划实践探索 / 林向群 Marlon ten Hoote
张群主编. —昆明: 云南民族出版社, 2007. 8
(自然保护区系列教学丛书)
ISBN 978-7-5367-3901-7

I. 周… II. 林… III. 自然保护区 - 管理 - 技术培训 -
教材 IV. S759.9

中国版本图书馆 CIP 数据核字 (2007) 第 140553 号

责任编辑	郑卫东
装帧设计	岳 南
出版发行	云南民族出版社 (昆明市环城西路 170 号云南民族大厦 5 楼 邮编: 650032) ynbook@vip.163.com www.ynbook.com
印 制	云南民族印刷厂
开 本	787 mm × 1092 mm 1/16
总 印 张	83
总 字 数	1500 千
版 次	2007 年 9 月第 1 版
印 次	2007 年 9 月第 1 次
印 数	0001~2000
定 价	400.00 (全 16 册)
书 号	ISBN 978-7-5367-3901-7/S·114

《自然保护区系列教学丛书》编审委员会成员

主 任：郭辉军

副 主 任：司志超 周 远 马洪军 Bram Busstra

委 员：齐义俐 钟明川 子世泽 林向群 张 群

编写人员名单：

I. 引 言

林向群 Marlon ten Hoonte 张 群

II. 云南省森林保护与社区发展项目背景简介

林向群 Marlon ten Hoonte 张 群

III. 周边地区管理规划

林向群 Marlon ten Hoonte 张 群

IV. 周边地区管理计划实施；腾冲案例

华朝朗 宋劲忻 王天灿

V. 5.1 龙陵县小黑山省级自然保护区参与式森林共管

林向群 杨晓华 郁云江 郭 琰

5.2 景东无量山彝族自治县无量山核桃技术研究会

毛云玲 张 群 裴艳辉

5.3 生态旅游

宋劲忻 华朝朗 张 群

5.4 小额信贷

Bram Busstra 张 群

主持单位

云南林业职业技术学院

云南省野生动植物保护管理办公室

项目资助方：

中荷合作云南省森林保护与社区发展项目

英文摘要
YUNNAN FORESTRY

ADJACENT AREA MANAGEMENT PLANNING, PRACTICE AND EXPLORATION

Lin Xiangqun¹; Marlon ten Hoonte²; Hua Chaolang³; Song Jinxin⁴; Mao Yunling⁵; Wang Tiancan⁶; Bram Busstra⁷; Zhang Qun⁸.

1) Yunnan Forestry Technical Collage, Kunming, P. R. China; 2) Stimulans International b. v, consultant FCCDP, Kunming, P. R. China; 3 + 4) Yunnan Institute for Forestry Inventory Planning and Design, Kunming, P. R. China; 5) Yunnan Academy of Forestry, Kunming, P. R. China 6) Gaoligong Mountain Nature Reserve Tengchong Management Office; P. R. China 7) Yunnan Forestry Department / Wildlife Protection Office, advisor FCCDP; 8) Yunnan Academy of Forestry, Kunming, P. R. China / FCCDP

Abstract

Keywords:

Bio – diversity conservation; local governance; community development; nature reserve management; integrated development and conservation planning; buffer zone management/ adjacent area management planning; forest co – management; farmers organization; eco – tourism; micro – credit / rolling fund systems; participatory approaches; multiple stakeholders participation; awareness building; participatory rural appraisal (PRA); logical framework approach.

Project background information

Since the United Nations Conference on Environment and Development (UNCED) in Rio de Janeiro in 1992, the Chinese government has paid considera-

ble attention to the ecological, socio - economic and cultural functions of forests. Because of the high socio - economic, ecological and conservation significance of forests, the government formulated six key national programs. For the implementation of one of those national programs - the Natural Forest Protection Program - Yunnan Province was designated as a major target province.

The majority of the nature reserves in Yunnan are relatively small and located in mountainous areas with a high population density. For the most part, communities belong to ethnic minorities, are relatively poor and traditionally highly dependent on forest resources for fuel wood, timber, non - timber forest products, etc.

Finding ways and means to balance biodiversity conservation with socio - economic development in the areas adjacent to nature reserves in Yunnan Province was one of the main challenges faced by the Sino - Dutch Forest Conservation and Community Development Project (FCCDP) in its first phase (1998 - 2004). During its consolidation phase (2004 - 2007), the by the project introduced new methods became integrated in the normal work procedures of major stakeholders, for instance on different levels in the Forestry Department and in local governments and their departments.

Reducing negative the impact of neighboring communities on conservation, and vice - versa, can only be achieved by improving the socio - economic situation of those communities, which often goes beyond the village scope and needs to take into account the interrelationships between villages in the areas adjacent to nature reserves. From 2001 to mid 2004, the FCCDP assisted local governments in four different prefectures with the formulation and implementation of an area management plan (buffer zone management) approach in and around six nature reserves. Because the internationally used term buffer zone does not correspond with the meaning of the term in China, FCCDP suggested the term adjacent area to be used instead and adopted the following definition:

'The area, often peripheral to a protected area, inside or outside, managed with the aim of enhancing the positive and reducing the negative impacts of neighboring communities on conservation, and of conservation on neighboring communities.' (Wild, R. G. and J. Mutebi; 1996).^①

This publication is meant to be a technical document aiming to assist provincial and local government departments in integrating community development activities in natural resources conservation plans, and enhancing co-management activities in the areas adjacent to nature reserves. It might assist in improving communication between stakeholders having an interest in the area and may form the basis for the development of training materials. The examples presented could provide new ideas for local governments as the leading agencies guaranteeing a sustainable balance between biodiversity conservation and community development in and around the nature reserves under their governance.

After a general project introduction and relevant project activities (Chapters 1 + 2), a detailed description of the Adjacent Area Management Planning (AMP) approach is provided in Chapter 3 and summarized below. Chapter 4 presents a case study on the AMP implementation process in Tengchong County, Gaoligong Mountain National Level Nature Reserve (not summarized in this abstract).

Participatory management of biodiversity/forest resources in the experimental zone and the adjacent areas of nature reserves has been a central FCCDP strategy for which the AMP provides a practical framework. Roughly, two types of co-management, tailored to local situations, have been explored; (1) collaboration between nature reserve staff and communities formulating and implementing natural resources management plans within the adjacent area; (2) participation of local communities in biodiversity conservation and community resources management

^① Wild, R. G. and Mutebi, J. (1996); Conservation through Community Use of Plant Resources. UNESCO, People and Plants Working Paper, No. 5

within the nature reserve. For this publication, five good practices have been identified (see Chapter 5 + the summary below) : co - management in biodiversity conservation ; forest co - management at administrative village level ; professional farmers' organizations in the adjacent areas ; community based eco - tourism ; micro - credits or rolling funds.

Adjacent area management planning approach (Chapters 3 + 4)

After testing a pilot village approach at the natural village level, the FCCDP management staff realized that in doing so, they took responsibility for integrated management - conservation and development activities - in and around the nature reserves, which in fact is the mandate of local governments. Upscaling of the village approach would be difficult without project support ; reduction of pressure on nature reserves could only be achieved through improvement of the socio - economic situation in the entire area adjacent to the nature reserves.

International projects are only a temporarily stakeholder and to institutionalize new approaches the role of local governments and their technical departments, being permanent stakeholders, should be recognized. After a series of meetings with all County / District Governments (12) governing the project areas, a new concept for integrated management was agreed upon, the ' Adjacent area Management Plan ' (AMP) approach as presented in this publication. Its objective is :

To reach common understanding and agreement between multiple stakeholders in the experimental and adjacent areas of the nature reserve on how to conserve and manage the forest and biodiversity (resources) in a sustainable manner, and on the identification of activities and measures to be undertaken aiming at the socio - economic development of the local communities.

Design and implementation of an AMP requires multiple stakeholders' participation, emphasizing the leading and coordinating role of the county and township governments and assuring the involvement of all stakeholders having an interest in

the use of natural resources in and around the nature reserve. Stakeholder representatives were trained to conduct awareness building and participatory rural appraisal surveys in preparation of site – specific situation analysis reports, validated in a facilitated stakeholders’ meeting. Adjacent area Management Committees (AMCs) representing all stakeholders and chaired by the county vice – governors, were in charge of formulating their AMPs in facilitated logical framework approach workshops. The AMPs form the basis for negotiation on strategies not only with FCCDP and local governments, but also with (inter) national projects, NGOs, etc. (Hoonte ten, et al 2004).^① FCCDP co – financed the implementation of priority actions in line with the project objectives. The case of Tengchong shows how local governments collaborate with (inter) national project and NGOs, like ICRAF, CI, TNC, FCCB and Hongkong for co – financing of AMP strategies.

Since the six nature reserves are located on mountain ridges and the economic position of the adjacent areas is relatively low, local governments in the past did not pay high attention to those areas in formulating their development plans. As Jianchu Xu and Jesse C. Ribot (2004) state: ‘Planning processes have (...) been implemented in the downstream areas, but the people living in the forested areas upstream have yet to be involved’.^② AMP formulation and implementation has increased the attention of local government departments for the specific situation of the adjacent areas; it has been proven that related governmental departments can incorporate AMP strategies in local government planning. Moreover, programs of (local) governments and relevant agencies can be adapted to the specific productive activities for which the adjacent areas have comparative advantages, such as domestication of non timber forest products, cash tree plantation, eco – tourism,

① Hoonte, M. ten; H. Bartsch, Xu Y. and Wu X. F. 2004; Adjacent – Area Management Planning in practice, Forest Conservation and Community Development Project, Kunming. In: China’s Protected Areas edited by Xie Yan, Wang Sung, Peter Schei; China Council for International Cooperation on Environment and Development (Phase III); P539 – 550

② Jianchu Xu and Jesse C. Ribot; 2004; Decentralisation and Accountability in Forest Management: A Case from Yunnan, Southwest China; in European Journal of development Researcg, Vol. 16, No 1, Spring 2004, pp. 153 – 173

etc....).

AMP implementation reduced communities' dependency on the resources in the nature reserve and thus benefited nature conservation. At the same time, the implementation of forestry - related programs improved the communities' environment. The formulation process and the implementation of AMP enhanced the conservation awareness of the villagers, local government and other related stakeholders. The process paid attention to the development of rural human resources; the organization of a large number of rural training activities improved the capacities of the villagers in applying science and technologies. In Tengchong, villagers and other stakeholders became aware of the good natural conditions in the adjacent areas - favorable for ecological production, tourism development, etc - and for promoting the nature reserve as a valuable brand for their products.

Through the AMP process, nature reserve staff - frequently the only government department located in the adjacent area - became important stakeholders in the adjacent areas. Their relationships with communities greatly improved since their responsibilities, in the past limited to law enforcement, expanded with development support and facilitation activities. In addition, the process enhanced collaboration with various other stakeholders involved in planning and implementation of development activities.

Initially, the AMCs facilitated strengthening of the communication between government, nature reserve staff and communities, but its institutionalization proved to be difficult. The stakeholders' representation in the AMCs is not very stable, due to staff changes in the local government departments, and the operational fee is also a problem.

To date, the Yunnan Department of Forestry reviews the Nature Reserve Master Planning procedure, exploring the possibility to involve local stakeholders in the planning process through participative approaches and the use of the Logical Framework workshops. Local governments pay increasingly more attention to the adjacent areas - perceiving them as special planning areas - and to date the results of all

AMPs form integral parts of the local government's 'five - year development plans'.

Co - management in biodiversity conservation (Chapter 5.1)

Co - management in the adjacent areas focuses on integration of community natural resources into conservation management and assisting the communities in the development of sustainable resources use and socio - economic activities. The specific interests of co - management in biodiversity projects - especially in Yunnan - could be: (1) integration of community natural resources into the conservation systems to enhance biodiversity conservation management; (2) introducing biodiversity conservation activities being beneficial to local communities; (3) community involvement in resources management, likely to improve the relationships with nature reserve management staff; (4) improvement of conservation awareness in the area through multiple stakeholders' participation in co - management; (5) integration of indigenous knowledge in co - management systems enhancing mutual understanding regarding specific demands and needs.

Forest co - management at the administrative village level (chapter 5.2)

During the FCCDP Consolidation Phase, the local government of Longling County proposed to set - up co - management systems at administrative village level. Twenty - five (25) administrative villages, strongly dependant on the forest resources in the nature reserve were identified to start the experiment. In Xiaotang administrative village - the case presented in this publication, the following objectives were formulated for the forest co - management plan: (1) improved sustainable management of forest resources; (2) demonstration activities to support the forest co - management mechanism; (3) promotion of community economics through sustainable development of forest resources.

A forest co - management convention - stipulating the co - management responsibilities - was signed by the Xiaotang village forest co - management commit-

tee, Xiaotang village committee, Guchangshan management station of Xiaosheishan Nature Reserve and Longjiang forest station. The participatory approach used throughout the planning and implementation process improved people's knowledge on co-management. The involvement of various government departments in the forest co-management committee expanded the scope of co-management activities and highlighted once more the important role governments play in guiding and popularizing forest co-management activities.

The implementation of the five-year forest co-management plan improved the self-development ability of the communities and released the pressure on forest resources in the nature reserve. The establishment of forest co-management committees and the regulations for resources use and forest conservation in the adjacent area initiated a cooperative relationship between villagers and nature reserve staff. In addition, the multiple stakeholders' participation in the forest co-management committee enhanced not only the management of biodiversity resources, but also the cohesiveness between the government departments and the communities.

Agreements were reached with villagers on controlled timber logging (for personal use) from July 20th till August 20th and fuel wood collection (October 1st - 30th). The operational fee for the forest co-management committee is financed through the planting of Caoguo (cardamon) in the adjacent forests and the use of an adapted micro-credit system.

Professional farmers organizations in the adjacent areas (chapter 5.3)

The 'Wuliangshan Walnut Technology Association of Jingdong' is selected as a case description on emerging farmers organizations within the framework of AMPs.

In July 2006, walnut producers - through the Jingdong management bureau - asked FCCDP assistance for the development of a producers' organization in the entire adjacent area of Wuliangshan National Nature Reserve where walnut production is a key economic activity. Manwan Township was selected to carry out the first

experiment and in August project facilitators organized a one – week training course on participatory investigation methods for the establishment of a walnut farmers organization. Twenty (20) participants from various government departments were trained in participatory inquiry methods and techniques as well as skills to guide farmers in setting goals for the establishment of their organization.

By carrying out Participatory Rural Appraisal (PRA) surveys in 5 administrative villages (26 natural villages) on the establishment of a special farmers' organization in the adjacent area, the overall situation was identified, including the total planting area, walnut growing, community income, existing problems, activities undertaken by local government and villagers' willingness to organize themselves. This provided a definitive target for the establishment of a walnut farmers' association.

Combined with PRA surveys, technicians of the nature reserve were able to strengthen the awareness of the communities regarding natural resources conservation, to enhance two – way communication, and to improve mutual relationships.

The activities undertaken by the walnut farmers organization (e. g. coordinated pest control, joint guarding of walnut plantations, joint purchases of fertilizer and pesticides, technical training, etc) objectively promoted the development of the local walnut industry, increased household incomes, reduced dependency on natural resources, and released pressure on the nature reserve.

The successful establishment of the 'Wuliangshan Walnut Technology Association' in Manwan Township has accumulated experience on which other regions of Jingdong County can build. To date, Linjie and Jinfu Townships have joined the association and it is expected that in 3 – 5 years, the model will be extended to all areas surrounding Wuliang Mountain. By then, the income of 150,000 walnut planting farmers will be increased by a large margin, releasing the pressure on the forest and biodiversity resources.

Community based eco - tourism (Chapter 5.4)

Community - based eco - tourism can contribute to natural resource conservation and authentic culture and is an ideal approach for realizing tourism development. The local communities should own and have rights to manage eco - tourism, provide tourist services, share in the revenues, etc. Community - based eco - tourism could contribute to the achievement of the comprehensive objective to conserve the local natural environment and improve socio - economic development. In short, eco - tourism activities in the framework of AMP should be community owned, benefiting local communities, be ecologically sustainable, on a small scale with low impact, and authentic. Communities affected by tourism activities should participate in the entire process, including planning, management, monitoring and benefit sharing.

Apart from the communities in the adjacent area, other participating stakeholders in the process are: local government, (tourism) business agencies, nature reserve management offices, tourists, NGOs, etc. , each playing their specific role.

Gaoligong Mountain National Nature Reserve is well known for its complex forest types, biological resources and cultural and geographic landscape and has been identified as a Man and Biosphere (MAB) program. Two eco - tourist areas in its adjacent area are presented in the publication:

1. Baihualing—Jiangzui scenic area serves as a window on Gaoligong Mountain, its primary forest, rare and endangered species, hot spring, waterfall, Silk Road, and local minority customs.
2. Gaoligongshan natural eco - park, known for the distribution of some rare species, like Magnolia, Rhododendron, red panda, grey leaf monkey and birds.

Local villagers contributed labor for the construction of the scenic areas and received payment. The communities in the adjacent area participate in the eco -

tourism activities by acting as guides, providing food and lodging services, selling products, organizing folk dance performances, etc. Members of the 'First Farmers Association for Biodiversity Conservation' established on December 8th, 1995 in Baihualing administrative village (more than 100 members) actively participate in the tourist activities in Jiangzui. To date, more than twenty families have created 'home village stay' possibilities, offering more than 200 beds.

Micro – credits or rolling funds (Chapter 5.5)

Micro – credit systems could play an important role in promoting rural economies and to alleviate poverty in the areas adjacent to nature reserves where people usually are poor. The nature reserve management staff – in collaboration with the major stakeholders – prepared proposals for small – scale projects in the adjacent areas. Small grants were made available, to be used mainly for the development of local productive systems adapted to mountainous areas. A large number of proposals (more than 20) were accepted for experimentation with micro – credit and rolling fund systems in the area adjacent to eight nature reserves involved in the project.

Most counties / districts collaborate with the Poverty Alleviation Department and/or the local Rural Credit Cooperative, foreseeing a more or less important role for co – management committees or groups. However, communities in the areas adjacent – all mountainous – face specific problems in their relation with those departments. The standard conditions for obtaining micro – credit are not convenient for mountain people, nor are the administrative requirements. Negotiations took place to adjust existing rules, such as 'accepting project funds as a form of guarantee' or 'grants for practical demonstration of productive activities (co –) financed by the project'.

Poverty is relatively widespread in mountainous areas. Subsistence farming is not the most economical land use activity, but farmers often have no other choice. They lack alternative sources of income for survival, while awaiting results of their

investment in more profitable products needing a longer yield period. Risk avoidance is a common pattern with poor families in mountainous areas. Investments aiming at mid-term returns need a small-insurance scheme to cater to unforeseen risks (climate, pest and disease, health problems, etc...). Agricultural and horticultural products in which mountainous areas have a comparative advantage need more time to produce tangible results. The present micro-credit schemes are not adapted to the situation of mountain people.

Though it might be too early to publish conclusions on micro credit and rolling fund systems promoted by FCCDP - after only a one-year experience - the project management thought it worthwhile to present the findings of the ongoing small-scale projects in the adjacent areas. The different systems developed in the field are described under the headings: (1) credits for area specific products; (2) credits for demonstration products new to the area; (3) credits based on rolling funds; (4) group credits.

Co-management is expected to become part of the new Law on Protected Areas, but its implementation could be hampered by budgetary constraints. The experience obtained in FCCDP Consolidation Phase shows that micro-credits could create a win-win situation for the development of co-management agreements in and around the nature reserves. However, conditions for these financial services should be adapted to the local situation of the farmers.

目 录

英文提要	(1)
1 引 言	(1)
2 云南省森林保护与社区发展项目(FCCDP)背景简介	(5)
2.1 云南省概况	(5)
2.2 森林保护与社区发展项目	(6)
3 周边地区管理规划	(8)
3.1 保护区周边地区综合发展与保护规划的意义	(8)
3.2 周边地区管理计划的规划过程	(10)
3.3 AMP 方法	(12)
4 周边地区管理计划实施案例(腾冲县)	(24)
4.1 背 景	(24)
4.2 AMP 编制过程	(26)
4.3 AMC 及其运作情况	(27)
4.4 AMP 实施情况	(28)
4.5 AMP 面临的问题	(41)
5 周边地区管理计划框架活动	(42)
5.1 生物多样性保护项目中共管的意義	(43)
5.2 小黑山省级自然保护区行政村一级的森林共管组织案例	(48)