

# REDD + ANNUAL COUNTRY PROGRESS REPORTING (with semi-annual update)

**COUNTRY:** [Vietnam]  
**PERIOD:** [January 2016 - June 2017]

**Background:** *This country reporting framework has been developed following the structure of the FCPF Monitoring and Evaluation Framework, its logical framework and Performance Measurement Framework (PMF), so as to facilitate and systematize the data analysis. The semi-annual country reporting should provide the FCPF's Facility Management Team (FMT) with indications of REDD+ countries' progress towards the achievement of their readiness activities and the implementation of their Emission Reductions programs overtime, in a way that data are easily consolidated and provide indications on the level of achievement of the FCPF output, outcome and impact indicators as defined in the FCPF M&E Framework.*

**Report preparation:** *Submitted country reports should draw upon the country M&E system for REDD + (component 6 of R-PP) and should be prepared in consultation with members of REDD task force or equivalent body. Inputs from stakeholders including IPs and CSOs should be integrated into national reporting, and divergent views indicative of lack of consensus on specific issues should be recorded in the country report.*

**Reporting schedule:** *It is expected that the annual progress country reporting will be submitted to the FMT by July 15<sup>th</sup> each year. The reporting should be based on a self-assessment of progress. An update of this country reporting will also be submitted by March 15<sup>th</sup> each year.*

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## 1. SUMMARY OF REPORT

*This section should provide a short description of FCPF support in country (bullets on FCPF-financed activities only). Information should summarize progress, key achievements with a focus on higher level results and important issues/problems that arose during the reporting period. Highlights of next steps in following period should also be provided (key bullets only).*

**\* Summary:**

- The reporting period included implementation of final year activities under the FCPF Readiness Grant Agreement No. TF013447 signed on January 22, 2013 and consolidation of achievements and lessons learned under this Grant.
- The reporting period also contained (i) the preparation for getting the FCPF additional fund and resulted by the FCPF Readiness Grant Agreement No. TFOA1122 (the project FCPF-2), and (ii) the development of the work and procurement plan and budget approved by the Ministry of Agriculture and Rural Development (MARD), and (iii) implementation of some priority activities in the approved work plan.
- The Development of the NRAP approved in April 2017 by the Government (new NRAP). Effective operations of the National REDD+ Office (VRO), including six Sub-Technical Working Groups and National and Provincial REDD+ Steering Committees.
- Development of the Forest Reference Emission Level for the North Central Region of Vietnam (ER-P areas)
- Regional cooperation with Laos and Cambodia
- ER-PD submitted to the FCPF and presented in the CF 15 including FREL/RL with support document: SESA, ESMF and others as required.

**\* Next steps:**

- Improvement of the ER-PD based on CF15 comments to be submitted and presented in CF17 for approval.

- Capacity building activities at national and local levels in ER-P provinces for forest plantation development and sustainable forest management.
- Supports to ER-P provinces for updating PRAPs in line with new NRAP and forest monitoring at the provincial level and participatory forest monitoring;
- Development of ability to transfer legal title of ER to FCPF
- Support for policy development on Special Use Forest Management Boards (SUFs), Protection Forest Management Boards (PFMBs), State Forest Companies (SFCs) and other forest holders towards REDD+ and multi environmental services. Continuous support to VNforest and ER-P provinces for FLEGT including inter agency cooperation, consultations, regional cooperation and timber product tracking.
- Finalization of SESA, ESMF and other safeguards related instruments for ER-P areas through analytical works and consultation processes.
- Continuous support for communication with focus on ethnic minority groups and forest dependence communities in ER-P areas.
- Activities related to the project management, monitoring and evaluation.

## 2. MAIN ACHIEVEMENTS AND RESULTS DURING THE PERIOD

*The section below should provide qualitative and quantitative data on the progress towards expected results along the following subsections. Information is to be provided cumulatively. If the information requested is not available or not relevant at the time of the reporting, mention “does not apply – n/a”.*

<b>Amount of non-FCPF investments received under R-PP process (FCPF M&amp;E Framework Indicator I.2.B.i.): 13,373,253 USD</b>	
Source: Operationalizing National Safeguards for Result-based Payments from REDD+	Amount provided: 135,000 USD
Source: Advancing Understanding of Natural Forest Carbon Stock Enhancement	Amount provided: 300,000 USD
Source: Delivering Environmental and Social Multiple Benefits from REDD+ in Southeast Asia	Amount provided: 200,000
Source: Exploring mechanisms for support high-biodiversity conservation through REDD+	Amount provided: 160,000 USD
Source: Advancing understanding of forest carbon stock enhancement as part of REDD+	Amount provided: 210,000 USD
Source: JICA (through the Sustainable Natural Resource Management Project)	Amount provided: 2,000,000
UN-REDD Vietnam Phase 2 Program:	Amount provided: 10,178,253 USD
<b>Amount of non-FCPF investments received for implementation of activities relevant to ER Programs (e.g. FIP, bilateral donors, private sector), if relevant (FCPF M&amp;E Framework Indicator I.2.B.i.): 1,197,513 USD</b>	
Source: Vietnam Forests and Deltas Program	Amount provided: 340,000 USD
Source: UN-REDD Vietnam Phase 2 Program:	Amount provided: 677,513 USD
Source: JICA (through the Sustainable Natural Resource Management Project)	Amount provided: 180,000 USD

**Describe how stakeholders are participating and engaging in REDD+ decision making processes (FCPF M&E Framework Indicator 1.3.A):**

**Provide examples of how IPs and CSOs are represented in institutional arrangements for REDD at the national level.**

CSOs and IPs participated at the national level through the Vietnam REDD+ Office (VRO), and through membership of various sub technical working groups (STWG) particularly the safeguards, REDD+ local implementation STWGs. They also cooperated on the various REDD+ projects (including the project FCPF-2) and also cooperated through the national REDD+ Network, the Vietnam Climate Change Network, and there is also a national level FLEGT network. They are encouraged to participate and share the lessons learnt and contribute to the REDD+ readiness process.

UN-REDD Programme II collaborated with the Centre for Sustainable Development in Mountainous Areas (CSDM) to select a representative of ethnic minorities and a representative of CSOs in the Programme Executive Board, collaborated with the Association of Asian indigenous peoples (AIPP) to organize a dialogue with the representatives of ethnic minorities about how the ethnic minorities can participate in REDD+ programme in Vietnam. The UN-REDD Programme also cooperated with CSDM to establish ethnic minorities networks in the pilot provinces with the representative of five groups of the ethnic minority groups. The CSDM and the UN-REDD Phase II Program organised a dialogue on REDD+ readiness activities in Bac Kan Province in late 2016 and will organise two other dialogues in Binh Thuan and Lao Cai Provinces in 2017.

In the NRAP, stakeholders including CSOs are encouraged to supervise and monitor the implementation of the REDD+ program.

In ER-PD preparation, CSOs and IPs are focal groups of consultation processes

**Examples of stakeholder engagement platforms in country which meet regularly to discuss and provide inputs to the REDD+ readiness process (FCPF M&E Framework 3.2.a.):**

<p><u>Frequency:</u> Approximately quarterly The sub technical working groups have organized their meetings</p>	<p>Along with VRO, REDD+ relevant projects create platforms to attract different stakeholders including government, private sector, international NGOs, local NGOs, CSOs, donors, academic, etc. into the process of REDD+ readiness process.</p>
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**Examples of resources made available to enable active participation of IPs , CSOs and local communities in national REDD+ readiness.**

UN-REDD Programme, FCPF Project and other REDD+ related projects have made funds available to support the VRO to facilitate discussions and contact with the CSOs at the STWGs.

Furthermore, during preparation of the REDD+ Readiness Package, ERPD, and PRAPs, both FCPF project and UN-REDD programme have also funded for IPs, CSOs to actively participate in a large number of meetings, workshops of the consultation processes in 12 provinces: Lao Cai, Bac Kan, Thanh Hoa, Nghe An, Ha Tinh, Quang Binh, Quang Tri, Thua Thien-Hue, Binh Thuan, Lam Dong, Dak Nong and Ca Mau.

**Number and type of policy reforms initiated, completed or underway complying to REDD+ standards, if any (FCPF M&E Framework Indicator I.3.B.):**

**Number of policy reforms during the reporting period that are:**

**Underway:**

- Two key policies related to REDD+ readiness, including Forestry Law and Planning Law are being developed.

**Completed:**

- Directive 13/CT-TW dated January 12th 2017 on forest management, protection and development
- Decree No. 147/2016/ND-CP amending 99/2010/ND-CP on policy of payment of forest environment services,
- Decision No. 419/QĐ-TTg on approval of the National Action Program on the Reduction of Greenhouse gas emissions through the reduction of Deforestation and Forest Degradation, Sustainable Forest Resources Management, and Conservation and Enhancement of Forest Carbon Stocks (REDD+) by 2030 (new NRAP);
- Decision No. 886/QĐ-TTg on Approval of Sustainable Forestry Development Target Program in the period of 2016-2020

**Please describe these policy reforms:**

The above policies and laws are very important for guiding the implementation of REDD+. In line with these policies, the Vietnamese government allocates its budget for sustainable forest management, forest protection and development, reduction of deforestation and forest degradation, conservation and enhancement of forest carbon stock.

The policies and laws help mitigate conversion from very poor natural forests to other land use purposes such as agricultural crops, rubber, etc. and also encourage the legal timber trade, enhancement of added values for forest products. Moreover, the multi-sector coordination and cross-sector collaboration will be further improved.

**Design of national REDD+ Strategies addresses indicators for enhancement of livelihoods of local communities and for biodiversity conservation (FCPF M&E Framework Indicator 3.B.):**

**Provide examples of how national REDD+ Strategies address livelihoods of local communities and biodiversity conservation.**

With support from the UN-REDD Vietnam Phase 2 program and other REDD+ related projects, a new National REDD+ Action Program (new NRAP) were developed and approved on April 5, 2017 by the Government known as the Decision 419/QD-TTg. Based on the new NRAP, provinces participating in REDD+ projects have started updating their REDD+ Action Plans (PRAPs). One of the core principles of the NRAP and PRAPs are to ensure national environmental security and poverty reduction. Therefore, the activities for better livelihood of local people and communities and biodiversity conservation are prioritised in the operational plans.

**\* Livelihood Development:**

The plans will promote sustainable and deforestation-free agriculture and aquaculture. Moreover, they improve forest governance and livelihoods for people living near and in the forest. Under the plans, central and local governments will assess their current socio-economic dynamics in key hot spots of deforestation, forest degradation and potential areas for forest carbon enhancement in order to design integrated livelihoods and local governance program. In addition, they continue to implement programmes to support employment and livelihood improvement for the local people living near and in the forest in hotspots of deforestation and forest degradation

**\* Biodiversity Conservation**

One of the specific objectives of the REDD+ strategies is to improve the quality of natural forest, protection and conservation of natural forests. In addition, the Ministry of Industry and Trade will direct and undertake the review of its plans for hydropower development. Moreover, the central and provincial governments will not grant investment licenses for hydropower projects which have a considerable negative impact on biodiversity conservation of natural forest ecosystems and national environment security. Furthermore, the Vietnamese government also promote cooperation with neighbouring countries to control illegal logging and trade and promote biodiversity conservation. Finally, the sustainable models for natural forest enhancement, protection and conservation will be piloted, evaluated, and up-scaled.

### 3. PROGRESS AT R-PP sub component level

#### 3.1. REDD Readiness Progress

As a synthesis of the following output level assessments, please briefly describe here the progress made during the reporting period in developing the country Readiness Package (FCPF M&E Framework Indicator 1.A.): up to 300 words, if applicable



















**Progress made during the reporting period in developing the country Readiness Package:**

A R-package task team was set up. The team has completed the R-Package Report in July 2016 through very large number of consultations at all level with all stakeholders in the preparation processes.

Please indicate which of your country R-PP components and sub-components have received support from FCPF through the Readiness Preparation Grant (>3.4 million USD)

Components	Sub-components	Support from FCPF (Yes/No)
1. Readiness Organization and Consultation	1a. National REDD+ Management Arrangements	Yes
	1b. Consultation, Participation, and Outreach	Yes
2. REDD+ Strategy Preparation	2a. Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance	Yes
	2b. REDD+ Strategy Options	Yes
	2c. Implementation Framework	Yes
	2d. Social and Environmental Impacts	Yes
3. Reference Emissions Level/Reference Levels		Yes
4. Monitoring Systems for Forests and Safeguards	4a. National Forest Monitoring System	Yes
	4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards	Yes

Level of overall achievement of planned milestones according to approved FCPF-financed Readiness Fund Grant (>3.4 million USD) (FCPF M&E Framework 1.3.b.):








<p><u>Planned Milestones:</u></p> <ul style="list-style-type: none"> <li>- The support to the coordination of REDD+ Readiness Process and Multi-Stakeholder Consultations</li> <li>- Contribution to the Design of a National REDD+ Strategy</li> <li>- The preparation of a National and ER-P reference scenario for REDD+</li> </ul>	<p><u>Level of Achievement</u><sup>1</sup>:</p> <ul style="list-style-type: none"> <li>- The VRO has been coordinating the REDD+ projects/programs effectively and organising Sub Technical Working Group Meetings; The national REDD+ steering committee with stakeholders is operational; the comprehensive consultations about ERPD and REDD+ readiness assessment were conducted.</li> <li>- The new NRAP was approved in April 2017. According to the approved old NRAP, the five in six PRAPs in the North Central Region (PRAP of Quang Tri completed but not approved yet) were approved.</li> <li>- The national reference level was approved and technically assessed by the UNFCCC, while the reference level for ER-P areas was completed</li> </ul>	<p><u>Tracking</u><sup>2</sup>:</p> <table border="1" data-bbox="971 317 1448 642"> <tr> <td></td> <td></td> <td>Significant progress</td> </tr> <tr> <td></td> <td></td> <td>Progressing well, further development required</td> </tr> <tr> <td></td> <td></td> <td>Further development required</td> </tr> <tr> <td></td> <td></td> <td>Not yet demonstrating progress</td> </tr> <tr> <td></td> <td></td> <td>Non Applicable</td> </tr> </table> <p>Please explain why:</p> <p>The provincial REDD+ steering committees in ER-P area need further support for better inter sectorial coordination and collaboration among local stakeholders.</p> <p>PRAPs need to be updated to align with the new NRAP in the coming months.</p> <p>The reference level of ER-P area needs to be finalized to meet timeline of submission of ER-PD to FCPF</p>			Significant progress			Progressing well, further development required			Further development required			Not yet demonstrating progress			Non Applicable
		Significant progress															
		Progressing well, further development required															
		Further development required															
		Not yet demonstrating progress															
		Non Applicable															

<sup>1</sup> Countries are expected to provide data on the overall level of achievement of planned milestones as defined in their Readiness Preparation Grant Agreement, and, if applicable, on their Supplementary Grant Agreement for an additional grant of up to \$5 million. For instance, under their Preparation Readiness Grant Agreement (>3.4 million USD), Countries should provide data on (i) the support to the Coordination of the REDD+ Readiness Process and Multi-Stakeholder Consultations; (ii) the contribution to the Design of a National REDD+ Strategy; and (iii) the preparation of a National Reference Scenario for REDD+

<sup>2</sup> The level of achievement of planned milestones according to approved RF grant will be summarized through progress scores related to the synthesis of an overall achievement, qualitatively expressed on a four-color 'traffic light' scale and then explained. In case the assessment is not applicable, a fifth color scale "Non Applicable" can be selected.






This 'traffic light' scale is based on the system contained in the R-Package Assessment Framework







**Degree of achievement of planned milestones per R-PP component and sub-component (FCPF M&E Framework 1.3.c.).  
Countries are expected to rate progress toward the implementation of R-PP sub-component only once a year, as part of the reporting submitted by July 15<sup>th</sup> each year**



















	Sub-component	Progress against annual targets		Tracking <sup>3</sup> (Please select your light rating)
		Planned milestones	Achievements	
R-PP Component 1 – Readiness Organization and Consultation	<p><b>Sub-Component 1a</b> – National REDD+ Management Arrangements</p> <p><i>Purpose: setting-up national readiness management arrangements to manage and coordinate the REDD-plus readiness activities whilst mainstreaming REDD-plus into broader strategies</i></p> <p><i>Country Self-Assessment Criteria: (i) accountability and transparency; (ii) operating mandate and budget; (iii) multi-sector coordination mechanisms and cross-sector collaboration; (iv) technical supervision capacity; (v) funds management capacity; (vi) feedback and grievance redress mechanism</i></p>	- Accountability and transparency are established and operated;	- All information on REDD+ management is disclosed in the media; M&E mechanism is prescribed in the new NRAP	  Significant progress
		- Operating mandate and budget are in place	- Functions, duties and budgets for each stakeholder are prescribed in the new NRAP. The national and provincial REDD+ steering committees, REDD+ network were set up. The budget has been being assigned to the stakeholders	  Progressing well, further development required
		- Multi-sector coordination mechanisms and cross-sector collaboration are set up and effectively operated	- These mechanisms were established.	 Further development required
		- (iv), (v) and (vi) are improved	- The NRAP regulated the responsibilities for MARD, MONRE, and sub-technical working groups for REDD+ network; The proposal of establishment a Vietnam REDD+ Fund was approved in December 2015; FGRMs were prescribed in the Vietnamese laws/policies	 Not yet demonstrating progress
				 Non Applicable
		<p><i>Please explain why:</i> PRAPs should be integrated into the socio-economic development plan and consistent with the other provincial sector plans; The legal frameworks on REDD+ (finance, technique, carbon credits) should be developed. Further work should be improved on technical supervision capacity and FGRM at all levels.</p>		



















<sup>3</sup> The level of achievement of planned milestones per R-PP component should be self-assessed and reported, as well as summarized through progress scores related to the synthesis of this overall achievement, qualitatively expressed on a four-color 'traffic light' scale and then briefly explained. In case the assessment is not applicable, a fifth colour scale 'Non Applicable' can be selected. This 'traffic light' scale is based on the system contained in the R-Package Assessment Framework, The R-Package assessment criteria are included to assist countries identify, plan and track their readiness preparations progress with the core aspects and desired outcomes of readiness preparation activities as contained in R-Package Assessment Framework.





















Sub-component	Progress against annual targets		Tracking <sup>3</sup> (Please select your light rating)	
	Planned milestones	Achievements		
<p><b>Sub-Component 1b</b> – Consultation, Participation, and Outreach</p> <p><i>Purpose: broad consultation with and participation of key stakeholders for future REDD+ programs, to ensure participation of different social groups, transparency and accountability of decision-making</i></p> <p><i>Country Self- Assessment Criteria: (i) participation and engagement of key stakeholders; (ii) consultation processes; (iii) information sharing and accessibility of information; (iv) implementation and public disclosure of consultation outcomes</i></p>	Improvement of participation and engagement of key stakeholders, consultation process and information sharing	Participation and information sharing of all stakeholders, particularly local and ethnic people/ communities, women, CSOs, NGOs were improved during REDD+ readiness preparation process and ERPD development; they have been institutionalized via legal documents.		<i>Significant progress</i>
				<i>Progressing well, further development required</i>
				<i>Further development required</i>
				<i>Not yet demonstrating progress</i>
				<i>Non Applicable</i>
			<p><i>Please explain why:</i> Local people, communities, and vulnerable groups should be further supported to access to information.</p>	







	Sub-component	Progress against annual targets		Tracking <sup>3</sup> (Please select your light rating)		
		Planned milestones	Achievements			
R-PP Component 2 – REDD+ Strategy Preparation	<p><b>Subcomponent 2a:</b> Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance</p> <p><i>Purpose: identification of key drivers of deforestation and/or forest degradation, as well as activities concerning conservation, sustainable management of forests, and enhancement of forest carbon stocks</i></p> <p><u>Country Self- Assessment Criteria:</u> (i) assessment and analysis; (ii) prioritization of direct and indirect drivers/barriers to forest enhancement; (iii) links between drivers/barriers and REDD+ activities; (iv) actions plans to address natural resource right, land tenure, governance; (v) implications for forest law and policy</p>	Criteria of (i), (ii), (iii), (iv), and (v) are in place	The key drivers of deforestation and forest degradation were clearly identified; respective solutions for forest conservation, sustainable forest management, and forest carbon stock enhancement have been proposed in the new NRAP and the PRAPs of ER-P area. In the NRAP, there are solutions to deal with the issues relevant to land tenure, natural resource rights, and forest governance. Policy improvement recommendations are made and the respective actions are underway;			Significant progress
						Progressing well, further development required
						Further development required
						Not yet demonstrating progress
						Non Applicable
				<p><i>Please explain why:</i> The program design is being improved to show more links between the drivers of deforestation/ forest degradation and interventions. The carbon title needs to be clearly defined. The current law of forestry does not mention directly REDD+ activities.</p>		

Sub-component	Progress against annual targets		Tracking <sup>3</sup> (Please select your light rating)															
	Planned milestones	Achievements																
<p><b>Subcomponent 2b:</b> REDD+ Strategy Options</p> <p><i>Purpose: Develop a set of policies and programs for addressing the drivers of deforestation and/or forest degradation</i></p> <p><i>Country Self-Assessment Criteria: (i) selection and prioritization of REDD+ strategy options; (ii) feasibility assessment; (iii) implications for strategy options on existing sectoral policies.</i></p>	<p>(i) National policy set;</p> <p>(ii) Feasibility at provincial level completed (6 PRAPs);</p> <p>(iii) Recommendations to improve sectorial policies</p>	<p>- The new NRAP in place;</p> <p>- The PRAPs were developed</p> <p>- The feasibility of socio-economic, political and institutional aspects, SESA and EMSF of REDD+ were assessed and analysed</p>	<table border="1"> <tr> <td></td> <td></td> <td>Significant progress</td> </tr> <tr> <td></td> <td></td> <td>Progressing well, further development required</td> </tr> <tr> <td></td> <td></td> <td>Further development</td> </tr> <tr> <td></td> <td></td> <td>Not yet demonstrating progress</td> </tr> <tr> <td></td> <td></td> <td>Non Applicable</td> </tr> </table> <p><i>Please explain why:</i> The feasibility and opportunity costs are not yet clearly defined. The PRAPs need to be supplemented to align with the new NRAP.</p>			Significant progress			Progressing well, further development required			Further development			Not yet demonstrating progress			Non Applicable
		Significant progress																
		Progressing well, further development required																
		Further development																
		Not yet demonstrating progress																
		Non Applicable																

Sub-component	Progress against annual targets		Tracking <sup>3</sup> (Please select your light rating)																
	Planned milestones	Achievements																	
<p><b>Subcomponent 2c:</b> Implementation Framework</p> <p><i>Purpose: Set out credible and transparent institutional, economic, legal and governance arrangements necessary to implement REDD+ strategy options</i></p> <p><i>Country Self- Assessment Criteria: (I) adoption and implementation of legislation/regulations; (ii) guidelines for implementation; (iii) benefit sharing mechanism; (iv) national REDD+ registry and system monitoring REDD+ activities</i></p>	<ul style="list-style-type: none"> <li>- A number of legislation and regulations on REDD+ in place</li> <li>- Guideline on REDD+ implementation is applied in the provinces</li> <li>- The benefit sharing mechanism is piloted in some places</li> <li>- (iv) in place</li> </ul>	<ul style="list-style-type: none"> <li>- During the report period, some documents related to REDD+ were supplemented such as Decision 149 on NRAP, Directive 13 on enhancement the direction of the Communist Party on Forest management, protection and development , Decree No. 147/2016/ND-CP dated November 2nd, 2016 of the Government on amending and supplementing a number of articles of the Decree 99/2010/ND-CP.</li> <li>- The PRAP guideline is applied in some provinces</li> <li>- UN-REDD Phase 2 is piloting the BDS in their six project provinces</li> <li>- The registry system is not yet in place</li> </ul>	<table border="1"> <tr> <td></td> <td></td> <td>Significant progress</td> </tr> <tr> <td></td> <td></td> <td>Progressing well, further development required</td> </tr> <tr> <td></td> <td></td> <td>Further development</td> </tr> <tr> <td></td> <td></td> <td>Not yet demonstrating progress</td> </tr> <tr> <td></td> <td></td> <td>Non Applicable</td> </tr> </table>			Significant progress			Progressing well, further development required			Further development			Not yet demonstrating progress			Non Applicable	<p><i>Please explain why:</i> The rights and benefit sharing mechanism from REDD+ (carbon title, land use right) are being developed.</p>
		Significant progress																	
		Progressing well, further development required																	
		Further development																	
		Not yet demonstrating progress																	
		Non Applicable																	

	Sub-component	Progress against annual targets		Tracking <sup>3</sup> (Please select your light rating)		
		Planned milestones	Achievements			
	<p><b>Subcomponent 2d:</b> Social and Environmental Impacts</p> <p><i>Purpose: Ensure compliance with the Common Approach and prepare a country specific Environmental and Social Management Framework (ESMF)</i></p> <p><i>Country Self- Assessment Criteria: (I) analysis of social and environmental safeguard issues; (ii) REDD+ strategy design with respect to impacts; (iii) Environmental and Social Management Framework</i></p>	<ul style="list-style-type: none"> <li>- Analysis of social and environmental safeguard issues in place;</li> <li>- Social and environmental impacts are assessed in the REDD+ strategy</li> <li>- ESMF in place</li> </ul>	<p>SESA phase 1 in the ER-P area is in place</p> <ul style="list-style-type: none"> <li>- Social and environmental impacts were assessed in the NRAP and ER-P strategy</li> <li>- ESMF was completed, in which the solutions to mitigate negative impacts were proposed.</li> </ul>			Significant progress
						Progressing well, further development required
						Further development
						Not yet demonstrating progress
						Non Applicable
				<p><i>Please explain why:</i></p> <p>The National SESA is under reviewed</p>		
R-PP Component 3 – Reference Emissions Level/Reference Levels	<p><b>R-PP Component 3</b> - Reference Emissions Level/Reference Levels</p> <p><i>Purpose: Development of the general approach to establish a REL/RL</i></p> <p><i>Country Self- Assessment Criteria: (I) demonstration of methodology; (ii) use of historical data, and adjusted for national circumstances; (iii) technical feasibility of the methodological approach, and consistency with UNFCCC/IPCC guidance and guidelines</i></p>	<ul style="list-style-type: none"> <li>(I) Methodology documented</li> <li>(ii) Historical data is available and adjusted for national circumstances</li> <li>(iii) Technical feasibility is consistent with UNFCCC guidance</li> </ul>	<ul style="list-style-type: none"> <li>- Methodologies are applied under the guideline of UNFCCC</li> <li>- The best database is provided by NFIMAP and the data is checked and updated with support from JICA, UN-REDD and Finland;</li> <li>- Technical feasibility was reviewed and updated</li> </ul>			Significant progress
						Progressing well, further development required
						Further development
						Not yet demonstrating progress
						Non Applicable

	Sub-component	Progress against annual targets		Tracking <sup>3</sup> (Please select your light rating)		
		Planned milestones	Achievements			
R-PP Component 4: Monitoring Systems for Forests and Safeguards	<p><b>Subcomponent 4a:</b> National Forest Monitoring System</p> <p><i>Purpose: Design and develop an operational forest monitoring system and describe the approach to enhance the system over time</i></p> <p><i>Country Self-Assessment Criteria: (I) documentation of monitoring approach; (ii) demonstration of early implementation; (iii) institutional arrangements and capacities-Forests</i></p>	<p>(I) Operational system to be used National Forest Inventory Monitoring and Assessment Program (NFIMAP) or National Forest Inventory and Statistics (NFIS) or Annual Forest and Forestland Monitoring Report Program (AFLMRP) for MRV, both clarification on which system to use</p> <p>(ii) NFIMAP, NFIS and Forest resource management information system (FORMIS) functioning</p> <p>(iii) QA system in place</p>	<p>(I) Under discussion;</p> <p>(ii) FORMIS made significant improvements during the period. NFIMAP and NFIS both functioning;</p> <p>(iii) Not yet</p>			Significant progress
						Progressing well, further development required
						Further development
						Not yet demonstrating progress
						Non Applicable
				<p>And explain why: Vietnam has a national forest inventory and a monitoring system but needs to have better technical capacity and apply both independent and participatory approaches.</p>		

Sub-component	Progress against annual targets		Tracking <sup>3</sup> (Please select your light rating)		
	Planned milestones	Achievements			
<p><b>Subcomponent 4b:</b> Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards</p> <p><i>Purpose: Specify the non-carbon aspects prioritized for monitoring by the country</i></p> <p><i>Country Self- Assessment Criteria: (I) identification of relevant non-carbon aspects, and social and environmental issues; (ii) monitoring, reporting and information sharing; (iii) Institutional arrangements and capacities – Safeguards</i></p>	<p>Non carbon benefits identified, social and environmental issues identified at nation (SESA) and provincial level</p> <p>(ii) monitoring, reporting and information sharing are in place</p> <p>(iii) Institutional arrangements and capacities are assessed</p>	<p>(I) Non-carbon benefits identified nationally and provincially through NRAP and PRAPs; UN-REDD Phase 2 is piloting the payment from the REDD+ services, including non-carbon services; other projects of FFI, SNV, and CERDA are piloting benefit sharing, including non-carbon benefit.</p> <p>(ii) The Safeguard Information System is being developed;</p> <p>(iii)The relevant laws, policies, and regulations on institutional arrangements of REDD+ and implementing them were analysed and assessed.</p>			Significant progress
					Progressing well, further development
					Further development
					Not yet demonstrating progress
					Non Applicable
			<p>And explain why: The safeguard information system (SIS) and National REDD+ Information system NRIS are underway and they have not been institutionalized yet; the management duty of non-carbon aspects has not been regulated yet;</p>		

Disbursement rate of FCPF-financed Readiness Fund Grant (>3.4 million USD), in percentage (FCPF M&E Framework 1.3.d.):																	
	Rate	Tracking															
RF Grant - disbursement rate vs. planned disbursements  <i>(Because the advance of the grant for the FCPF project phase 2 have just received, the disbursement rate of from the early 2017 up to now is considered as 0%)</i>	91% for the year of 2016	<p><i>Please select your rating:</i></p> <table border="1"> <tr> <td></td> <td></td> <td>Up to 10% variance with plans</td> </tr> <tr> <td></td> <td></td> <td>Between 10-25% variance with plans</td> </tr> <tr> <td></td> <td></td> <td>Between 25-40% variance with plans</td> </tr> <tr> <td></td> <td></td> <td>More than 40% variance</td> </tr> <tr> <td></td> <td></td> <td>Non Applicable</td> </tr> </table>			Up to 10% variance with plans			Between 10-25% variance with plans			Between 25-40% variance with plans			More than 40% variance			Non Applicable
		Up to 10% variance with plans															
		Between 10-25% variance with plans															
		Between 25-40% variance with plans															
		More than 40% variance															
		Non Applicable															

Disbursement rate of Total R-PP Budget in percentage (FCPF M&E Framework 1.3.d.):																	
	Rate	Tracking															
Total Budget in R-PP - disbursement rate vs. planned disbursements (including other funding sources and FCPF Readiness Grant)	85%	<p><i>Please select your rating:</i></p> <table border="1"> <tr> <td></td> <td></td> <td>Up to 10% variance with plans</td> </tr> <tr> <td></td> <td></td> <td>Between 10-25% variance with plans</td> </tr> <tr> <td></td> <td></td> <td>Between 25-40% variance with plans</td> </tr> <tr> <td></td> <td></td> <td>More than 40% variance</td> </tr> <tr> <td></td> <td></td> <td>Non Applicable</td> </tr> </table>			Up to 10% variance with plans			Between 10-25% variance with plans			Between 25-40% variance with plans			More than 40% variance			Non Applicable
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		Between 10-25% variance with plans															
		Between 25-40% variance with plans															
		More than 40% variance															
		Non Applicable															

### 3.2. Engagement of stakeholders within the approach to REDD +

Examples of actions/activities where IPs, CSOs, and local communities participate actively, if relevant (FCPF M&E Framework 3.1.a.):	
Action/activity:	Describe IP, CSO, and local community participation:
Meetings/ workshops	<p>CSOs and NGOs have participated at the national level through the Vietnam REDD+ Office (VRO), and various sub technical working groups (STWG) including the safeguards, REDD+ Local Implementation and REDD+ financing STWGs, have met during the reporting period;</p> <p>CSOs and NGOs cooperate on the various REDD+ projects also cooperate through the national REDD+ Network and Vietnam Climate Change Network, and there is also a national level FLEGT network;</p>
Consultations of ERPD development	IPs, CSOs, and local communities of six provinces in North Central Coast have participated actively in consultations for the ERPD development.



Consultations sought stakeholders' views on opportunities and constraints on access to forest and land, security of livelihoods and land use conflicts and involved 24 rural communities with 500 households including 295 women, 12 CPCs, 11 NGOs, 6 SUFs, 11 PFMBs and 8 SFCs and additional consultations for PRAPs.

A quantitative socio-economic baseline survey was completed covering 3,060 households (13,398 individuals) in 102 communes of the North Central Coast.

Number of IP and REDD country CSO representatives (men/women) having been successfully trained by FCPF training programs (FCPF M&E Framework 3.1.b.):

Please list the training conducted:	Duration (# of days)	# of participants # of men / # of women	✓		Targets in terms of number of men and women to be trained by country to be defined
1) 6 training courses on climate change and REDD+	30 days	182 participants (144 M, 38F)			
2) One training course on Payment of Forest Environment Services (Survey Toolkits, Field survey, Identification of potential payers, payment rates, payment methods)	3 days	33 participants (30 M, 3 F)	⚠	⚠	
3) Training for Steering Committees and related officials on REDD+, PFES, FLEGT	3 days	24 participants (22 M, 2 F)	⊘	⊘	
			N/A		Non Applicable

3.3. Knowledge sharing

Has your country developed and published REDD+ knowledge products with FCPF support:	
Yes/No:	<p>Please provide the list of published REDD+ knowledge products, if any during reporting period :</p> <p>1. Publications:</p> <ul style="list-style-type: none"> <li>- Posters of Benefits and impacts of joining REDD+, steps for development of plan of sustainable forest management, the principles of land use planning and forest land allocation (Vietnamese, H'Mong and Thai ethnic language)</li> <li>- Guidelines on low impact logging (Vietnamese)</li> <li>- Steps in participatory Land Use Planning and Forest Land</li> </ul>

	<p>Allocation (Vietnamese)</p> <ul style="list-style-type: none"><li>- The principles of sustainable forest management (Vietnamese)</li><li>- Safeguards Manual (Vietnamese)</li><li>- Introduction to FLEGT (Vietnamese)</li><li>- Climate change and REDD+ (H'Mong and Thai ethnic language)</li><li>- 04 posters of climate change and REDD+ (H'Mong and Thai ethnic <u>language</u>)</li></ul> <p><u>2. News updated in media</u></p> <ul style="list-style-type: none"><li>- Central level: 25 online news, 5 radio news, 7 paper news and 7 TV news</li><li>- Provincial level: 36 online news, 10 paper news and 13 TV news</li></ul>
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How many people have been reached by these knowledge products, if any: N/A
<p><u>Overall number by product:</u> Too difficult to estimate as most are through mass and multiple media outlets; around 120,000 people (100,000 people accessed news on media, and 20,000 people read printed communication materials)</p> <p><u># of Men:</u> N/A</p> <p><u># of Women:</u> N/A</p>

Have some experts of your country participated in any South-south learning activities? If yes, how many (men and women)?		
<u>Yes/No:</u>	<u>List the South-South learning activities:</u> Not any	<p><u># of men:</u>(IP/CSO representatives, private sector representatives)</p> <p><u># of women:</u> (IP/CSO representatives, private sector representatives)</p>

#### 4. ISSUES, CHALLENGES AND RISKS

This section should present any problems, difficulties or constraints faced by the country in making progress towards the intended REDD+ results (outputs, outcomes and possible impacts), the main causes and their expected effect on the work plan. Actions that have been taken to overcome or manage these constraints/flaws/problems identified should be stated. Each problem/constraint should be stated as a separate point, along with associated proposed changes in work planning for the next six month/year to address it, as relevant.

It is expected that the country monitors any changes in the assumptions that underpin the logic of intervention of FCPF at the national level and other significant risks that may arise. This section should explain through a narrative any changes in the level of risk associated with the different assumptions, or describe new risks that may have emerged and have a significant bearing on the national work-planning with respect to FCPF support for the next year and beyond, along with the associated measures required to address this change.

Issues/ challenges/ risks	Mitigation of the issues and changes incorporated into the work plan
Awareness raising and consultation with a large number of remote ethnic minority communities, this is resource intensive and time consuming so delays in the overall process are expected	(I) Increased emphasis on work at the provincial level and improved focus on communications targeting ethnic minorities; (ii) Additional funds and resources made available for communications and consultations and more funds for documents to be made available in local language; (iii) Additional resources for identifying target areas and communities for intervention; (iv) Allowance for longer period for consultations, more resources for more consultations, work with VNGOs and partner projects to try to expand access to remote communities.
Land tenure related issues, access to forest resources, land use/ encroachment, clear community forest titles	A new forest law is under development which is expected to help address some of the issues it is due in November 2017
A new NRAP has been developed which is expected to result in the a requirement for the Provincial REDD action plans (PRAP) to be updated	Plans to update PRAPs underway
The design of the BSM and BSP to effectively involve the remote ethnic minority communities remains a considerable challenge.	BSM design work has continued and is making progress especially for the ERP area
The design of the reference level (RL) and monitoring reporting and verification (MRV) approach requires some key decisions, considerable coordination of effort and increased transparency	The country has made good progress on a country RL and the RL for the ER-P area has been updated
The cross cutting safeguards issues between WB	Work on the SIS is progressing slowly but remains

<p>requirement and UNREDD/ UNFCCC requirements such as the development of an SIS and safeguards system them meets all REDD+ requirements are very challenging</p>	<p>a challenge.</p>
<p>The mechanism of results based payments will not encourage much ER-P provinces, while they need to spend amount of considerable money on achieving the objectives of emission reduction and carbon removals, MRV, safeguards, implementation of benefit sharing.</p>	<p>It is expected that the EP-P area could get the advanced payments in the first two years (if possible, 50% of the estimated maximum money for purchasing emission removals from the ER-P).</p>

## 5. MAIN LESSONS LEARNED

This section should be used to provide information on important lessons learned since the beginning of the readiness process. It is expected that this section will be fairly substantial, making reference to different lessons learned, analysis documents developed, and/or experiences made in dealing with issues of particular interest to REDD+.

- 1) The concept and approaches of REDD+ readiness are still rather new in the non external REDD+ support project areas;
- 2) Program continuity and consistency is important;
- 3) Costs of the preparation process were under estimated
- 4) Procurement procedures need to be simplified ;
- 5) Trying to introduce a safeguard approach for REDD+ that meets all donor requirements is also extremely challenging.