

**Forest Carbon Partnership Facility (FCPF) Readiness Mechanism  
Readiness Preparation Proposal (R-PP) External Review Template  
(interim, September 10, 2009, from Program Document FMT 2009-1, Rev. 3)**

*Objectives of a Readiness Preparation Proposal (condensed directly from Program Document FMT 2009-1, Rev. 3)*

*The purpose of the R-PP is to build and elaborate on the previous Readiness Plan Idea Note (R-PIN) or a country's relevant comparable work, to assist a country in laying out and organizing the steps needed to achieve 'Readiness' to undertake activities to reduce emissions from deforestation and forest degradation (REDD), in the specific country context. The R-PP provides a framework for a country to set a clear roadmap, budget, and schedule to achieve REDD Readiness. The FCPF does not expect that the activities identified in the R-PP and its Terms of Reference (ToR) would actually occur at the R-PP stage, although countries may decide to begin pilot activities for which they have capacity and stakeholder support. Instead, the R-PP consists of a summary of the current policy and governance context, what study and other preparatory activities would occur under each major R-PP component, how they would be undertaken in the R-PP execution phase, and then a ToR or work plan for each component. The activities would generally be performed in the next, R-PP execution phase, not as part of the R-PP formulation process.*

**Synthesis Review of R-PP of Vietnam PDR**

**Reviewers: Jayant Sathaye, Lead TAP reviewer + 5 TAP team reviewers**

**Date of original TAP review: October 5, 2010**

**Date of Revised TAP Review: October 17, 2010**

**Date of Second Revised TAP Review: January 31, 2011**

**Date of Third Revised Review: March 06, 2011**

**Short Summary of Comments by TAP of Vietnam R-PP**

**Original TAP Assessment on October 5, 2010:** Overall, the R-PP presentation is excellent, the text is well written and it is stated in a logical order, it is very well composed and addresses most of the key issues requested by the FCPF for each of the six components. The R-PP meets the Component Standards for most of the components subject to addressing the detailed comments and partially meets for one of them. The TAP review team has several clarifications and questions that are noted in each component. Addressing these topics would make the R-PP more comprehensive and it should readily be able to meet the standard. Following is a summary of the key issues related to each component and the TAP comments.

**Revised TAP Assessment on October 17, 2010:** Overall, the R-PP presentation is excellent, the text is well written and it is stated in a logical order, it is very well composed and addresses most of the key issues requested by the FCPF for each of the six components. The revised R-PP provided responses to all the comments. Responses to components whose standards were partially met or those in which significant detailed comments had to be addressed are noted below.

The first paragraph in the Executive Summary notes that Vietnam is now preparing the proposal for second phase of the UN-REDD Program under support of Norway to submit by the end of November 2010. The FCPF is kindly requested to support for MRV-related activities, so that this R-PP will only provide detailed information on some sections. The meaning and intent of this sentence is not clear since the R-PP should be written so as to meet all component standards with adequate detail in it even if a country does not intend to seek funding from the FCPF for that component.

**Revised TAP Assessment on January 31, 2011:**

The above Oct. 17 paragraph was revised and the text addresses the point raised above but one item is not corrected. On page 8, the revised 5 Million Hectares Reforestation Program should show that in year 2010 Vietnam would have 40% not 43% forest cover.

**Third Revised TAP Assessment on March 6, 2011:**

The text was revised to address the above suggested forest cover change.

**In Summary,**

Component 1 a)	Standard has been met.
Component 1 b)	Standard has been met.
Component 2 a)	Standard has been met.
Component 2 b)	Standard has been met.
Component 2 c)	Standard has been met.
Component 2 d)	Standard has been met.
Component 3	Standard has been met.
Component 4	Standard has been met.
Component 5	Standard has been met
Component 6	Standard has been met

**Standards to be Met by R-PP Components**

*(from Program Document FMT 2009-1, Rev. 3:)*

**Component 1. Organize and Consult**

**Standard 1a: National Readiness Management Arrangements**

The cross-cutting nature of the design and workings of the national readiness management arrangements on REDD, in terms of including relevant stakeholders and key government agencies beyond the forestry department, commitment of other sectors in planning and implementation of REDD readiness;

**Reviewer’s assessment of how well R-PP meets this standard, and recommendations:**

**Original TAP Assessment on October 5, 2010:** This section provides information on the arrangements for management of national readiness. Vietnam has established a REDD Network and a Technical Working-Group (TWG). The Network is chaired by the Director General of the Directorate of Forestry, which advises the NRE minister about state management and implements national forestry management tasks, and is in charge of the overall development of the forestry sector. The Network is co-chaired by an international development partner (Norway). Membership of the REDD Network is open-ended. It is currently composed of relevant ministries, international organizations, and universities.

The Technical Working Group (TWG) on REDD+ assists operations of the National REDD Network on technical and administrative aspects. It is also chaired by the Network Leader. The TWG meets more regularly, about every two months. It is focused on four critical topics that will help achieve an effective REDD+ program (i) REDD+ Governance, (ii) MRV, (iii) REDD+ financing and benefit distribution; and (iv) Local Implementation of REDD+.

**Comment:** Overall, this section is well prepared and the proposed REDD structure has most of the members that would constitute a complete group. Among others, it is encouraging to note that the ministries include those of agriculture, energy, finance, and science and technology. As the R-PP notes in a later section the D&D activities result in part because of differences in energy and forestry and agriculture and forestry ministries. Regular coordination among ministry officials will help in establishing ways or laws to overcome these types of differences.

1. One apparent drawback is the lead agency for the Network is DoF and not the Prime Minister’s office. As noted above, would this really be an effective approach to coordinate and resolve

differences with other ministries? Since the Network has been functioning for about one year since Sept. 2009, how effective has it been in establishing interagency harmony?

2. The large number of members of the National REDD Network will make it difficult for the network to be an effective coordination body. Preferably, a sub-group should be delegated to carry out the main tasks, such as preparing an action plan, which would then be approved by the larger body. The sub-group could meet regularly with the Technical Working Group.
3. The Network does not list members that represent local communities and as noted in the document it has limited private sector participation. It will be very important to invite local communities and NGOs to participate in the Network. The central government should clarify what and to what extent the government agency system can do and what the government agency system cannot do because of limitation of financial or human resources, and what requires the engagement of NGOs and social organizations during the REDD process

**Revised TAP Assessment on October 17, 2010:** No further comment, as most of the original comments have been addressed in the revised R-PP.

**Second Revised TAP Assessment on January 31, 2011:**

1. The revised proposal includes the establishment of the Vietnam REDD+ Steering Committee. This is a positive step, provided that the new oversight group can in fact coordinate all of the REDD+-related activities in Vietnam. Also, the proposal for the establishment of a joint working group on development of REDD+, NAMAs, MRV, and integration of these into socio-economic development plans is sensible. The engagement of NGOs is defined more clearly, which would help the monitoring process.
2. It will be important to continue to promote the participation of local stakeholders, particularly those involved in community-based forest management, as well as ethnic groups, particularly in Northern Vietnam.
3. The role of the REDD office is not as clear now. Its main role has been as a coordinator. How can it be made to function as an administrative organization?
4. Will VNFOREST work with scientific organizations to do forest inventory and monitoring programs? How?
5. Budget period and expenses need to be updated throughout the document since the project will begin in 2011 and not 2010.

**Third Revised TAP Assessment on March 6, 2011:**

1. All of the above comments have been addressed in the revised document. It now provides clear update on pilot programs that engage local civil society organizations and communities, clarifies the role of MARD and expansion of the REDD+ Office, notes the engagement of ministries that may have negative REDD impact, and revises the budget to reflect these changes.

#### **Standard 1b: Stakeholder Consultation and Participation**

Ownership, transparency, and dissemination of the R-PP by the government and relevant stakeholders: Inclusiveness of effective and informed consultation and participation by relevant stakeholders, assessed in the following ways:

- i. the consultation and participation process for R-PP development thus far<sup>3</sup>, the extent of ownership within government and REDD coordinating body, as well as in the broader national stakeholder community; and

<sup>3</sup> Did the R-PP development, in particular the development of the ToR for the strategic environmental and social assessment and the Consultation and Participation Plan, include civil society, including forest dwellers and Indigenous Peoples representation? In this context the representative(s) will be determined in one of the following ways: (i) self-determined representative(s) meeting the following requirements: (a) selected through a participatory, consultative process; (b) having national coverage or networks; (c) previous experience working with the Government and UN system; (d) demonstrated experience serving as a

the Consultation and Participation Plan included in the R-PP (which looks forward in time); and the inclusion of elements in the R-PP that adequately document the expressed concerns and recommendations of relevant stakeholders and propose a process for their consideration, and/or expressions of their support for the R-PP.

**Reviewer's assessment of how well R-PP meets this standard, and recommendations:**

**Original TAP Assessment on October 5, 2010:** The R-PP preparation included meetings with relevant organizations and institutions such as government ministries and departments, multilateral and bilateral donor agencies, national and international NGOs, research organizations and institutes and organizations supporting ethnic minority and forest dependent communities. The document lays out a consultation and participation plan whose development was facilitated by a meeting of the Technical Working Group. Participation of IPOs has been given high priority to date and their future participation will be facilitated by pursuing continued consultation, capacity building, raising awareness, and outreach and program management activities.

Comments:

1. The consultation processes noted in the proposal are relatively limited. Bulk of the consultation process will be undertaken during the R-PP process. The process thus far does not appear to have consulted with IPOs, who deserve a high priority given the challenges REDD+ is likely to face, which are noted in the Strategy and Implementation sections.
2. The document also notes the extensive involvement of seven international partners, which is very encouraging, but there is no explicit mention of the involvement of IPOs in their activities either.
3. There is no explicit mention of the inputs received from participants during the meeting sessions.
4. How important are private companies today and in the future relative to state operating companies?
5. Page 19 notes three sub-WGs have been established but page 13 lists four?
6. The consultation and participation plan notes the need for public dialogue at the community level, which is very good. Would be even better if this were initiated to support the preparation of the R-PP.
7. Community-based and rights-based approach, and the role of local community/ethnic minority groups should be asserted clearly as a stakeholder or owner of REDD
8. It is important to get the interest and support of the provinces and districts, but establishing a pilot provincial level Technical Working Group may not be the best way to start this process. It would be better to bring together stakeholders at this level through UN-REDD, which has already piloted FPIC in Lam Dong province as noted in the plan.
9. Working at two levels - national and community - is very sensible, but once again, it is essential to have a process for achieving feedback and showing the stakeholders how that is being used. This may involve changes in national plans because of community opposition - but these are the things that must be worked out.
10. The budget for the web-based part of this component seems too small to accomplish what needs to be done - it should at least be doubled.
11. The proposal does a quite complete job of engaging national level participants and partners but the number of activities to engage state and local level participants particularly IPOs is very limited.

**Revised TAP Assessment on October 17, 2010:** There has been limited participation of local communities and Indigenous Peoples Organizations in development of the R-PP. The *revised document* notes that there is no substantial involvement of the private sector and local communities at present because i) they may not see any direct benefits in short run from the network participation; ii) the Network does not provide

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representative, receiving input from, consulting with, and providing feedback to, a wide scope of civil society including Indigenous Peoples organizations; or (ii) Individual(s) recognized as legitimate representative(s) of a national network of civil society and/or Indigenous Peoples organizations (e.g., the GEF Small Grants National Steering Committee or National Forest Program Steering Committee).

financial support for their participation (at least costs for travelling and accommodations), and iii) they might not have enough information on the REDD program. In order to promote the participation of these types of stakeholders, the VNDoF has launched public awareness campaigns and discussed with the UN-REDD Program and other potential partners for providing support. However, it is aware that it is not easy to get all interested local communities to be involved in the national REDD Network. Therefore, the VNDoF is considering the establishment of sub-national REDD Networks and organization of meetings at regions and provinces to enable local communities and organizations (e.g., ethnic committee, farmer association, women union, etc.) to take parts in the REDD activities. In its pilot area - Lam Dong province, the UN-REDD Program in Vietnam has conducted FPIC exercise and organized numerous meetings with local stakeholders to introduce on climate change and REDD. In addition, the VNDoF also promotes the activities of the Sub-Technical Working Group on Local REDD implementations that is aimed to encourage participation of private sector and local stakeholders.

**Second Revised TAP Assessment on January 31, 2011:**

1. This component has not changed in the revised R-PP. The plans for consultation and participation seem reasonable and comprehensive in terms of achieving input, but this process is not concluded and it is not clear how feedback will be handled. If the consultation is handled well, then Viet Nam will have met this standard. Proper inclusion of and response to feedback will allow stakeholders to hold each other accountable and reduce the risk that the complexity inherent in consultation is not used as a means for derailment of the REDD activity. The work plan for this component needs to include feedback. It is important to recognize that consultation in other countries has shown that conducting several rounds of consultations can be costly, that some sets of stakeholders may not participate as fully as others, and that the views of the stakeholders that do participate may not represent the views of the entire community. Effective consultation requires inclusion, recognition of issues, feedback, and action. The plan states that the objectives are to both integrate comments into the National REDD Strategy and to explain why certain comments can't be included - these objectives must be followed, otherwise the consultation process will be viewed as unreliable.
2. Local community or ethnic minority people seem to be the passive beneficiaries. They need to be in an active role or as owner of REDD program.
3. The budget for the web-based part of this component seems too small to accomplish what needs to be done. it would be good to at least double it.

**Third Revised TAP Assessment on March 6, 2011:**

1. The revised document addresses the above comments. It provides additional information on the extensive engagement of local communities and stakeholders in ongoing pilot projects, and shows a slightly increased budget which will be spend over three instead of four years.

**Component 2. Prepare the REDD Strategy**

**Standard 2.a: Assessment of Land Use, Forest Policy, and Governance:** A completed assessment is presented that identifies major land use trends, direct and indirect deforestation and degradation drivers in the most relevant sectors in the context of REDD, and major land tenure and natural resource rights and relevant governance issues. It documents past successes and failures in implementing policies or measures for addressing drivers of deforestation and forest degradation, and identifies significant gaps, challenges, and opportunities to address REDD. The assessment sets the stage for development of the country's REDD strategy to directly address key land use change drivers.

**Reviewer's assessment of how well R-PP meets this standard, and recommendations:**

**Original TAP Assessment on October 5, 2010:** Vietnam's forest cover has increased from 9.2 Mha in 1992 to 12.74 Mha in 2007 (38% of land area) 2.5 Mha of it due to new plantations. Rich and closed-canopy forests constitute only 4.6 percent of the total. Its goal is to increase forest cover to 43% for which it has passed several legislations and government programs to accelerate implementation since 2000. Viet Nam is also the

first country in Southeast Asia to pilot a scheme of Payments for Forestry Ecological Services (PFES) in 2008. The focus has been on capturing the value of watershed protection services.

The current main direct causes of deforestation and forest degradation are generally agreed to be a result of: (i) conversion to agriculture (particularly to industrial perennial crops); (ii) unsustainable logging (notably illegal logging); (iii) the impacts of infrastructure development; and (iv) forest fires. There are other direct drivers such as invasive species, mining, bio-fuels and climate change.

Comment:

The material reported in this section provides quite complete information to answer the issues noted in this component of the R-PP to the extent data and information exist. It discusses agricultural, energy and other rules and laws and how these have and/or are affecting deforestation rates in the reported regions.

1. The proposal appears to focus on a small amount of natural forest, about 17% of forest cover by one estimate. Since it is a REDD+ program will it also cover rest of the forest areas that include areas under native vegetation and artificially-established tree cover (supported by KfW, World Bank, and other agencies)? Native ecosystems probably the most vulnerable to conversion and degradation and should be the major focus of REDD+ programs.
2. Most forest policies are mentioned, but one of them is missing in this R-PP, This is Decree No 23/2006, date 03/03/2006 about the guideline of implementation of forest protection and development law, or Decision No 100/2007/QD-TTg. Date 06/07/2007 about the revising of 661 decision of prime minister on 5 million ha program.
3. It mentions the need to take leakage into consideration. Would be helpful if it could provide more information to accomplish this task.
4. The budget sheet shows the various items that studies would cover. Missing is a study of illegal logging which is listed as one of the important drivers of deforestation.
5. The R-PP lacks information about the successes/failures of the many past policies that were put forward by the legislature for implementation by forestry entities. Also, how effective was the interaction between DoF and other agencies that oversee the drivers of DD?
6. A major reason for D&D is the weakness of law enforcement through low coordination between forest guards, police, customers, as well as local authorities. Even Vietnam has decision No 245 for decentralization of the responsibility for local authority in commune level by the forest protection, but it has not worked well.
7. Why is the funding for 2a. so much lower than for 2b? The latter requires strategy development, which should not be so much more expensive to accomplish than the detailed studies needed for 2a.

**Revised TAP Assessment on October 17, 2010:** No further comment, as most of the original comments have been addressed in the revised R-PP.

**Second Revised TAP Assessment on January 31, 2011:**

1. The revised proposal includes some minor changes in this section.
2. The proposal should note whether it would analyze potential conflicts between local communities with private companies. State enterprises in terms of forest land allocation would add a useful insight into implementation challenges and solutions.

**Third Revised TAP Assessment on March 6, 2011:**

1. The revised document addresses the above comment by noting that the government has already put in place policies to allocate land to local communities and plans to do more policy work on improving the interaction between private sector and communities.

**Standard 2.b: REDD strategy Options:** Alignment of the proposed REDD strategy with the identified drivers of deforestation and forest degradation, and with existing national and sectoral strategies: the R-PP includes a summary of the emerging REDD strategy to the extent known presently, and of proposed analytic work (and, optionally, ToR) for assessment of the various REDD strategy options. This summary states:

- i. how the country proposes to address deforestation and degradation drivers in the design of its REDD strategy;
- ii. early estimates of cost and benefits of the emerging REDD strategy, including benefits in terms of rural livelihoods, biodiversity conservation and other developmental benefits;
- iii. socioeconomic, political and institutional feasibility of the emerging REDD strategy;
- iv. major potential synergies or inconsistencies of country sector strategies in the forest, agriculture, transport, or other sectors with the envisioned REDD strategy; and
- v. risk of domestic leakage of greenhouse benefits. The assessments included in the R-PP eventually should result in an elaboration of a fuller, more complete and adequately vetted REDD strategy over time.

**Reviewer's assessment of how well R-PP meets this standard, and recommendations:**

**Original TAP Assessment on October 5, 2010:** The document lays out a quite comprehensive plan for addressing D&D drivers, evaluation of costs and benefits, and examining major potential synergies and challenges of country sector strategies. It includes several TORs in Annex 2.a-2 to accomplish these goals. In terms of piloting REDD strategy, a suggestion of monitoring high mangrove cover under threat is an excellent idea, and one that could be a pilot not just for Viet Nam, but for all countries with mangrove cover. Monitoring limestone forests will also be a possible pilot program.

Comment:

1. The write up is missing two components that are required to meet the standard set for this sub-component. One is the provision of early estimates of costs and benefits of the emerging REDD strategy including benefits in term of rural livelihoods, etc. And second is the lack of information about the risk of domestic leakage of greenhouse gas benefits.
2. There are several points that will need to be addressed as the process continues - first, it is essential that plans are monitored with third party verification, but it is not clear that that verification is at this point. Community Forest Management is identified as a potentially promising management system, but has been hard to implement in Viet Nam - so what will change here? There is a statement that a more comprehensive consultation process must be undertaken, but what will that process be, and how will the feedback be incorporated into the REDD+ planning? The details are not provided

**Revised TAP Assessment on October 17, 2010:** The R-PP was missing the documentation of two items. One was provision of early estimates of costs and benefits, and second was lack of information about the risk of domestic leakage. The *revised document* notes that the UN-REDD Program in Vietnam is now recruiting some international and national experts to carry out a study on cost-benefit analysis of the REDD+ implementation in Lam Dong province. The ICRAF is also conducting a similar study in Dak Nong province.

The *revised document* also notes that a study on risk of domestic leakage might be conducted during the implementation of the 2<sup>nd</sup> phase of the UN-REDD Program. Since R-PP is a readiness document and the coverage of REDD focuses more heavily on the natural forests but less on other land uses (plantations for instance), it is important that leakage be covered in the current R-PP and not be left open for the next phase.

**Second Revised TAP Assessment on January 31, 2011:**

The revised proposal includes some minor changes in this section.

1. The Oct. 17<sup>th</sup> comment about conducting analysis of domestic leakage is not addressed in the

revised document.

2. Including analysis of potential conflicts between local communities with private companies and state enterprises in terms of forest land allocation would add a useful insight into implementation challenges and solutions.

**Third Revised TAP Assessment on March 6, 2011:**

1. The revised document addresses earlier comments including addressing the domestic leakage for which a budget component has been allocated.

**Standard 2.c: REDD implementation framework:** Describes activities (and optionally provides ToR in an annex) to further elaborate institutional arrangements and issues relevant to REDD in the country setting that identifies key issues, explores potential arrangements to address them, and offers a work plan that seems likely to allow their full evaluation and adequate incorporation into the eventual Readiness Package.

**Reviewer's assessment of how well R-PP meets this standard, and recommendations:**

**Original TAP Assessment on October 5, 2010:** The document correctly notes the three issues that need to be addressed as a priority in Viet Nam: (1) the rights to carbon, land and forests, particularly forest allocation and associated land use rights; (2) coordination of the action of the government authorities involved with REDD, in particular MARD and MONRE; and (3) ensuring that all legitimate beneficiaries are recognized, in particular addressing the legal status of local communities. It further focuses on the creation of a dedicated REDD+ fund as well as ways to retain revenues by the government and to provide local payments. Given the extent of the current involvement of UN-REDD it makes sense to engage UN-REDD in trials of legal, institutional and policy issues.

Comments:

This is an informative section that sheds light on many of the ongoing REDD-related activities in Vietnam. The topics covered by the implementation plan are quite comprehensive.

1. The R-PP shows nine activities for practicing REDD in Vietnam. How are these to be prioritized? One option is to do legal framework as the first one followed by legal payment structure, monitoring, strengthening law enforcement, and designing socially acceptable recourse mechanism.
2. Also, important to add information channel at the community level, two-way feedback and consultation channel with villagers, and inclusion of local people in the monitoring process.

**Revised TAP Assessment on October 17, 2010:** No further comment, as most of the original comments have been addressed in the revised R-PP.

**Second Revised TAP Assessment on January 31, 2011:**

1. The Special Forest Protection Management Board should not be the eligible entity to REDD and benefit from REDD since they are the administrative governmental agency. It should be the communities/village or group of households who sign the 50 year contract with special use/protection management board to protect the special use/protection forest according to Decree 178, 2001.
- 2.

**Third Revised TAP Assessment on March 6, 2011:**

1. The revised document notes the challenges in setting up payments to multiple land owners and notes that the PM has requested MARD to formulate a regulation on these issues.

**Standard 2.d: Assessment of social and environmental impacts:** The proposal includes a program of

work for due diligence for strategic environmental and social impact assessment in compliance with the Bank's safeguard policies, including methods to evaluate how to address those impacts via studies, consultations, and specific mitigation measures aimed at preventing or minimizing adverse effects.

**Reviewer's assessment of how well R-PP meets this standard, and recommendations:**

**Original TAP Assessment on October 5, 2010:** The SESA documentation provided in the R-PP is quite complete and it plans to match it with the SEA for Vietnam that is due to be finalized in October 2010. It explicitly calls for compliance with the World Bank's Safeguard Policies related to environmental evaluation, natural habitat, indigenous persons, physical cultural resources, involuntary settlement and forestry. It also provides a list of national and international experts who will participate in the SESA activities.

**Revised TAP Assessment on October 17, 2010:** There was a reference to the need for complete separation and independence in development projects between project design and environmental/social impact assessment. This implies that a project will be designed, subjected to an ESIA and then re-designed to accommodate environmental and social concerns. This is an inefficient and out-of-date perception, and is not the way the project design process works any more. *ESIA should be a fundamental part of project preparation from inception to final project design.* The "separation and independence" must be in the people who carry out these functions, but they must be equal partners in reaching a final, integrated project design.

**Second Revised TAP Assessment on January 31, 2011:**

1. There does not appear to be a response to above comment in the text.

**Third Revised TAP Assessment on March 6, 2011:**

1. The revised document addresses the above comment.

**Component 3. Develop a Reference Scenario**

**Standard 3 Reference scenario:** Present work plan for how the reference scenario for deforestation, and for forest degradation (if desired), will be developed, including early ideas on feasibility of which methods to use (e.g., scenario of forest cover change and emissions based on historical trends in emissions and/or based on projections into the future of historical trend data), major data requirements and capacity needs, and linkages to the monitoring system design.

(The FCPF recognizes that key international policy decisions may affect this component, so a staged approach may be useful. The R-PP states what early activities are proposed.)

**Reviewer's assessment of how well R-PP meets this standard, and recommendations:**

**Original TAP Assessment on October 5, 2010:** Discussions in Viet Nam on the establishment of baselines for the REDD+ mechanism have focused on Reference Levels (RL) and Reference Emission Levels (REL). Distinction has been made between retrospective RELs based on historical data and prospective RLs based on extrapolation of past trends or forecasting based on modeling. These activities will also engage national and international stakeholders through the sub-technical working group on MRV, which is critical for appropriate representation of existing forest cover and carbon density. Vietnam intends to forego accounting for historical emissions from forest degradation because of its complexity and lack of data. Because of the support of UN-REDD, JICA, NORDECO-Finland, FAO, no funding is requested from FCPF for this activity.

Comment:

1. Review and assessment of quality for the four forest inventory cycles data from the National Forest Inventory Programme should include map standardization. Since historical forest maps have been generated from different sources and by using different methods, they (maps) are at different scale and with different legends (level of details). To be comparable by GIS method,

maps should be converted into standard.

2. The proposed activities are good and will help in compiling historical data and preparing future scenarios. It is important however to link DD drivers to the historical data. In order to do this, historical DD driver data needs to be compiled and matched with the change in forest cover over this period. Although multiple scenarios may be needed to overcome the potentially high uncertainty range given the lack of good historical data.
3. A critical factor in the preparation of the future reference scenario is the change in government or industry policies that can bring about sudden changes in the rates of deforestation.
4. Given the significant impact of economic drivers that contribute to major exports, it will be extremely important to consider these in the development of reference case scenarios.
5. The sectional information provided is more in the form of a list rather than a work plan with deliverables and time line. There is not yet a good ToR or work plan for this Component - this is true also for Component 4.
6. Establishing reference scenarios is another area where, in addition to UN-REDD, the international Group on Earth Observations (GEO) program can be helpful.

**Revised TAP Assessment on October 17, 2010:** No further comment, as most of the original comments have been addressed in the revised R-PP.

**Second Revised TAP Assessment on January 31, 2011:**

1. The revised plan continues to identify most of the activities that need to be carried out, and some additional key areas of work have been added including an interim national reference emission level. This is a positive development, as is the fact (newly noted) that VNFOREST is now consulting with international bodies and consulting experts on international requirements and methods for development of the REL/RL. The next step is the development of a work plan with time lines and deliverables and responsible parties (a good example is the set of outcome chain charts that have been developed for Cambodia.)
2. The funding requested from FCPF is zero, but coordination with Cambodia and other FCPF countries should still be carried out to share information and learn from their programs.

**Third Revised TAP Assessment on March 6, 2011:**

1. The revised document acknowledges the need to put together a work plan and also adds a new topic to validate 1995 and 2005 data.

#### **Component 4. Design a Monitoring System**

**Standard 4: Design a monitoring system:** The R-PP provides a proposal for the initial design of an integrated monitoring system of measurement, reporting and verification of changes in deforestation and/or forest degradation. The system design should include early ideas on including capability (either within an integrated system, or in coordinated activities) to monitor other benefits and impacts, for example rural livelihoods, conservation of biodiversity, key governance factors directly pertinent to REDD implementation in the country, and to assess the impacts of the REDD strategy in the forest sector.

The R-PP should describe major data requirements, capacity requirements, how transparency of the monitoring system and data will be addressed, early ideas on which methods to use, and how the system would engage participatory approaches to monitoring by forest-dependent indigenous peoples and other forest dwellers. It should also address independent monitoring and review, involving civil society and other stakeholders, and how findings would be fed back to improve REDD implementation. The proposal should present early ideas on how the system could evolve into a mature REDD monitoring system with this full set of capabilities.

(The FCPF recognizes that key international policy decisions may affect this component, so a staged approach may be useful. The R-PP states what early activities are proposed.)

**Reviewer's assessment of how well R-Plan meets this standard, and recommendations:**

**Original TAP Assessment on October 5, 2010:** The monitoring set up is quite complete and covers most of

the topics that are traditionally covered in the estimation of forest cover inventory and the embedded carbon content; it also goes beyond carbon stock to include other sustainable development factors. The plan lays out the activities that must take place, and identifies the many groups that must be involved in consultation for the MRV system. The need for both in situ measurement and satellite based monitoring is also properly identified. The plan notes that such a design will have to be made, and lists the elements. This is all reasonable, but as yet there is no design for the MRV system and no detailed ToR or work plan to get to the design and implement the system.

Comment:

1. There is no description of earlier monitoring activities in Vietnam. It is thus not clear what data exists since 1992 or earlier and how these might be used to build into the proposed MRV system.
2. National data infrastructure will be required, including a full GIS capability including hardware and software and all the requisite training, but it is not clear how this will be developed.
3. But as above in Component 3, there is no work plan to show how the direct linkage between the FOMIS and the MRV system will be put in place particularly since the implementation will be different at the national and province level.
4. In terms of methodology and standards, the IPCC provides Good Practice Guidance, and GOFC-GOLD and others have made suggestions about approaches and methodology for implementing measurement programs. In the absence of international agreements on standards, it makes sense for countries like Viet Nam to implement validation on a pilot basis and to provide this to independent auditors. If Viet Nam follows the phased approach to establishing a system based on best practice and available information, it is to be expected that the MRV system as developed will be easily adaptable to whatever standards are eventually agreed to.
5. Forest Science Institute of Viet Nam (FSIV) will provide the additional data (Level 2) to convert the Level 1 data into biomass estimates. But they are not finished with all the forest types in Vietnam. They could continue to do so for a long time, because the cost is very high. If other international organizations can help Vietnam to do it, it could be included in this project.
6. It leaves out the coverage of monitoring of D&D drivers, which is a critical element for a REDD program. Since the system is being designed to monitor future D&D drivers, it is important that this element be included in the monitoring system design.

**Revised TAP Assessment on October 17, 2010:** There is extensive coverage of this component in the document, but it lacks the monitoring of Deforestation and forest degradation drivers, which is a critical element of a REDD program. *It is important that this element be included in the monitoring system design.*

**Second Revised TAP Assessment on January 31, 2011:**

1. The revised plan starts with a strong statement about the commitment of the government to develop "robust and transparent MRV systems", and notes that MARD is now in discussion with outside funders for support. But, as yet there is not even an interim design for the MRV system and no detailed ToR or work plan to get to the design and implementation of the system.
2. The plan states that the information generated by the MRV system can be used as detailed input into the FOMIS system - this will be critical for success and the links between the MRV system and the FOMIS system should be explicit. But as above in Component 3, there is no work plan to show how the direct linkage between the FOMIS and the MRV system will be put in place. Implementation of such a plan will be different at the national level and in the five pilot provinces - this differentiation is important and must be considered carefully.
3. The definition of the interface of the MRV system with the immediate stakeholders is identified as an important element, but the plan for development is not discussed. This interface, also known as the decision support tool, allows stakeholders from government officials to communities to the

private sector to try scenarios and make decisions. It should be developed as an integral part of the MRV system design. It will also be important to work out how local people and communities can play a role in monitoring emissions - this need will feed into the design of the MRV system.

**Third Revised TAP Assessment on March 6, 2011:**

1. The revised document includes a chart that shows the interim design of an MRV system. It also notes Vietnam's intent to work together with other participating countries.

**Component 5. Schedule and Budget**

**Standard 5: Completeness of information and resource requirements**

The R-PP proposes a full suite of activities to achieve REDD readiness, and identifies capacity building and financial resources needed to accomplish these activities. A budget and schedule for funding and technical support requested from the FCPF, as well as from other international sources (e.g., UN-REDD or bilateral assistance) are summarized by year and by potential donor. The information presented reflects the priorities in the R-PP, and is sufficient to meet the costs associated with REDD readiness activities identified in the R-PP, or gaps in funding are clearly noted.

**Reviewer's assessment of how well R-PP meets this standard, and recommendations:**

**Original TAP Assessment on October 5, 2010:** The budget proposed is realistic. It is impressive to see how well Viet Nam has leveraged funding, with good engagement of other international entities.

**Revised TAP Assessment on October 17, 2010:** No further comment.

**Second Revised TAP Assessment on January 31, 2010:**

1. The budget is realistic and demonstrates how Vietnam is combining funding from several sources into a strong REDD+ program.

**Component 6. Design a Program Monitoring and Evaluation Framework**

**Standard 6:** Adequately describes the indicators that will be used to monitor program performance of the Readiness process and R-PP activities, and to identify in a timely manner any shortfalls in performance timing or quality. The R-PP demonstrates that the framework will assist in transparent management of financial and other resources, to meet the activity schedule.

**Reviewer's assessment of how well R-PP meets this standard, and recommendations:**

**Original TAP Assessment on October 5, 2010:** Component 6 is included in the submitted proposal and it provides a good description of the proposed activities, the use of the logical framework matrix, and how the monitoring and evaluation will be conducted. Monitoring needs to be conducted internally on a regular basis and a plan needs to be laid out for this purpose. Evaluation should be done periodically through external reviewers who can attest to the status of activities and whether they meet the monitoring plan schedule and planned outputs.

**Revised TAP Assessment on October 17, 2010:** No further comment, as most of the original comments have been addressed in the revised R-PP.

**Second Revised TAP Assessment on January 31, 2010:**

1. No further comment.