



**MINISTRY OF AGRICULTURE AND RURAL DEVELOPMENT**

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**PARTICIPATORY SELF-ASSESSMENT OF THE REDD+  
READINESS PACKAGE IN VIETNAM**



**Hanoi, July 2016**

## ACRONYMS

AD	Activity Data
AFLMRP	Annual forest and land monitoring report program
AIPP	Asian Indigenous People Pack Foundation
ARDS	Agricultural and rural development sector
AGB	Above Ground Biomass
BSM/BDM	Benefit Sharing Mechanism/ Benefit Distribution Mechanism
BGB	Below Ground Biomass
CC	Climate Change
CEMA	Committee of Ethnic Minorities Affairs
CERDA	The Centre of Research and Development in Upland Areas
CF	Carbon Fund
CIFOR	Centre for International Forestry Research
COP	Conference of the Parties
CPMU	Central Project Management Unit
CSDM	Centre for Sustainable Development in Mountainous Areas
CSO	Civil Society Organizations
DARD	Department of Agriculture and Rural Development
DECOPEN	Development and Policies Research Centre
DPC	District People's Committee
EF/RF	Emissions factor/Removal factor
EMDF	Ethnic Minority Development Framework
EMF	Environmental Management Framework
ER	Emission Reduction
ER-P	Emission Reduction Program
ER-PD	Emission Reduction Program Documents
ER-PIN	Emission Reduction Program Idea Note
ERPA	Emission Reduction Program Agreement
ESMF	Environmental and Social Monitoring Framework
FAO	Food and Agriculture Organization
FCPF	Forest Carbon Partnership Facility
FCPF project	The project on Support for the REDD+ readiness preparation in Vietnam
FFI	Fauna and Flora International
FGRM/ GRM	Feedback grievance redress mechanism
FIPI	Forest Inventory and Planning Institute

FLA	Forest Land Allocation
FLEGT	Forest Law Enforcement, Governance and Trade
FORMIS	Forestry Sector Management Information System
FPD	Forest Protection Department
FPIC	Free, Prior and Informed Consent
FREL/FRL	Forest Reference Emission Level and Forest Reference Level
FSC	Forest Stewardship Certificate
GAP	Gender Action Plan
GHG	Green House Gases
GIZ	Die Deutsche Gesellschaft für Internationale Zusammenarbeit
GOV	Government of Vietnam
IPCC	Intergovernmental Panel on Climate Change
IPLO	International Development Law Organization
JICA	Japanese International Cooperation Agency
KfW	German Reconstruction Bank
LULUCF	Land Use, Land Use Change and Forestry
MARD	Ministry of Agriculture and Rural Development
MBFPs	Management Board of Forest Projects
M&E	Monitoring and Evaluation
MIC	Ministry of Information and Communication
MoF	Ministry of Finance
MONRE	Ministry of Natural Resources and Environment
MOST	Ministry of Science and Technology
MPI	Ministry of Planning and Investment
MRV	Measuring, Reporting, Verifying
NCC	Northern Central Coastal
NFA	National forest assessment
NFIMAP	National Forestry Inventory and Monitoring and Assessment Program
NFIS	National Forest Inventory Survey
NFMS	National Forest Management System
NGOs	Non-governmental organizations
NRAP	National REDD+ Action Plan
NRF	National REDD+ Fund
NRIS	National REDD+ Information System
NRSC	National REDD+ Steering Committee

NTFPs	Non-timber Forest Products
PFES	Payment for Forest Environmental Services
PFMB	Protection Forest Management Board
PLR	Policies, Laws and Regulations
PPC	Provincial People's Committee
PPMU	Provincial Project Management Unit
PPS	Proportional to Size (PPS) sampling method
PRAP	Provincial REDD+ Action Plan
PRSC	Provincial REDD+ Steering Committee
R-PIN	Readiness Program Idea Note
R-PP	REDD+ Preparation Proposal
RECOFTC	The Centre for People and Forests
REDD+	Reducing Emissions from Deforestation and Forest Degradation, Conservation of forest carbon stocks, Sustainable Management of Forest and Enhancement of forest carbon stocks
SESA	Strategic Social and Environmental Impact Assessment
SFCs	State Forest Companies
SFM	Sustainable Forest Management
Si-RAP	Commune REDD+ Action Plan
SIS	Safeguard information system
SNV	Netherlands Development Organization
SRD	Centre for Sustainable Rural Development
STWG	Sub-Technical Working Groups
SUSFORM-NOW	Project for Sustainable Forest Management in the Northwest Watershed Area in Dien Bien province
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
USAID	United States Agency for International Development
VNFF	Vietnam Forest Fund
VNFOREST	Vietnam Administration of Forestry
VFD	Vietnam Forest and Delta Program
VRO	Vietnam REDD+ Office
WB	World Bank
WWF	World Wide Fund

## LIST OF TABLES AND FIGURES

Table 1 Committed finance and disbursement of REDD+ projects/ programs, 2009-2014 .....	14
Table 2 Committed Finance and disbursement from governments, period 2009 -2014 .....	15
Table 3 Budget and sources of funds for the support and operation of REDD+ related organizations .....	19
Table 4 Budget for consultations and mobilizations .....	26
Table 5 Number of trainings, awareness raising, consultation workshops at all levels .....	31
Table 6 Number and forms of communications material produced at all levels .....	32
Table 7 Budgets supporting the setting up the implementation framework .....	41
Table 8 Forest and forestland use classification.....	48
Table 9 Improving forest status map of NFIMAP (Hung <i>et al</i> 2015).....	51
Table 10 Timing and location of consultation .....	64
Table 11 Number of participants of consultation workshops .....	66
Table 12 Summary of participants .....	66
Table 13 Assessed by group of stakeholder .....	80
Table 14 Proposed assessment criteria in the national workshop .....	82
Table 15 Action Plan on the completion of preparation for REDD+ readiness in Vietnam .....	107
Figure 1 Cycles of NFIMAP .....	50
Figure 2 Approach to estimate emissions/removals.....	56
Figure 3 Locations of consultation activities on REDD+ readiness preparation.....	65
Figure 4 Percentages of total participation by sector.....	67
Figure 5 Percentages of total participation by gender .....	67
Figure 6 Stakeholders consultation process.....	68
Figure 7 Percentages of criteria classification in Bac Kan consultation workshop.....	70
Figure 8 Percentages of criteria classification in Lam Dong consultation workshop .....	72
Figure 9 Percentages of criteria classification in Ca Mau consultation workshop .....	73
Figure 10 Percentages of criteria classification in Quang Binh consultation workshop.....	74
Figure 11 Percentages of criteria classification in Hai Phong consultation workshop .....	75
Figure 12 Percentages of criteria classification in Hanoi consultation workshop .....	77

## TABLE OF CONTENTS

ACRONYMS .....	2
FOREWORD AND EXECUTIVE SUMMARY .....	7
<b>I. INTRODUCTION TO SELF-PARTICIPATORY ASSESSMENT OF THE REDD+ READINESS PACKAGE IN VIETNAM.....</b>	<b>12</b>
1. THE PROCESS OF REDD+ READINESS PREPARATION IN VIETNAM .....	12
1.1. <i>The process of REDD+ readiness preparation in Vietnam</i> .....	12
1.2. <i>International aid</i> .....	14
1.3. <i>Major achievements</i> .....	15
2. STRATEGIC VISION IN IMPLEMENTATION OF REDD+ ACTIVITIES IN VIETNAM .....	16
<b>II. SUMMARY ON THE REDD+ READINESS PREPARATION IN VIETNAM.....</b>	<b>17</b>
1. COMPONENT 1: READINESS ORGANIZATION AND CONSULTATION .....	17
1.1. <i>Subcomponent 1a: National REDD+ Management Arrangements</i> .....	17
1.2. <i>Subcomponent 1b: Consultation, Participation, and Outreach</i> .....	25
2. COMPONENT 2: REDD+ STRATEGY PREPARATION .....	33
2.1. <i>Subcomponent: 2a. Assessment of Land Use, Land-Use Change Drivers, Forest Law, Policy and Governance</i> .....	33
2.2. <i>Subcomponent 2b: REDD+ Strategy Options</i> .....	37
2.3. <i>Subcomponent 2c: Implementation Framework</i> .....	40
2.4. <i>Subcomponent 2d: Social and Environmental Impacts</i> .....	44
3. COMPONENT 3: REFERENCE EMISSIONS LEVEL/ REFERENCE LEVEL .....	47
4. COMPONENT 4: MONITORING SYSTEMS FOR FORESTS, AND SAFEGUARDS .....	53
4.1. <i>Subcomponent 4a: National Forest Monitoring System</i> .....	53
4.2. <i>Subcomponent 4b: Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards</i> .....	61
<b>III. PARTICIPATORY SELF-ASSESSMENT PROCESS .....</b>	<b>63</b>
1. ORGANIZING CONSULTATION .....	63
1.1. <i>Evaluation, facilitators, donor</i> .....	63
1.2. <i>Process, schedule of consultation and budgeting</i> .....	64
1.3. <i>Participants</i> .....	66
2. ASSESSMENT PROCESS.....	68
2.1. <i>Workshop preparation</i> .....	68
2.2. <i>Facilitating the assessment process</i> .....	68
3. COMMUNICATION AND OUTREACH.....	68
3.1. <i>Results</i> .....	68
3.2. <i>Consultation outcomes</i> .....	78
<b>IV. PARTICIPATORY SELF-ASSESSMENT .....</b>	<b>84</b>
<b>V. ACTION PLAN ON THE COMPLETION OF PREPARATION FOR THE REDD+ READINESS IN VIETNAM.....</b>	<b>106</b>
<b>VI. CONCLUSIONS.....</b>	<b>109</b>
<b>VII. REFERENCES .....</b>	<b>110</b>

## FOREWORD AND EXECUTIVE SUMMARY

The report on participatory self-assessment on REDD+ readiness preparation in Vietnam has been being prepared by international and national consultants of the Project on Support for the REDD+ Readiness Preparation in Vietnam between August 2015 and May 2016. The report is prepared based on the "A guide to the FCPF Readiness Assessment Framework" issued by Carbon Fund June, 2013.

The process of self-assessment was carried out from August 2015 to July 2016 through a series of consultations and workshops from the community provincial, regional and national level. Therefore, this report is the product of active and effective participation of institutions, central and local government agencies, the members of national REDD+ network, REDD+ programs and projects, the forest management boards and forestry companies, the political and social organizations, local communities, especially ethnic minorities living in and near the forests, international non-governmental organizations (NGOs), donors, international organizations and other stakeholders.

We sincerely thank the Ministry of Agriculture and Rural Development (MARD), Vietnam Administration of Forest (VNFOREST), Management Board of Forestry Projects (MBFPs), REDD+ Office for creating favourable conditions for the stakeholder consultations and workshops at the central and local levels. We would like to thank Program Management Units of UN-REDD Vietnam Programme Phase II and their field consultants in the provinces of Bac Kan, Lam Dong and Ca Mau for their joint efforts in organizing stakeholder workshops in the provinces.

MINISTRY OF AGRICULTURE AND RURAL DEVELOPMENT

## **Executive Summary**

The report on 'Self Assessment on the REDD+ Preparation Readiness in Vietnam' is a result of the evaluation process of the consultation with stakeholders under the 'A Guide to the FCPF Readiness Assessment Framework' (June/2013) by the Forest Carbon Partnership Facility. This report explains the strategic view, mechanism, main outcomes, shortcomings and the plan for the coming time to move forward to the program implementation and the introduction of performance based payments.

### **SELF-ASSESSMENT PROCESS**

**Collection and analysis of information:** Between July 2015 to June 2016, experts assigned to the self assessment process collected, synthesized and analysed information from the projects, programs and organizations involving in REDD+ activities.

#### **Consultation process:**

- Kick-off workshop in Hanoi on October 7th, 2015 with experts from the REDD+ network, and technical sub-working groups.
- Three consultation workshops with communities and people in the commune of My Phuong, Ba Be district, Bac Kan province (31/12/2015); Loc Phu commune, Bao Lam district, Lam Dong province (12/1/2016) and Nhung Mien Protection Forest Management Board (PFMB), Nhung Mien district, Ca Mau province (31/3/2016).
- Consultation workshop with staff from six North Central Coastal (NCC) provinces in Quang Binh province on 17/3/2016).
- Consultation workshop with members of national REDD+ network, working groups in Hai Phong on 28/4/2016.
- Consultation workshop with policy makers, managers to synthesize and analyze the results.
- Consultations in Hanoi on 2/6/2016.
- National workshop with the ministries and agencies of the government, provinces, donors, NGOs in Hanoi on 30/6/2016.



## Summary of the assessment by component

No.	Criterion	Progress Indicator
	<b>Component 1 Readiness Organization and Consultation</b>	
	Subcomponent 1a: National REDD+ Management Arrangements	Yellow
	Subcomponent 1b .Consultation, Participation, and Outreach	Yellow
	<b>Component 2: REDD+ Strategy Preparation</b>	Yellow
	Subcomponent: 2a Assessment of Land Use, Land-Use Change Drivers, Forest Law, Policy and Governance	Yellow
	Subcomponent: 2b REDD+ Strategy Options	Yellow
	Subcomponent: 2c Implementation Framework	Yellow
	Subcomponent: 2d Social and Environmental Impacts	Yellow
	<b>Component 3: Reference Emissions Level/ Reference Levels</b>	Green
	<b>Component 4: Monitoring Systems for Forests, and Safeguards</b>	Yellow
	Subcomponent: 4a National Forest Monitoring System	Yellow
	Subcomponent: 4b Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards	Yellow

Table Note for the summary assessment: For components 1 and 2 the subcomponent criterion were divided 50:50 yellow:green by outcome, in these two cases the lower progress indicator (yellow) was used to show the overall progress, but equally progress could be shown as green e.g. for Component 1 this includes six criterion of which three were assessed green and three assessed yellow, however, for the overall assessment the progress taken as yellow as a fair indicator of progress.

### Main outcomes in REDD+ preparation readiness in vietnam

- 1) National REDD+ Action Plan (NRAP) approved, one of the first countries to introduce a NRAP;
- 2) 10 Provincial REDD+ Action Plans approved;
- 3) National REL submitted to UNFCCC in January 2016;
- 4) National Forest Monitoring System established;

- 5) Decision on piloting REDD+ benefit sharing mechanism issued;
- 6) Approval of REDD+ Plan Fund's proposal;
- 7) FPIC guideline draft;
- 8) Response and Grievance Redress Mechanism in REDD+;
- 9) REDD+ management organization system established;
- 10) Training, capacity building for the stakeholders in place; and
- 11) REDD+ communication system developed.

### **Gaps in the readiness preparation**

Gaps between the requirements set for REDD+ and the Vietnam development context:

- 1) Multidisciplinary and interdisciplinary coordination mechanisms to support the integrated approach of REDD+ implementation need to be improved at all levels;
- 2) The approved NRAP fails to meet all expectations and requirements set out – but is in the process of being updated;
- 3) The strategic environmental and social impact assessment (SESA) and strategic environmental and social management framework (ESMF) are under preparation;
- 4) REDD+ safeguard system is under development and not in place yet; and
- 5) REDD+ communication system is making progress but requires further development especially with message for remote forest dependent communities.

### **PROPOSED REDD+ PREPARATION READINESS ACTION PLAN**

- 1) The legal framework related to REDD+ such as land use, forest resource use rights, forest entitlement, carbon right, etc need to be further developed;
- 2) The coordination mechanism between Forestry, Agriculture, Natural Resources and Environment and infrastructure development, and hydropower should be established for to support REDD+;
- 3) REDD+ action plans at all levels should be integrated with the forest protection and development plan, the socio-economic development plan;
- 4) The National REDD+ Fund should be established as part of the Forest Protection and Development Fund;
- 5) The legal framework related to technical aspects of REDD+ i.e. low impact harvesting procedures, forest carbon monitoring, sustainable forest management procedures forest certifications, improved land use planning and more emphasis on long rotation plantations etc. should be set up and institutionalized;

- 6) REDD+ grievance redress mechanism should be institutionalized;
- 7) FPIC guidelines should be institutionalized;
- 8) Benefit sharing mechanism in REDD+ should be approved by the Government;
- 9) There is a need to design and implement a program on capacity strengthening on REDD+ for the community, especially ethnic minorities, vulnerable groups, etc.;
- 10) REDD+ communication strategy should be approved and operationalized;
- 11) Revising the NRAP, including an elaboration of action plans for the period 2016 – 2020 and improved guidance on strategy and implementation;
- 12) Approval for SESA and ESMF;
- 13) Establishing and operationalizing national REDD+ Portal;
- 14) Approval of National REL and NCC RL;
- 15) Establishing and operating MRV system at all levels;
- 16) Support for the operation of FLEGT/VPA and controlling illegal logging in cooperation with Lao and Cambodia; and
- 17) Establishing and operating the proposed Safeguards Information System (SIS).

Financing for the activities are the project on REDD+ preparation readiness, UN-REDD Vietnam Program Phase II, other international resources, especially JICA and GIZ.

# I. INTRODUCTION TO SELF-PARTICIPATORY ASSESSMENT OF THE REDD+ READINESS PACKAGE IN VIETNAM

## 1. The process of REDD+ readiness preparation in Vietnam

### 1.1. *The process of REDD+ readiness preparation in Vietnam*

This self assessment has been undertaken at this time to coincide with requirements and meet with the idea of developing a common framework to measure a countries' relative progress on core readiness activities and provides a common framework to measure countries' relative progress on core readiness activities. The self assessment of progress with REDD+ (or R-Assessment) is a key milestone in REDD+ readiness progress in moving towards an Emission Reduction Payment Agreement with the Carbon Fund and that is expected to be negotiated in 2017.

#### **Period 2007 - 2011**

REDD+ activities in Vietnam were started after COP13 in Bali, Indonesia. Vietnam sent a letter of interest proposing the methods, and the process of implementing REDD+ at the same time with developing UN-REDD Vietnam Programme Phase I<sup>1</sup> (ref.: [UN-REDD phase I](#)) in February 2008.

Vietnam was selected to become a FCPF member<sup>2</sup> in 2008.

The Government of Vietnam (GoV) issued the Action Plan Framework on Mitigation and Adaptation to Climate Change<sup>3</sup> in 2008. MARD established a national REDD+ network and six Sub-technical working groups<sup>4</sup> (STWGs) in 2009. The Government issued the Decree 99<sup>5</sup> which included the forest carbon sequestration and storage service in 2010. The Prime Minister established a National REDD+ Steering Committee<sup>6</sup> (NRSC) chaired by Minister of MARD and the national Vietnam REDD+ Office (VRO) affiliated to VNFOREST was established in 19 January 2011.

The period 2009-2011 linked to the activities of UN-REDD Vietnam Programme Phase I the Readiness Program Idea Note (ref.: [R-PIN](#)) preparation and submission of Readiness Preparation Proposal (ref.: [R-PP](#)) of Vietnam. The initial analysis of UN-REDD Vietnam

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<sup>1</sup> UN-REDD Vietnam Programme Phase I has been funded to the amount of US\$ 4.38M, implementing from November 2009 to April 2012.

<sup>2</sup> The Steering Committee meeting of FCPF in July 9-10, 2008 issued [Resolution SM 2008-1](#) selecting Vietnam as a member.

<sup>3</sup> [Decision 2730/QĐ-BNN-KHCN](#) dated September 05, 2008 of the Minister of MARD on promulgation of the Climate Change Adaptation Framework Action Program for all bodies involved in agriculture and rural development in the 2008 – 2020 period.

<sup>4</sup> The six STWG are: 1) REDD+ administration, 2) MRV, 3) REDD+ Finance and BDS, 4) REDD+ local implementation, 5) Safeguards, and 6) Mobilizing the private sector.

<sup>5</sup> The Government has issued [Decree 99/ND-CP](#) on Payment for Environmental Services dated September 24, 2010.

<sup>6</sup> Decision 58/QĐ-TTg dated 9th January, 2012 of the Prime Minister on establishment of National REDD+ Steering Committee on forest protection and development plan for the period 2011-2020.

Programme Phase I focused on developing a benefit distribution system (ref.: [BDS](#)), guiding the developing the reference emission level, developing and testing Free Prior Informed Consent (ref.: [FPIC](#)) in Lam Dong province as well as building capacity and communication activities. Studies on the legal basis for REDD+ implementation in Vietnam have been also conducted.

With the support from the Facility Management Team, the R-PP was officially submitted to the FCPF on 18 November 2011. On the basis of the R-PP and support from UN-REDD Vietnam Programme Phase I, the National REDD+ Action Programme (ref.: [NRAP](#)) was developed. Deforestation and forest degradation drivers, REDD+ activities and the legal basis for REDD+ in Vietnam have been studied and supported by some partner projects and organizations such as JICA, GIZ, and CIFOR.

### **Period 2012 - 2016**

The Prime Minister approved the NRAP<sup>7</sup> and the project of greenhouse gas emission management and management of carbon credit business activities to the world market.

Vietnam received US\$3.8M from the FCPF<sup>8</sup> to finance the project to Support for the REDD+ Readiness Preparation in Vietnam<sup>9</sup> (ref.: [FCPF project](#)).

From 2012 to date is the period where the programs and projects provide support for REDD+ readiness preparation in Vietnam, including UN-REDD Vietnam Programme Phase II with six pilot provinces of Lao Cai, Bac Kan, Ha Tinh, Lam Dong, Binh Thuan, and Ca Mau; and the FCPF-REDD+ project with three pilot provinces of Quang Binh, Quang Tri and Dak Nong.

Preparatory work to implement REDD+ continued with activities on capacity building and raising awareness on REDD+ for the stakeholders, developing Provincial REDD+ Action Plans (PRAP)<sup>10</sup> in the REDD+ pilot provinces, promoting the preparation of scheme for the establishment of the National REDD+ Fund<sup>11</sup>, designing a Strategic Environmental and Social Assessment (SESA) and Environmental and Social Management Framework (ESMF), piloting Benefit Sharing Mechanism (BSM) in the six pilot provinces in UN-REDD Vietnam Programme Phase II, developing a national reference level, establish a national monitoring system, developing a Feedback and Grievance Redress Mechanism (FGRM).

The Carbon Fund (CF) approved US\$ 650,000<sup>12</sup> for Vietnam to prepare ER-PD in the six provinces in the Northern Central Coastal (NCC) region with the reference emission

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<sup>7</sup> NRAP for 2011-2020 is approved in Decision 799/QĐ-CP dated June 27, 2012.

<sup>8</sup> The R-PP document was officially ratified by FCPF in December 09, 2011.

<sup>9</sup> FCPF-REDD+ project granted by FCPF with the amount of US\$ 3.8M, implementing from November 2012 to November 2016

<sup>10</sup> [Decision 5414/QĐ-BNN-TCLN](#) on 25 December 2015 on PRAP development guidance.

<sup>11</sup> [Decision 5337/QĐ-BNN-TCLN](#) on 23 December 2015 on approval of the scheme on the establishment of Vietnam REDD+ Fund.

<sup>12</sup> Vietnam submitted its Emission Reduction Program Idea Note (ER-PIN) to CF in June 2014 and approved in [Resolution CFM/10/2014/3](#) dated June 19, 2014.

level of 10.3 million tons of CO<sub>2</sub>e. At the present, the ER-PD is being prepared and will be submitted to the CF in October 2016.

Based on the Mid-term Progress Report and request for additional funding, FCPF-REDD+ Project received an amount of US\$ 5M and extension to December 2019. UN-REDD Vietnam Programme Phase II was also approved by the international donors and MARD to extend the Programme until December 31, 2018.

## 1.2. International aid

According to a review conducted by Forest Trends, (see Table 1 below) REDD+ finance flow in Vietnam for the period 2009-2014 estimated that total committed funds for REDD+ was US\$84.31M. Most of the projects aimed to support REDD+ readiness preparation. Among them, 24 projects were finished with total committed funds of US\$18.65M; 20 projects are on-going with total funds of US\$65.66M; six large projects including UN-REDD Vietnam Programme Phase I and Phase II ((US\$4.38M and US\$30.23M respectively), Vietnam Forest and Delta Program (VFD) (US\$9.42M), World Wide Fund (WWF) [Carbi project](#) (US\$5.14M), FCPF-REDD+ project (US\$3.8M), REDD+ potential area identifying (US\$6.4M).

Of the 44 projects, three are projects directly related to reducing emissions of greenhouse gases with the funding amount of US\$11.826M, 39 projects on REDD+ Readiness Preparation with a combined total budget of US\$72.28M, two REDD+ related projects with the funds of US\$0.205M.

Vietnam had 24 REDD+ related projects that have been completed with a total combined funding of US\$18.65M by 2014; 20 other projects are under implementation with a total funding of US\$65.66M and overall disbursements were US\$37.77M (44.6%) at 2014. By July 2015, the overall disbursement rate had risen to 60.2%.

**Table 1 Committed finance and disbursement of REDD+ projects/ programs, 2009-2014**

State of the projects/ programs	Number of projects/ programs	Committed finance (Mil. USD)	Disbursement (Mil. USD)	% of disbursement
<b>Total number of projects/ programs</b>	<b>44</b>	<b>84.31</b>	<b>37.77</b>	<b>44.8</b>
Finished projects/ programs	24	18.65	18.19	97.5
On-going projects/ programs	20	65.66	19.58	29.8

Source: REDD+ Finance Flow in Vietnam in 2009-2014, Forest Trends (2015)

The main donors are: 1) Bilateral donor governments, mainly Germany, USA, Japan and Norway with total amount US\$38.07M; 2) Multilateral institutions with US\$39.25M, mostly from UN-REDD, FCPF, Global Environment Facility and International Fund for Agricultural Development; 3) Private sector US\$ 0.46M; 4) European Commission:

US\$0.92M; and 5) Counterpart funds of the Government of Vietnam and co-financing: US\$5.6M. See Table 2 below.

**Table 2 Committed Finance and disbursement from governments, period 2009-2014**

Donors	Nations	Committed finance (Mil. USD)	% of total finance	Disbursement (Mil. USD)	% of disbursement	Number of projects
AUSAID	Australia	0.08	0.20	0.08	100	1
BMUB	Germany	9.02	23.68	5.30	59	4
BMZ	Germany	1.48	3.88	1.48	100	1
Danida	Denmark	0.35	0.91	0.04	11	1
DEFRA	United Kingdom	0.36	0.95	0.31	85	2
FORMIN	Poland	0.67	1.76	0.67	100	3
JICA	Japan	10.52	27.62	9.40	89	2
NORAD	Norway	3.49	9.16	2.72	78	12
SDC	Sweden	0.15	0.39	0.15	100	1
USAID	America	11.97	31.44	491	41	4
<b>Total</b>	<b>10</b>	<b>38.07</b>	<b>100</b>	<b>25.04</b>	<b>66</b>	<b>31</b>

Source: REDD+ Finance Flow in Vietnam in 2009-2014, Forest Trends (2015)

### 1.3. Major achievements

In the period 2007-2016, Vietnam issued and put into use the following documents: 1) Decree on the implementation and management of PFES, 2) The Decision on the NRAP, 3) Decision of Scheme on Management of Forest Carbon Credits, 4) Decision on NRSC establishment, 5) Establishment of the National REDD+ Network and the STWGs 6) Scheme on establishment of Vietnam REDD+ Fund, 7) Guidelines for PRAP development, 8) Agreement to support 10 Provincial REDD+ Action Plans (PRAPs), 9) made a submission on the national forest reference emission level (REL) to the UNFCCC, 10) Regional cooperation with Lao and Cambodia, 11) Training on REDD+, 12) undertook REDD+ Training, and 13) developed REDD+ awareness communication tools, approaches and documents.

Also during this period, Vietnam has been testing: 1) Guidelines for FPIC, 2) FGRM, 3) BDS under UN-REDD Vietnam Programme Phase II and Vietnam has been developing (i) ESMF, (ii) Measurement, Reporting and Verification (MRV), (iii) Emission Reduction Program Document (ER-PD), (iv) Participation Mechanism for local people, ethnic minorities in REDD+, (v) Participation mechanism for forestry companies, (vi) Safeguards Information System (SIS) and (vii) REDD+ financial management regulations.

However, there are still a number of items which have not been developed such as titles to carbon rights and a formal registry of carbon rights.

## 2. Strategic vision in implementation of REDD+ activities in Vietnam

The NRAP provides that REDD+ must be integrated with Forest Protection and Development Plan<sup>13</sup>. As of 31 December 2014, the forest area of Vietnam was 13.7 million hectares. Vietnam has a target to increase forest cover to 42% by 2020. During this period, it is expected that Vietnam will plant 2.6 million ha of new forest, increase regeneration zoning to 0.75 million ha of forest, establish the rehabilitation 350,000 ha of exhausted natural forests, improve the quality of natural forests, and increase the forest productivity of plantations by 25% in 2020 as compared to 2011. These are the goals associated with REDD+ in Vietnam.

REDD+ has been incorporated into the National Strategy on Climate Change<sup>14</sup> which regulated "Reducing greenhouse gas emissions and increasing removal of greenhouse gases become mandatory targets in the socio-economic development". Developing and carrying out the program on reduction of GHG emissions through efforts to limit the deforestation, forest degradation, sustainable forest management, enhancing forest carbon removal and diversifying livelihoods in the regions, and engagement of local communities to support the adaptation to climate change are among the key points in this strategy.

Reducing greenhouse gas emissions through accelerating the implementation of reforestation projects, increasing quality of forests and CO<sub>2</sub> removal, increasing the forest biomass are among the measures in the National Green Growth Strategy<sup>15</sup>. Implementation of programs on reduction of emissions from deforestation and forest degradation, sustainable forest management, diversifying livelihoods for the local people are among of the solutions proposed in this investment.

In 2011, MARD approved the program on 'Greenhouse gases emissions reduction in the Agriculture and Rural Development up to 2020', including the forestry sector aiming at removal of 702 million tons of CO<sub>2</sub>e. Thus, REDD+ activities are already connected to most programs and national strategies related to climate change, green growth and development of the Agriculture and Rural Development Sector (ARDS) of Vietnam. REDD+ is considered as a solution for Climate Change adaptation in the agriculture sector<sup>16</sup>.

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<sup>13</sup> The Prime Minister approved the Forest Protection and Development Plan for 2011 - 2020 in [Decision 57/QĐ-TTg](#) dated 09 January, 2012.

<sup>14</sup> [Decision 2139/QĐ-TTg](#) by the Prime Minister approving the National Strategy for Climate Change dated 05 December, 2011.

<sup>15</sup> Decision 1393/QĐ-TTg by the Prime Minister approving the National Green Growth Strategy for period 2011-2030 dated 25 September, 2012.

<sup>16</sup> Decision 819/QĐ-BNN by MARD on 'Action Plan for Climate Change Adaptation in the Agriculture and Rural Development Sector' dated 14 March, 2016.



## II. SUMMARY ON THE REDD+ READINESS PREPARATION IN VIETNAM

### 1. Component 1: Readiness Organization and Consultation

#### 1.1. Subcomponent 1a: National REDD+ Management Arrangements

##### 1.1.1. Rationale

The National REDD+ management mechanisms include (National REDD+ Management Arrangements) two key elements: National REDD+ Management System and Regulations on national REDD+ management. As guided by the FCPF, the national REDD+ management mechanism has five main functions: REDD+ fund management, including FCPF funds; coordination of the activities; linking REDD+ with national and sector strategies; GRMs; information sharing, encouraging stakeholder participation.

##### **National REDD+ management organization include the following organizations:**

- The NRSC: set up from January 2011, under the authority of the Prime Minister by the Minister of MARD chaired by the Minister;
- Functional line ministries: MONRE, MARD, Ministry of Planning and Investment (MPI), Ministry of Finance (MoF), Ministry of Information and Communication (MIC), Committee of Ethnic Minorities Affairs (CEMA);
- Agencies in MARD: VNFOREST reporting to MARD, VRO reporting to VNFOREST;
- National REDD+ network and six STWGs;
- Provincial REDD+ Steering Committees (PRSC), Departments of Agriculture and Rural Development (DARDs), and Forestry Enterprises;
- Political organizations, Civil Social Organizations (CSOs), professional agencies, NGOs, and businesses; and
- Management Boards of REDD+ programs and projects in Vietnam for the multilateral programs/projects on REDD+ (FCPF, UN-REDD), multilateral programs/projects (JICA, USAID, KfW etc.), programs, projects of NGOs (WWF, FFI, SNV, Winrock etc.). The following Table 3 show budgets and sources supporting REDD+.

##### **Regulations on national REDD+ management related to the following documents:**

- Related laws: Law on Environmental Protection 2014<sup>17</sup>, Land Law 2013<sup>18</sup>, the Law on Protection and Development of Forests 2004<sup>19</sup>, Mediation Law, and Grievance Law;

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<sup>17</sup> Law No. 55/2014/QH13 dated June 23, 2014 by the National Assembly.

<sup>18</sup> Law No. 45/2013/QH13 dated November 29, 2013 by the National Assembly.

<sup>19</sup> [Law 29/2004/QH11](#) dated December 14, 2004 by the National Assembly.

- Decree 05<sup>20</sup> on Forest Protection and Development Fund, Decree 99 stipulating the payment for the services on absorbing and storing carbon and entrusted through the Forest Protection and Development Fund;
- Decisions from the Prime Minister on the National Target Program to cope with climate change, approval of National Strategy for Green Growth, approval of the project on managing GHG emissions business operations of carbon credits to the world market, NRAP for the 2011-2020 period;
- Decision 2730 on the Action Plan Framework to adapt to climate change, Decision 819 approving action plans of ARDS to cope with climate change, Decision 3119 approving the Scheme on GHG emissions in ARDS;
- Decisions of MARD, MONRE, MOST related to climate change and green growth; and
- Decision 18 on Vietnam Forestry Development Strategy, Decision 57 on Protection and Development of Forests Plan.

**M&E indicators in R-PP:**

- Participation and efficiency of the stakeholders: six national workshops and workshops in REDD+ in nine project provinces (see Table 3);
- Support for the Government, Ministries and Departments: Support for the NRAP, Vietnam REDD+ fund and national REDD+ workshops;
- The VRO was established and operated from 2011;
- The REDD+ network established: A national network on REDD+ has been established and operated from 2011;
- STWGs: six STWGs were established and operated from 2011 and core team for the STWG on Safeguards has been chosen; and
- 12 REDD+ provincial management units have been established and six<sup>21</sup> of them in the NCC region are in operation.

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<sup>20</sup> [Decree 05/2008/ND-CP](#) dated January 14, 2008 by the Government on Forest Protection and Development Fund.

<sup>21</sup> Five of the six are full PPMUs, and sixth is actually a Task Force and is in Thu Thien Hue and is more or less the same but does not have the full management and financial authority the PPMU, this was due to fact that Hue officially only joined the FCPF project in 2015 after the Emission Reduction Program Idea Note was approved in 2014.

**Table 3 Budget and sources of funds for the support and operation of REDD+ related organizations**

<b>Activity</b>	<b>US\$</b>
Support the stakeholders in the national REDD+ network	110,000
Support the operation of the Governmental agencies and departments and agencies	330,000
Management of technical working group	120,000
Supporting the technical working group	96,000
Establishment of technical sub-group	130,000
<b>Total:</b>	<b>786,000</b>
<b>In which</b>	
FCPF Project contribution	426,000
UN-REDD Programme contribution	360,000

*Source: R-PP, 2011*

### *1.1.2. Assessment criteria*

#### **Criterion 01: Accountability and transparency**

This criterion shows that REDD+ organization structures and institutions should be made public and subject to inspection and monitoring.

The NRAP stipulates that “MARD presides and coordinates with the concerned agencies and units to monitor and evaluate REDD+ at each stage, the monitoring and evaluation (M&E) should be at both central and provincial levels. “MoF oversees the stakeholders in complying with the financial management of REDD+”

The NRAP prescribes that the M&E mechanism should "guarantee the transparency, openness and participation of the REDD+ program stakeholders, State agencies and relevant international agencies (if necessary)".

The REDD+ programs are subject inspections from the Ministries, Provincial People’s Committee (PPCs), independent audits (including project funded audits), and specialized audit teams. Political and professional organizations, CSOs, NGOs and enterprises are also involved in monitoring.

The Government regulates that “MIC is responsible for communication, sharing information, guides and directs the press agencies to raise the awareness and responsibility of agencies, organizations and people in the protection and development of forests, REDD+ programs”.

All information on REDD+ management organization i.e. establishment decisions, functions, tasks and operation mechanisms have been made public in the media: magazines, industry newspapers, radio and television etc. and information about REDD+ organizations and projects and activities is posted on the government websites, SPSP, etc. There is a separate website for REDD+ (ref.: [website](#)) which is under the VRO.

The Management Information System for Forestry Sector Management<sup>22</sup> (FORMIS) clearly identifies the information provision responsibility for the people on mass media. Currently, it is planned to integrate a REDD+ database into FORMIS. On that basis, VNFOREST will announce a national REDD+ Geographical Information Portal.

However, an appropriate REDD+ M&E mechanism suitable with Vietnam law and international practice is not yet available. This will be completed at the end of 2016 after fulfilment of the NRAP period of 2016 – 2020.

## **Criterion 02: Operating mandate and budget**

Specific regulations, functions of the management organizations on REDD+ have been prescribed in the NRAP as follows:

- The NRSC: is responsible for managing or coordinating inter-sectors, inter-provincial activities, private organizations, NGOs, CSOs; directing the set up and deployment of national REDD+ strategies, programs and projects, coordinating international cooperation on the NRSC and should have representatives of Governmental Office, relevant Ministries, and CEMA.
- MONRE: is the focal point on the United Nations Framework Convention on Climate Change (UNFCCC) and the Convention on the Conservation of Biodiversity. It is responsible for integrating data on the progress and results of the implementation of REDD+, integrating REDD+ into land-use planning at all levels; and advises the PPCs to review and complete of land allocation associated with forest allocation and issuance of land use certificates related to the implementation of REDD+.
- MARD: is the lead agency of REDD+, takes the lead to build mechanisms and policies for managing, operating, guiding the implementation of REDD+ programs which should be approved by the Prime Minister; develops, approves and organizes 5-year and annual plans to implement REDD+ programs, and chairs the negotiations on REDD+.
- MPI: balances, arranges counterpart funding for the projects implemented under REDD+, integrates REDD+ in the national target programs, in collaboration with MARD, MoF to build mechanisms and policies for managing the implementation of REDD+.
- MoF: in collaboration with MARD, is responsible to develop mechanisms and policies related to finance of REDD+ program, guiding the management and use of financial resources of REDD+ funds at all levels.
- VNFOREST under MARD has management responsibility of the Forestry sector. The information on forestry activities, including REDD+, are posted on the website <http://www.tongcuclamnghiep.gov.vn>.
- Vietnam REDD+ Office under VNFOREST is a supporting agency of the NRSC.
- REDD+ website provides basic knowledge about REDD+, information on policies and progress in implementing REDD+ in Vietnam.

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<sup>22</sup> Decision 1439/QĐ-BNN-TCLN dated 25 April 2016, issued by MARD on regulating on managing and using FORMIS.

- The National REDD+ Network<sup>23</sup> has the tasks of general coordination and support function for REDD+ readiness, including: 1) contribute to build action plans for national REDD+; 2) share experiences and lessons learned with the stakeholders in the process of implementing REDD+; and 3) review and assess the implementation plan, ensuring that it is appropriate and consistent with the NRAP.
- The STWGs<sup>24</sup> are responsible for: 1) coordinating with stakeholders to identify REDD+ pilot projects in Vietnam; 2) providing updates for the donors the development and implementation of REDD+; 3) reviews the administrative and financial activities of the funds allocated for REDD+ networks and 4) organization of meetings of the National REDD+ network.
- The REDD+ Fund is part of Vietnam Forest Protection and Development Fund and has its own legal basis, funding, and management.
- The PRSC are responsible for managing and coordinating REDD+ activities in the province.
- Political, social, professional, non-governmental organizations and businesses: NRAP provides that these organizations depend on the functions, tasks and their capacity, actively engages in activities related to REDD+ program, especially in the field of information, education and communication; support and mobilization of community involvement, sharing experiences, testing, monitoring the implementation of REDD+.

Mechanisms of coordination between State authorities at all levels and engaging in REDD+, particularly between MARD and MONRE and Finance have not yet been fully developed.

In terms of coordination, the capacity between people, communities is broadening to include more stakeholders in different provinces; coordination and implementation of REDD+ programs and projects has improved; coordination with the private sector and the civil society organizations, professionals in the development and REDD+ remains limited.

Decision 1775<sup>25</sup> set out solutions for the control of GHG gases and trading carbon titles include: i) Develop mechanisms and financial policy to establish and operate a carbon market; ii) Strengthen the capacity of policy makers, managers of ministries, branches and localities in managing the business operations of carbon credits, iii) Build a database to serve the business management of carbon credits under the Kyoto Protocol and iv) Develop regulations governing the programs, the projects on doing business of carbon credits outside the framework of the Kyoto Protocol. REDD+ is among the solutions identified in the project.

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<sup>23</sup> National REDD+ Network was established by Decision 2614/QĐ-BNN-LN dated September 16, 2009.

<sup>24</sup> STWGs were established in 2011 by MARD provide support for the activities of the National REDD+ Network on technical and administrative aspects.

<sup>25</sup> [Decision 1775/QĐ-TTg](#) dated 21 November, 2012 by the Prime Minister approving the project of greenhouse gas emission management, management of carbon credit business activities to the world market.

### **Criterion 03: Multi-sector coordination mechanisms and cross-sector collaboration**

REDD+ activities have been linked with the development strategy, planning, national and sectoral development plans, and step by step integration into the local socio-economic development plans.

The National Strategy on Climate Change stipulates "Reducing greenhouse gas emissions and increasing removal of greenhouse gases become mandatory targets of the socio-economic development". Establishing and implementing the programs to reduce emissions of greenhouse gases through limitations of deforestation, sustainable forest management, enhancing forest carbon sequestration associated with maintaining and diversification of livelihoods of the regional rural population, the provinces, supporting the adaptation to climate change is included in the strategy.

REDD+ activities have been linked to the National Strategy on Green Growth. Reducing greenhouse gas emissions by speeding up the reforestation projects, increasing quality of forests, increasing CO<sub>2</sub> removal, increasing forest biomass is one of the solutions in strategy. Implementing the programs to reduce greenhouse gas emissions through efforts to reduce deforestation and forest degradation, sustainable forest management combined with diversified livelihoods for local people are one of the solutions in the strategy coordinated by MPI.

The Vietnam Forestry Development Strategy<sup>26</sup> aims to increase revenues from forest environment value (including CO<sub>2</sub> emission reduction service) to 2 billion USD. Forest Protection and Development Plan in period 2011-2020 includes the call for strengthening cooperation with REDD+ and developing and deploying the key projects and programs on issuing sustainable forest management certificates according to international standards.

Decision 543/QD-BNN-KHCN<sup>27</sup> which requires a focus on developing and implementing programs and projects related to REDD+, integrating climate change content into policy, planning and development plan of the sectors and of the locality. In Decision 3119/QD-BNN-KHCN<sup>28</sup>, the GHG emissions reduction target for the forestry sector is shown through the indicator of removal of 702 million CO<sub>2e</sub> tons.

The UN-REDD Programme proposes several action plans to strengthen the sustainability of the material areas of the sectors such as fisheries, rubber, coffee and wood processing.

Thus it can be seen that REDD+ has become an important element in all national development strategies i.e. coping with climate change, green growth, GHG emission management. REDD+ is part of an action plan to respond to climate change of agriculture and rural development sector, strategy and development plan of the forestry sector.

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<sup>26</sup> Decision 18/2007/QĐ-TTg dated February 05, 2007 of the Prime Minister approving Vietnam Forestry Development Strategy in the 2006-2020 period.

<sup>27</sup> [Decision 543/QĐ-BNN-KHCN](#) of MARD to promulgate the Action Plan on Climate Change response of agriculture and rural development sector in the period 2011 – 2015 and vision to 2050.

<sup>28</sup> [Decision 3119/QĐ-BNN-KHCN](#) of MARD dated December 16, 2011 on approving Programme of Green House Gas (GHG) emissions reduction in the Agriculture and Rural Development sector up to 2020.

The coordination between sectors i.e. agriculture, energy (hydropower), mining etc., can be quite weak in implementation although the necessary legal Circulars (regulations) are available. The roles of local authorities, especially at the commune level are often unclear. Inconsistency and duplication between ministries can be found, particularly in land classification, planning and land management. The REDD+ programs have not yet been fully integrated with the Forest Protection and Development Plan in period 2011-2020 at all levels including at the provinces; and similarly Provincial REDD+ action plans are not yet fully integrated into the Provincial SEDPs at all levels or infrastructure development strategy i.e. especially for planning of roads, or hydropower plants.

#### **Criterion 04: Technical supervision capacity**

The NRSC is the agency in charge of coordinating multidisciplinary and interdisciplinary REDD+ readiness activities. The National REDD+ Network functions in supporting NRSC on general coordination and support the development of REDD+ readiness.

The NRAP regulates that: 1) MARD chairs the determination of the baseline, data and calculation of emissions of greenhouse gases (RELS/FRLs) for them to serve as the basis of negotiations, evaluating the REDD+ implementation results and developing and operating MRV system; 2) working with MONRE and other Ministries to integrate REDD+ programs with other national target programs on climate change and other programs and projects; 3) MONRE provides Vietnam GHG inventory outputs; 4) works with MARD to set up the MRV system, RELS/FRLs, and assesses the results of the Program to reduce REDD+ emissions.

The NRAP regulates that MARD chair the collaboration actions with MONRE, MIT to:

- Build a system of standards for silvicultural practices in forest development, guide the construction of sustainable forest management plan, methods of investigation, assessment and monitoring of forest resources for the calculation of emission reductions of REDD+.
- Guide and apply low-impact logging practices, develop systems to monitor the activities on logging, verification and tracing timber origins, assuring legal logging, hauling, processing and export, and imported timber.
- Research and develop criteria to monitor and supervise the REDD+ implementation, regulate the REDD+ data management at national and local levels.

STWGs support activities of the National REDD+ Network technically and administratively.

However, the completion of legal framework related to REDD+ techniques such as: issuing technical procedures and rules related to inventory, evaluation, monitoring the forest carbon changes, forest carbon removal and storage. The coordination capacity and technical supervision for provincial and district and community level on REDD+ remains weak.

### **Criterion 05: REDD+ Funds management capacity**

NRAP defines that MARD be allowed to establish the Vietnam REDD+ Fund, issuing regulations on organizations and activities of the REDD+ fund in compliance with Vietnamese laws and international practices. MoF hosts and coordinates with MARD to develop mechanisms and policies related to finance management of REDD+ program, guiding the management mechanism and utilization of finance sources of REDD+ at all levels, monitoring stakeholders' performance.

NRAP confirms that funds for projects under NRAP will be apportioned from the State budget (e.g. National Target Program on Climate Change, Forest Protection and Development Plan in period 2011-2020) and from other relevant programs and projects, from foreign governments, international NGOs, foreign individuals, national organizations and individuals, in which the international funds plays a decisive role.

Department of Finance and Planning/ Vietnam Forest Fund (VNFF) is preparing a BSM framework for REDD+, to develop financial management regulations suitable with Vietnamese laws and donor policies.

On December 23, 2015, MARD approved the project for setting up the National REDD+ Fund. However, fine-tuning of the legal framework on REDD+ finance management i.e. transfers from international REDD+ funding amounts to Vietnam, BSM from REDD+ finance has been proposed. The legal documents on transfers, procurement of forest carbon credit between Vietnam and international market are not yet available.

### **Criterion 06: Feedback and grievance redress mechanism (FGRM)**

In Vietnam, FGRMs at national, regional and community levels are extensively prescribed in and already supported in relevant laws i.e. the Land Law, Forest Protection and Development Law, Mediation Law, and Law on Denunciations, etc.

The Land Law 2013 prescribes for resolving complaints and grievances over land, whereby land users may complain against the possible legal and administrative errors on land administration processes; and provides sequences and procedures for settling complaints in compliance with the provisions of penal codes, and individuals may denounce legal errors on managing and utilizing land in accordance with the Law on Denunciations.

Since 2015, the UN-REDD Vietnam Programme Phase II supported an assessment of existing grievance redress mechanisms relevant for REDD+ in Viet Nam, and provides recommendations to either introduce new or strengthen existing mechanisms. The assessment was conducted based on the Joint FCPF/UN-REDD Guidance Note for REDD+ Countries: Establishing and Strengthening Grievance Redress Mechanisms. The assessment report was shared with technical experts of UN-REDD Programme and FCPF FMT for comments, as well as national stakeholders through the STWG on Governance led by VRO. The findings, as agreed by the STWG, were to improve existing mechanisms specifically in terms of accessibility, transparency, accountability, predictability and efficiency. Among the many recommendations in the report was to build capacity to



receive, classify and manage inquiries and complaints. These recommendations are currently being tested in 17 sites across the six pilot provinces supported by the UN-REDD Vietnam Programme Phase II. The legal framework takes account of what is already prescribed and will be further defined for FGRMs for REDD+ in Vietnam and can be expected to be evaluated and improvements made following the piloting of FGRM in the provinces. Lessons learned will be used to revise the initial assessment report and recommendations by the end of 2016.

## **1.2. Subcomponent 1b: Consultation, Participation, and Outreach**

### **1.2.1. Rationale**

MARD acts as the focal point for the coordination of activities to prepare for implementation of REDD+ on behalf of the Government of Vietnam (GoV), and takes the lead to coordinate with other ministries to prepare development policies, strategies, operational plans, mechanisms to manage the resources, determining the reference emission level, and building the Monitoring and Reporting and Verification (MRV) system to monitor REDD+.

To make REDD+ management mechanism available, and taking account of the conditions of Vietnam while ensuring the requirements of the donors, the Government management agencies mobilize the participation of all stakeholders through the consultative mechanisms. The Government has mobilized many stakeholders involved in the REDD+ consultation process to design and deploy REDD+ management mechanism, and has made special effort to reach the people and communities in mountainous areas whose livelihoods often depend on access to forest resources.

The participation and consultation of the stakeholders have taken place in various forms including: setting up a REDD network, linking with other networks, forming technical working groups, holding workshops, community dialogue and use of local media and the internet. The results of the processes are institutionalized and replicated through capacity building programs, communication and education in the ways that are appropriate with the culture of the various stakeholders and in particular ethnic minorities.

#### **M&E indicators in the R-PP**

- Coordinating and operating the consultation process (public dialogue, effectiveness of community capacity building; progress reports), (see Table 4);
- Stakeholder workshops (National workshops with the stakeholders, provincial and district workshops);
- Community capacity building (training community facilitators, organizing meetings and consultation, preparing and distributing communication materials);
- The evaluation process shows that all the M&E indicators are completed.

**Table 4 Budget for consultations and mobilizations**

<b>Activity</b>	<b>US\$</b>
Coordination of consultations	110,000
Workshops	225,000
Community capacity strengthening	300,000
Information sharing, awareness raising	320,000
<b>Total:</b>	<b>955,000</b>
<b>In which:</b>	
FCPF contribution	455,000
UN- REDD contribution	495,000

*Source: R-PP, 2011*

### 1.2.2. Assessment criteria

#### **Criterion 07: Participation and engagement of key stakeholders**

The plan on consultation and participation in the R-PP defined clearly the objectives of the process which were to: 1) ensure that all the major stakeholders are provided with information and are mobilized to build the National REDD+ Agenda; 2) are engaged in REDD+ activities in programs and projects; and 3) ensure that the vulnerable groups particularly the ethnic minorities (indigenous people) receive the appropriate benefits; mobilizing the stakeholders to reduce the negative impacts and enhancing the positive impacts of the REDD+ participation process in SESA and ESMF.

Based on the stakeholder analysis, the consultation and participation plan identified the main stakeholder groups at all levels i.e. 1) At the national level: government offices; line ministries; governmental organizations, international organizations and donors; local and international NGOs, training and research organizations; 2) At the provincial level: Provincial People's Committee (PPCs) and provincial departments; wood and forest products processing enterprises; State Forest Companies (SFCs); Protection Forest Management Boards (PFMBs) and Special Use Forests Management Boards (SUFMBs), and related industries; and 3) At the district and community levels: District People's Committee (DPCs) and district departments; forest owners; community villages; wood processing enterprises; NGOs and CSOs; minority groups and private enterprises etc.

The involvement of stakeholders has been institutionalized through the following documents:

- Environmental Protection Law 2015 defines the rights of people and communities involved in the process of environmental impact assessment for projects implemented in localities inhabited by them. (Article 20), Land Law 2013 stipulates the orders, procedures for land use planning which should be undertaken based on the principles of openness and transparency (Article 21).

- Viet Nam has also enacted a number of Laws, which allow people to have access to information such as the Anti-corruption Law, Mediation Law, and Law on Complaints and Denunciations.
- The Ordinance on Grassroots Democracy confirmed that community and local people have the right to comment on the important policies relating to their rights and obligations. This framework focuses primarily on the rights of indigenous peoples.
- Decision 799 defines the participation right of “the political, social and professional organizations, mass organizations, NGOs and businesses, depending on their qualification, functions and duties, actively participate in the activities related to REDD+ program, especially in the field of information, education and communication; supporting and mobilization of community participation, distributing the REDD+ implementation lessons learnt, checking and monitoring REDD+ program implementation”.
- Law on Forest Protection and Development 2004, Article 13 prescribes the process of setup and approval of forest protection and development planning which should be conducted on the basis of public announcement. The technical information as well as forestry policies should be updated regularly and provided to people living in and around the forest areas. ODA projects generally have facilitated and placed much emphasis on participation and information exchange and have promoted collaborative management outside of the ODA projects meaningful participation of local communities in any type of collaborative approach to forest management remains challenging for simple practical reasons of resource and capacity constraints.

The rules and commitments support the people rights to participate and access to information, and such rights should be conducted during the design and implementation of REDD+, especially the activities related to environment, environment impact assessment and forest protection and development. Also the policies to protect the people' participation right are integrated into the REDD+ programs and projects.

The participation right of the ethnic minorities and communities who depend on forests is ensured through the participation of their representing organizations such as CEMA, and the Fatherland Front. Decision 799 stipulates that “CEMA involves in advocacy, dissemination, awareness raising and capacity building, mobilizing ethnic minorities to actively participate in REDD+ activities, mainstreaming the implementation of REDD+ with the related programs and projects in the scope of State management”, however, CEMA faces resource and capacity constraints.

UN-REDD Vietnam Programme Phase II is developing the measures to ensure the benefits, experience, knowledge of ethnic minorities, local communities on forest protection and development; coordinating with Centre for Sustainable Development in Mountainous Areas (CSDM) to survey and select ethnic minorities in the pilot provinces (UN-REDD II) to participate in the REDD+ Steering Committee; developing mechanisms to ensure the full and effective participation of the stakeholders, especially women, local communities and ethnic minorities. The project has issued guidance on the

implementation of FPIC in the process of REDD planning and implementation. Guidelines on gender in development of PRAP have been issued.

In March 2014, the UN-REDD Vietnam Programme Phase II worked with CSDM to hold a dialogue with 20 representatives representing five ethnic minorities from the six pilot provinces. In May 2014, the program together with the Asian Indigenous People Pack Foundation (AIPP), organized a dialogue with the representatives of the ethnic minorities to discuss how they can be involved in REDD+ program in Vietnam. Representatives from SRD and CSDM were nominated as Programme Executive Board member (PEB). According to Programme Document, The PEB is responsible for making management decisions with specific roles as following: i) Provide overall guidance and oversight to the PMU and monitor the overall performance, and ii) Discuss Programme management issues including consistent and common approaches to programme costing, cost recovery, implementation modalities, results-based reporting and impact assessment etc.; among many others.

CSDM has coordinated with AIPP to organize a workshop on the participation of ethnic minorities in REDD+ activities. UN-REDD Vietnam Programme Phase II has also coordinated with CSDM to deploy the plan to connect with the ethnic minority networks in the piloting provinces and has developed a set of criteria on selecting the representatives of ethnic minorities, identifying the specific tasks of the representatives, identifying the need and interest of the ethnic minorities related to forest protection and their participation in REDD+ program. The participation of the ethnic minorities and local communities has been integrated into the PRAP guidelines through FPIC. Currently, a network of ethnic minorities in REDD+ has been established, the working regulations have been completed and the approval of future list of activities has been obtained.

Ethnic minority representative/ PEB member in cooperation with UN-REDD Vietnam Programme Phase II conducted a survey on ethnic minority in 6 pilot provinces, facilitated the nomination of local EM representatives- in early 2015. Outcome of this collaboration is that the six pilot provinces issued official letter on nomination of four representatives who will participate in the ethnic minority network; while ethnic minority representative/ PEB member gained an overview of ethnic minority related issues in all six provinces.

In 2015, 25 nominated ethnic minority representatives gathered in Hanoi to discuss and agree on the ethnic minority representative operational rules. So far, two capacity building events for the EM network have been organised, focusing on necessary skills that the EM representatives may need, such as reporting, data collecting, questioning and listening skills, and group facilitation skills. The agreed plan for 2016 is to have EM dialogues in the provinces (Bac Kan province first) in September, and a network event in December 2016.

However, institutionalizing the right of participation of the ethnic minority's communities, communities who depend on forests and women in the process of REDD+ preparation and implementation is not yet been fully achieved. The number of

representatives of CEMA in the PRSC, the REDD+ network and the working groups are insufficient.

### **Criterion 08: Consultation process**

Stakeholder consultation process includes the following activities: the REDD+ Network and technical working groups, national workshops, internet, consultations for the SESA (qualitative and quantitative), ESMF, and BSM/ BDM, provincial and district workshops, community dialogues.

The National REDD+ Network has been established and operated with the key members from functional Ministries, Research Institutes, representatives of donors, international donors, NGOs, etc. Membership of the national network is open and network meetings are held every six months. Based on that, REDD+ networks at provincial and district levels have also held regional meetings to facilitate the organizations and individuals to be involved in REDD+ activities.

Six STWGs have been set up: 1) REDD+ administration, 2) MRV, 3) REDD+ Finance and BSM, 4) REDD+ implementation at local level, 5) Safeguards and 6) Mobilizing the private sector. They have been very supportive for the national REDD+ network in technical and administrative teams. Membership of the working groups are open to all stakeholders. The working groups meet about every three months on specific topics. The agenda and results of the meetings are made public on REDD+ website. All work plans, consultation documents, meeting minutes are available on the REDD+ website.

UN-REDD Vietnam Programme Phase II and FCPF project organized eight national workshops on REDD+ with topics on consultation on preparation of the NRAP, establishment of the REDD+ Fund, forest protection in the border area between Vietnam-Lao-Cambodia, and guidelines for preparing PRAPs.

A number of workshops on REDD+ have been organized on the topics on REDD+ Action Plans at provincial, district and grassroots levels, developing RELs, FGRM and social and environmental impact assessment.

UN-REDD Vietnam Programme Phase I organized 78 community consultations with 5,863 participants on FPIC in Lam Dong province. FCPF project organized six community consultations with 300 participants in the two provinces of Quang Binh and Quang Tri and a similar number of consultations in Dak Nong<sup>29</sup>, GIZ project organized four consultations on FPIC in Quang Binh province, and the partner projects of VFD, JICA in their various projects have also held consultations on REDD+ and on the development of PRAPs.

UN-REDD Vietnam Programme Phase II completed their guidelines on integrating gender issues and social safeguard policies in PRAPs, preparing gender and environmental and social safeguard monitoring framework for the six piloting

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<sup>29</sup> Dak Nong was originally in the FCPF project area, but is not part of the Emission Reduction Program Accounting Area, which focuses only on the six NCC provinces.

provinces, announcing the gender analysis results for the preparation and completion of draft PRAPs.

However, consultation with the ethnic minorities and vulnerable groups has low effects; weak consultation documentation and slow mechanism of self-selection of community stakeholders, especially among ethnic minorities and vulnerable groups.

#### **Criterion 09: Information sharing and accessibility of information**

A “Communication Strategy” has been prepared by FPCF and UN-REDD Vietnam Programme Phase II to clarify objectives, contents, objects to share and access information on REDD+ starting from 2009. Many communication channels have been used including: communications materials for widespread dissemination to stakeholders (leaflets, posters, brochures, poster stands, booklets, videos/ films), seminars/ workshops, websites, study tours, media (radio, TV, local newspapers), campaigns/ competitions, mobile communications etc. See Tables 5 and 6 for more details.

**Table 5 Number of trainings, awareness raising, consultation workshops at all levels**

Projects/ Programs	Time of implementation	Total number of events	Main topics covered
UN-REDD Vietnam Programme Phase I	Aug. 2009 - June 2012	138	<ul style="list-style-type: none"> <li>- Awareness raising on climate change, REDD+ issues, FPIC.</li> <li>- Trainings on monitoring of REDD+ implementation, facilitation/ communication skills and participatory carbon monitoring skills.</li> <li>- Consultations on benefit sharing, Safeguards, REDD fund management, REDD+ policies and measures.</li> </ul>
Recoftc	Aug. 2010 - June 2016	83	<ul style="list-style-type: none"> <li>- Awareness raising on climate change, causes and impacts, roles of forests, drivers of deforestation and forest degradation, concept of REDD+, sustainable management of forests, benefits and risks of REDD+, safeguards with focus on participation, gender, FPIC.</li> </ul>
UN-REDD Programme Phase II (2013 up to 2018)	2013 - 2016	243	<ul style="list-style-type: none"> <li>- Awareness raising on climate change, REDD+ issues, forest protection and management.</li> <li>- Trainings on communications skills, Si-RAPs planning, techniques to develop livelihoods, fund management.</li> <li>- Consultations on development of PRAPs, Si-RAPs.</li> </ul>
FCPF project	Jan. 2013 -2016	146 (training and workshops) 63 consultations	<ul style="list-style-type: none"> <li>- Awareness raising on REDD+ issues, forest protection and development, PFES, forest governance and FLEGT.</li> <li>- Trainings on MRV, low impact logging consultations on FPIC, allocation of forest land.</li> <li>- Consultations on benefit sharing; REDD+ and SFCs; PFMBs, SUFs and communities on forest land use, allocation of forest land, forest protection and management; trans-boundary issues with Lao and Cambodia.</li> </ul>

**Table 6 Number and forms of communications material produced at all levels**

Projects/ Programs	Number of communications materials produced	Forms of communications materials
UN-REDD Vietnam Phase I	35	Newsletters, leaflets, booklets, factsheets, posters, poster stands, video clips, flip charts etc.
UN-REDD Vietnam Phase II	36	Posters, video clips, booklets etc.
FCPF project	35	Newsletters, leaflets, booklets, posters, poster stands, video clips etc.
CERDA	22	Booklets, posters, manuals, video clips

Communication efficiency is reflected in the awareness raising evaluation report of UN-REDD Vietnam Programme Phase I and pilot studies of FCPF consultants. In general, information is shared in time, and in accordance with the culture of the local people.

UN-REDD Vietnam Programme Phase II in collaboration with the Forest Protection Department and VNFOREST launched an Action Year on Forest Protection and Development, towards the implementation of REDD+ initiatives in Forest Protection Force, coordinating with VNFOREST to build the dissemination and communication of forestry and REDD+ in local newspapers.



However, communication with rural communities and vulnerable groups remains challenging and limited due to numbers of communities and the often remote locations; and direct communication in ethnic minority languages is also challenging.

#### **Criterion 10: Implementation and public disclosure of consultation outcomes**

Consultation results are linked with the REDD+ policies, strategies, development plans, management mechanism etc. These results are gained and replicated through information and communication and capacity building activities.

The JICA Project for Sustainable Forest Management in the Northwest Watershed Area



(ref.: [SUSFORM-NOW](#)) in Dien Bien Province piloted a provincial REDD+ Action Plan (PRAP), and pilot Site-level REDD+ Action Plans (Si-RAPs) in Muong Phang and Muong Muon communes.

In the UN-REDD Programme over time, community communications is reflected through institutionalization of the NRAP, 10 approved PRAPs, 11 Si-RAPs, 10 REDD+ Plans of Forest Management Boards, and developing sustainable Forest Management Plans for four Forestry Companies.

The FCPF Project (with assistance from UN-REDD, VFD and JICA) have piloted six PRAPs in the NCC and all required extensive consultations.

Awareness raising and capacity building on REDD+ have been conducted by UN-REDD Vietnam Programme in Phase I and Phase II, FCPF Project and other projects funded by JICA, GIZ, SNV and USAID etc. UN-REDD Vietnam Programme Phase I organized 16 training courses with more than 400 days during 2009-2011. UN-REDD Vietnam Programme Phase II organized some training courses on REDD+ communication and awareness raising skills for 16 provinces in 2014 and 2015, workshops on training of trainers on REDD+ for the REDD+ communication network members for the six pilot provinces. Under the FCPF project there were 24 training courses for community with 2,880 staff-days during 2014-2015. However, institutionalization of the consultation results were slow and training for communities, especially ethnic minorities, is limited.

## **2. Component 2: REDD+ Strategy Preparation**

### ***2.1. Subcomponent: 2a. Assessment of Land Use, Land-Use Change Drivers, Forest Law, Policy and Governance***

#### ***2.1.1. Rationale***

The NRAP created the legal basis for the REDD+ preparatory activities and implementation, including strategic objectives, main activities and measures to be taken. The implementation phase of 2011 to 2020 is consistent with the duration of the forestry strategy, sustainable development strategy and national forest protection and development plan.

The goals of assessing land use, reasons for changes in land use change, forestry law, policies and governance is to look for drivers of deforestation and forest degradation as well as the forest conservation activities, sustainable management of forests and enhancement of forest carbon stocks.

The R-PP reports and the thematic studies have identified the drivers of deforestation and forest degradation in Vietnam, in summary consisting of: (1) Direct drivers: Conversion of forest land to agricultural land, rapid expansion of rubber plantations, coffee and pepper perennial crops, unsustainability of forest exploitation, development of infrastructure, forest fires; and (2) Indirect drivers: increased demand for forest and agriculture products, slow adoption of progress development policies, inefficient

management of the SFCs, weak forest governance at the local level, and weak land management.

The report clarifies the current shortcomings in land use planning, in the design and enactment of forestry law, forest policies and forest governance. It is these shortcomings that have contributed to the process of deforestation and forest degradation. The relationship between socio-economic development and the laws and policies; the relationship between people's livelihood and improved management of natural resources in a complex socio-ecological system have also been analyzed and clarified in the executive summary report.

**Indicators for M&E in the R-PP consist of five criteria for implementation of the following studies:**

- Study on the deforestation and opportunities from REDD+;
- Assess the impact of the development of rubber plantations on natural forest in the Central Highlands and Southeast agro-ecological zones;
- Study on the forest classification and approval process to clarify the impact of deforestation and propose the improvements;
- Review the current Forest Land Allocation (FLA) process and make recommendations to improve the system to serve the community benefits;
- Study on the impact of shifting cultivation to forest coverage percentage in Northwest, Northeast and Central Highlands regions; and
- Review the social and environment assessments on the small and medium sized hydropower plants and propose the mitigations to forest impacts.

Until now, most studies have been completed to serve the development of strategy and policies for REDD+.

Total funding for this sub-component is 235,000 million VND, of which, funds from FCPF project is US\$ 190,000, and funds from UN-REDD program is US\$ 45,000. The budget is to finance six studies on land use, forest policy and forest governance.

### *2.1.2. Assessment criteria*

#### **Criterion 11: Assessment and analysis**

A summary of the R-PP has presented the trends of the changes on forests and forest land from 1943 to 1993, during that period the proportion of forest cover has dropped from 43% to 20%, then increased to 40.5% in 2014. In 2004, two thirds of the natural forests were classified as poor and new regenerated, and rich forests account for just 4.6%. In the study on "The context of REDD+ in Vietnam: Drivers, agents and institutions", CIFOR has analyzed in detail the changes on forests and forest coverage in

Vietnam over the period from 1943 to 2009, analyzing the proportion of forest cover and forest structure in 2010 in relation with the poverty rate in different regions.

The issues relating to land use rights, such as issuance of land use right certificates (red book) to individuals, households, communities and businesses were analyzed through the indicators on land use rights for three main socio-economic activities: households, communities and the State. The difficulties and shortcomings in FLA process, such as delays in the finalization and delivery of Red Books, overlapping land allocation, conflicts in land use, unclear boundaries in land allocation on the ground and the main issues mentioned during consultations. Contracting forest land under the management of SFCs and PFMBs is a very specific form of land lease and currently there are coordination difficulties between MARD and MONRE on this<sup>30</sup>.

The impact of the Land Law, and the Law on Forest Protection and Development on the changes in land use and forest resource changes in both quantity and quality in recent years have been mentioned in the executive summary report. The International Development Law Organization (IDLO), in the report "Preparation of legal basis for REDD+ in Vietnam ", in November, 2011, analyzed the ownership and use of land, analyzed the institutional framework for the management of forest resources. The report also analyzed the main challenges of the legal basis for REDD+ in Vietnam.

The issues related to forest governance, such as development strategy, forest planning and development plans, the investment programs and projects in relation to REDD+ have been evaluated in the executive summary report.

However, the issues related to the management of natural resources such as forest ownership and use rights of non-timber forest products (NTFPs), forest allocation and contracting, forest conservation, biodiversity were thoroughly analyzed in several related reports, but not in the R-PP executive summary report, there is a lack of in-depth qualitative analyses on the drivers of deforestation in the specific areas, the assessment related to sustainable forest management, conservation and enrichment of forest carbon is also lacking.

## **Criterion 12: Prioritization of direct and indirect drivers/ barriers to forest carbon stock enhancement**

The direct impacts on forest carbon enrichment defined in the R-PP were due to: 1) Unsustainable exploitation; 2) Forest fires; and 3) Increased demand for forest and agricultural products. Unsustainable exploitation and encroachment has been identified as the main drivers of forest degradation. Timber harvesting (legal and illegal) occurred in both plantations and natural forests and has led to reduction of the biodiversity and forest stocks. More than 6 million hectares of forests in Vietnam are associated with having a high fire risk. According to VNFOREST, from 2002 to 2010, there were 704

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<sup>30</sup> The subleasing of the land (through a contract under the law on Forest Protection and Development) should be regulated by the Land Law as it is a land deal and should be noted on the LURC of the SFC and PFMB - if they have a LURC; however, the practicalities are that a fully regulated sublease contract would take time and resources that are often not available.

forest fires leading to 5,081.9 ha forest cover lost. Forest fires have contributed to depletion of forest carbon enrichment. Because of pressure from population growth, demand for forest and agricultural products such as food, non-timber products, firewood etc. also have a direct impact on forest enrichment.

The study on "Deforestation and opportunities for REDD+" analyzed the drivers and barriers affecting the forest enrichment such as: 1) inappropriate policies; 2) inappropriate processes and rules; 3) limited human resources; 4) lack of capital for the forest enrichment.

In recent years, Vietnam has focused on addressing the drivers of deforestation and forest degradation by checking, adjusting and stabilizing the planning of rubber plantations (a significant driver in many provinces), and reviewing and planning of medium and small hydropower plants and strengthening the inspection and supervision of the conversion of forests to other purposes and offset planting.

However, Vietnam failed to give priorities to address the direct drivers of deforestation and forest degradation, the barriers affecting the conservation and enrichment of forest carbon and the indirect drivers affecting the forest carbon enrichment were not analyzed in detail in the R-PP.

### **Criterion 13: Links between drivers/barriers and REDD+ activities**

From the analysis on the causes and barriers affecting forest enrichment, the NRAP has proposed "Improve the solution to convert forests and reduce the forest degradation". Several solutions for forest enrichment are: 1) Establishing a monitoring system for the exploitation, identification and traceability of the origin of timber and ensure the timber legal for extraction, transportation, processing and export; 2) Building of a national standard system on forest certification, codes and standards for silvicultural measures, sustainable forest management, timber and NTFP harvesting.

However, solutions to limit the socio-economic impacts on biodiversity and forest stock declination are not yet available.

### **Criterion 14: Action plans to address natural resource rights, land tenure, governance**

The NRAP introduces an action plan to address the issues related to land use rights, the right to use natural resources and forest governance, consisting of two phases: 1) Phase 1 (2011-2015): Review, amend and add new legal documents relevant to land, forest protection and development, investment, finance, entitlement and legislation; and Phase 2 (2016-2020): Continue to develop and refine the legal framework for the implementation of REDD+ on the basis of practical needs as well as the provisions of the laws of Vietnam and international practices.

The responsibility for enacting the legal framework has been specified for MARD, MONRE, MOF and MPI. These issues will be prioritized to be addressed in the six NCC provinces during the development of the SESA Phase 2 and the ER-PD.

Nevertheless, the associated resources are not defined to implement mechanisms to benefit from forests although it has been defined in a number of different Laws and Decrees, from time to time and, however, the provisions are difficult to apply in practice.

### **Criterion 15: Implications for forest law and policy**

The assessment on land use, the causes of change in land use, forest law, and forest policy and forest governance has clarified the relationship between the socio-economic and forest resources with institutional factors and policies. The gaps in law, policy, and their impacts on deforestation and forest degradation have been analyzed and clarified.

Forestry policy, institution and administration reform are included in the six elements of REDD+ strategic plans. Completion of the legal framework to facilitate REDD+ implementation is included in the NRAP.

IDLO in the research report reviewed the laws and institutions that affect REDD+, analyzed the challenges to the legal basis for REDD+ in Vietnam, including the right to benefit from REDD+ which is considered as one of the main issues that the policy system should pay attention to, together with "...setting up a benefit sharing mechanism of transparency and equality" is the 6th Component of REDD+ strategic plan in R-PP.

The UN-REDD Vietnam Programme Phase II has organized a number of workshops in Lam Dong province with the technical working groups to discuss gaps and proposals to improve the policies related to REDD+. However, the assessment has not proposed which points need to be amended in the REDD+ relevant laws; the assessment failed to address which policy should be prioritized and be implemented in the long term.

## ***2.2. Subcomponent 2b: REDD+ Strategy Options***

### ***2.2.1. Rationale***

The REDD+ strategy or action plan should answer the question: how we reduce the emissions of greenhouse gases and increase carbon stock in close relation with the drivers of deforestation and forest degradation. This is the basis for drafting new policies and programs to reduce greenhouse gas emissions in the country.

REDD+ strategies can be deployed in different ways. Based on analyzing four major drivers of deforestation and forest degradation over time, Vietnam has proposed the NRAP that consists of six components:

- (1) Land zoning and land use planning;
- (2) Accelerate the process of licensing of forest;
- (3) Forest policies, institution and administration reforms;
- (4) Encourage the compliance to planning and environmental requirements;
- (5) Improve the solution to convert forests and reduce the forest degradation; and

(6) Establish a transparent and equal benefit sharing mechanism.

Zoning and land use planning, and at the same time accelerating the process of forestland allocation to minimize the transitions from forest land to agriculture land, which is the main driver of deforestation is central to the governments policy. Reform of the forestry policies, institutional and administrative system to curb unsustainable logging, which is the main driver of forest degradation. Accelerating the enforcement of zoning and environmental requirements, improving the solutions to reduce deforestation to reduce the conversion of forests to infrastructure and reduce forest fire. Establish a transparent and fair BSM to help with the motivation for the stakeholders to actively and positively participate in the REDD+ programs or projects. The REDD+ Action Plan also reflects the paces and priorities to reduce emissions and enhance the removal of CO<sub>2</sub> of Vietnam in the coming period.

**M&E indicators in R-PP:**

- Evaluation of the zoning and land use planning;
- Accelerating the support to FLA to households and communities;
- Verification of the reform on forestry policies, institutions and administration;
- Promoting the environmental planning and environmental requirements;
- Training and capacity building on livelihoods improvement; and

All these indicators have been initially applied.

The budget is US\$1,870,000, of which the FCPF Project contributes US\$1,100,000, and UN-REDD Programme contributes US\$ 770,000.

*2.2.2. Assessment criteria*

**Criterion 16: Selection and prioritization of REDD+ strategy options**

The REDD+ strategy has been developed through consultations from April, 2011 to November, 2011 and involved different stakeholder at different levels. Five consultation workshops were organized with national stakeholders on technical issues and REDD+ implementation mechanism and included the participation of VNFOREST, UN-REDD Vietnam Programme Phase I, JICA, the representatives from the STWGs.

Between August 15 and 16, 2011, a national workshop on REDD+ readiness preparation was held. During October and November, 2011, many official consultation workshops with the relevant ministries involved in the R-PP were been organized.

From April to November, 2011, several community consultation workshops were organized and held by CERDA, SNV, the Centre for People and Forests (RECOFTC), UN-REDD Vietnam Programme Phase I.

The REDD+ strategy was discussed with MONRE on April 21-22, 2010; May 27, 2010 and November, 2011. Consultation on the REDD+ strategy was discussed with the World

Bank between April 12 and 23, 2010, with UN-REDD Vietnam Programme Phase I on April 20, 2010; FAO on April 20, 2010;

Many consultations from 2010 and 2011 have been jointly organized with local communities on the strategic direction of REDD+ by Social Policy Ecology Research Institute (SPERI), GIZ, Centre for Sustainable Rural Development (SRD), Care International, The Centre of Research and Development in Upland Areas (CERDA) and Centre of Expertise on Education for Sustainable Development.

JICA conducted a project on setting the FRELs/ FRLs from September, 2009 to March 2012. Based on calculation of carbon stock between 1990 and 2010, JICA calculated FRELs, FRLs, and separate and combined FRLs, forecasting the reference emission levels for the whole country and by region. This study is an important basis for forecasting the potential to reduce emissions in the country and by region.

- Period 2011-2015: Survey to assess the values of GHG emission reduction, accounting the investment and benefits of REDD+ for each province and the whole country, identifying the REDD+ prioritized regions; Setting up a temporary FRELs/ FRLs at the national level and in pilot provinces to make it appropriate for the specific conditions of Vietnam, UNFCCC regulations and international technical and financial assistance”.

- Period 2016-2020: "Revise, supplement and finalize RELs/ FRLs at national and local levels in the piloting provinces based on updating and supplementation of methods and relevant data or new regulations of UNFCCC”.

There is a national plan prepared for Vietnam (the NRAP with contributions from PRAPs) and a regional plan for the NCC region (i.e. the ER-P and with contributions from six PRAPs), but without a finalised program at present. The NRAP is mainly a legal enabling document rather than a document providing detailed analysis of drivers so it does not identify specific priorities among the drivers of deforestation and forest degradation, this was left to the individual projects and programmes to determine with the provinces and regions they were working in.

### **Criterion 17: Feasibility assessment**

During the preparation and submission of NRAP in 2011, economists and social forestry experts assessed the feasibility in social, economic, political and institutional terms of REDD+ activities in Vietnam. These assessments have been updated into national REDD+ Action Plan.

In its PRAP preparation guideline, MARD also raised request for a comprehensive assessment of technical, social and environmental aspects of PRAPs.

During the preparation of ER-PD, REDD+ strategic options were also analyzed in social and environmental aspects, opportunity and costs for doing REDD+.

However, NRAP failed to introduce multiple options so there is no calculation of feasibility, opportunities and risks for REDD+ strategic plan, no assessment on opportunity costs, social and environmental viability.

## **Criterion 18: Implications of strategy options on existing sectoral policies**

Land zoning and land use planning are among six key activities in NRAP. Land zoning and land use planning will clarify the relationship between activities in REDD+ and other sectors such as hydropower, infrastructure, agriculture, etc.

The potential conflicts between REDD+ activities and other sectors have been taken into consideration, especially with expansion of rubber plantations and other industrial tree crops. However, the NRAP, does not have provision for the resolution of conflicts between REDD+ and other sectors i.e. infrastructure, hydropower plants and agriculture, for that reason, national and provincial REDD+ strategic options alike do not always reflect the policies of agriculture in general and forestry in particular.

### **2.3. Subcomponent 2c: Implementation Framework**

#### **2.3.1. Rationale**

REDD+ implementation framework identifies the institutional, economic, legal and governance needed to implement the REDD+ strategies. Framework for REDD+ in the R-PP offer such activities as determining the carbon ownership, establishment of REDD+ Fund, identifying forest monitoring needs, piloting BSMs at provincial and national levels, identifying the opportunity costs.

The NRAP proposes measures include the following activities: 1) legal framework (legal, technical processes etc.); 2) finalizing the institution arrangement and human resource development; 3) review and improvement of land-use planning, forest protection and development planning, review and complete FLA; 4) investigations, monitoring of changes in forest and forest inventory; 5) development of forestry information system development, strengthen the communication; and 6) raising awareness, strengthening international cooperation.

#### **Indicators for M&E in the R-PP include:**

- Assessment of costs and benefits of the NRAP;
- Report on the review and updating the NRAP;
- Research on carbon rights in the REDD+ conditions of Vietnam;
- Assessing the REDD+ financial flows to establish REDD+ Fund in Vietnam;
- Assess the need and costs for forest monitoring;
- Piloting BSM and management mechanism at the provincial level;
- Studying the BSM management mechanism at central level; and
- Studying the opportunity costs in REDD+ implementation.

The NRAP has been approved and put into operation by MARD. Guidelines for the implementation of NRAP have been developed and distributed. UN-REDD Vietnam Programme Phase II has evaluated the implementation of NRAP in period 2011 - 2015 and an update of the NRAP is currently under preparation and will be adjusted for the coming period. Research on financial flows was conducted by Forest Trends (see Table



7). Scheme on establishment of Vietnam REDD+ Fund have been approved in Decision 5337/QĐ-VNFOREST.

UN-REDD BDMs are being piloted in six pilot provinces, including Lao Cai, Bac Can, Ha Tinh, Lam Dong, Binh Thuan and Ca Mau under the UN-REDD II Programme.

The NRAP requires "...review, amend, supplement and build legal documents on land, forest protection and development, forest carbon rights, carbon credit, etc., [that are] appropriate with the law and agreements signed by Vietnam" and initial studies on carbon rights in REDD+ and opportunity costs for REDD+ (ref.: [report](#)) implementation were reviewed Lam Dong province in 2012.

**Table 7 Budgets supporting the setting up the implementation framework**

	US\$
Determination of forest carbon rights	30,000
Studying the financial instruments to establish REDD+ Fund	30,000
Needs assessment and costs monitoring	110,000
Piloting BSM at the provinces	178,000
The BSM management mechanism at the central level	120,000
The opportunity costs	140,000
<b>Total:</b>	<b>608,000</b>
<b>In which:</b>	
FCPF contribution	180,000
UN-REDD Vietnam Program contribution	280,000
Other sources	148,000

Source: R-PP, 2011

### 2.3.2. Assessment criteria

#### **Criterion 19: Adoption and implementation of legislation/regulations**

Four Decisions have been issued by the Prime Minister directly relating to REDD+ including Decisions 799, 2139, 1393 and 1775.

MARD has issued five decisions relevant to REDD+ including: Decisions 819; 3119, 5414, 5337, 5399<sup>31</sup>.

The country study on "Legal preparedness for REDD+ in Vietnam" by IDLO in November, 2011 (ref.: [country study](#)) introduces some legal and institutional improvements in Vietnam that have direct influence in REDD+ implementation. The studies identify the relevant laws, regulations, guidelines and instruments on REDD+ in Vietnam, thereby identifying the important inadequacies on legal and institutional aspects, challenges on REDD+ implementation and proposing new policies for REDD+ design and implementation.

<sup>31</sup> Decision No 5399/QĐ-BNN-TCLN dated 25 December 2015 on piloting positive incentive delivery under the framework of UN-REDD Viet Nam Programme Phase II.

CIFOR's study on "The context of REDD+ in Vietnam: Drivers, agents and institutions" in 2012 (ref.: [report](#)) verifies the policy environment on REDD+, analyzing three aspects on efficiency, effectiveness and equality of the enforcement of laws, policies and regulations on REDD+ in Vietnam.

SNV's study on 'A country-led approach to REDD+ safeguards and multiple benefits' (ref.: [report](#)) in November 2013 has analyzed different approaches to environmental and social safeguards in REDD+ in Vietnam.

However, legal definition of the right to obtain benefits from REDD+ is a prerequisite to implement some provisions of the Cancun Agreement on guiding the safeguards. However, Vietnam is facing the challenge of clarifying benefits from REDD+ activities, particularly in relation to the scope of carbon rights and land rights. The legal status of communities and forest contractors has not been confirmed. The civil law does not recognize a community (meaning a village or group of hamlets as opposed to a commune which includes a group of villages) as a legal entity; it means that the village community lacks a formal legal position, whereas the available studies have shown that it is better to distribute the benefits to the community rather than to the individuals or households, the state enterprises or forest management boards.

### **Criterion 20: Guidelines for implementation**

This is one of the targets in strengthening capacity for operating NRAP. In 2015, consultants reviewed, assessed and proposed to finalize NRAP for period 2011-2015.

PRAPs are being carried out in many localities. The PRAPs of Dien Bien, Lam Dong, Quang Binh, Ca Mau, Thanh Hoa, Lao Cai, Nghe An, Bac Kan and Ha Tinh has been approved by the PPCs. UN-REDD Vietnam Programme phase II support to develop PRAPs in five piloting provinces (except Lam Dong). FCPF is developing PRAP in Quang Tri province.

UN-REDD Vietnam Programme Phase I piloted FPIC in Lam Dong province since 2009. Based on empirical experience, guideline of FPIC in REDD+ in Vietnam. FCPF project implemented FPIC in the piloting provinces of Quang Binh and Quang Tri. GIZ piloted FPIC in REDD+ in Quang Binh province. UN-REDD Vietnam Programme Phase II is piloting FPIC the UNREDD provinces. It is expected that REDD+ FPIC guidelines will be widely consulted on and submitted to MARD for approval as official guidelines.

The UN-REDD Vietnam Programme Phase II signed a contract with DEPOCEN to provide consulting services for reviewing FGRMs and proposing a plan for FGRMs for REDD+ at the central level and in six piloting provinces. It is expected that the activities will be completed in 2016/7. While designing PRAP for Quang Tri, FCPF project also required setting up REDD+ FGRM at grassroots level.

The NRAP states that the "Ministry of Finance in coordination with MARD and relevant Ministries and Sectors, prepare and issue a financial management mechanism on the REDD+ fund which is appropriate with Vietnam Law and international regulation". The target is that during 2016-2020 Vietnam will "finalize the financial management

mechanism and payment policies based on REDD+ implementation at all levels". After MARD issuing decision to establish REDD+ Vietnam Fund, and approving BSM for REDD+, MoF will work with MARD to develop and promulgate the management mechanism and the use of REDD+ services at all levels.

Carbon rights are based on determination of the ownership and transfer of the rights and are critical to REDD+. These rights relate to the rights of land users, forest owners, transfer and mortgage of the land use right and value and benefit sharing. However, the institutionalization of forest carbon rights has not been completed. Guidelines for implementation, for example, for PRAP took some time and were finally issued in 2015.

### **Criterion 21: Benefit sharing mechanism**

The Law on Forest Protection and Development 2004 defines the legal framework for the harvesting and use of forest products. Some legal documents guiding the implementation of this law include specific instructions for the mechanism of sharing benefits from forest use (mainly from timber and non-timber forest products - direct use values of forests).

The NRAP mentions REDD+ payments, including: the establishment of the Vietnam REDD+ Fund, and sets up a payment system from the central to local levels, identifying objectives, payment rates, payment methods for REDD+ services, verification organization, monitoring and evaluating of REDD+ performance.

UN-REDD Vietnam Programme Phase I in collaboration with GIZ organized two studies on designing REDD+ benefit sharing mechanisms in Vietnam in 2009-2010. In 2012, the program piloted R coefficient for REDD+ benefits in Di Linh district, Lam Dong province. Currently, the program is conducting a pilot REDD+ payment mechanism in six provinces of Lao Cai, Bac Kan, Ha Tinh, Lam Dong, Binh Thuan and Ca Mau (Decision 5399). The piloting will end on 30/12/2018. Some international projects have also been supporting research on REDD+ BSM including: VFD, SNV, GIZ, JICA etc. The FCPF project is preparing an ER-PD for the six provinces in the NCC region, and central to that includes a BSM. The STWG on BSM has held many thematic meetings on how to prepare BSMs.

Based on the pilot results on BSMs and the results from other projects, MARD will propose the Prime Minister to promulgate BSMs for REDD+ to be applied throughout the country and widely publicized in the mass media.

Decree 99 on PFES includes carbon sequestration and storage, reducing greenhouse gas emissions by measures to reduce forest degradation, reducing emissions of greenhouse gases and sustainable development, issuing the BSM system from central level to forest owners and contracted households. The NRAP has defined REDD+ payment including: establishing a payment system from the central to local levels; identifying the beneficiaries, payment rates, payment methods; verification, monitoring and evaluation of REDD+ payments.

Nevertheless, forest BSM has been defined in many different laws, and at different times making it difficult to implement in some provinces, and some regulations on benefit sharing are difficult to apply in practice, and regulations have not yet been amended and supplemented, specifying BSMs from REDD+, or for issues related to forest carbon titles.

## **Criterion 22: National REDD+ registry and system monitoring REDD+ activities**

[FORMIS](#) provides a portal for the forestry sector Vietnam and is a platform for sharing forestry sector data, the data on forest resources data system, forest and forestland monitoring system. A database of REDD+ related information is integrated into FORMIS, and on that basis establishing a REDD+ Geographic Information Portal of Vietnam. However, developing a REDD+ database is on-going, M&E indicators for REDD+ activities in Vietnam have not been fully developed yet.

### **2.4. Subcomponent 2d: Social and Environmental Impacts**

#### **2.4.1. Rationale**

As mentioned in the R-PP, the SESA (now implemented as Phase 1 for the NCC ER-P Accounting Area and SESA Phase 2 will look at national level policy and legal aspects), Phase 1 has been under preparation based on FCPF guidance on the common approach on environmental and social safeguard from 2014. This is also required as the country wants to receive support from the FCPF Carbon Fund. The WB has also said that their policies, procedures and practices policies on safeguards is in line with UNFCCC safeguards measures for REDD+.

The SESA is being implemented following WB requirements and includes the following tasks: 1) Identifying the social and environmental risks as well as potential benefits from REDD+ implementation, thereby providing information to the relevant competent agencies and decision makers on such risks; 2) Providing recommendations on institutional and management structures to implement REDD+ and identify negative impacts on social and environmental impacts due to REDD+; 3) Proposing mitigation measures for potential impact mitigation and improvement of benefits for REDD+ strategy that should be included in ER-P and make recommendations for consideration in the revised NRAP; and 4) Helping facilitate the participation of the relevant stakeholders and partners in designing and implementation of revised NRAP.

#### **M&E Indicators in R-PP:**

- The presence of international (local) consultants;
- SESA indicated identified;
- Corresponding policies designed;
- Relevant stakeholders mobilized (in workshops, meetings); and
- Reports translated and printed.

The activities related to the SESA Phase 1 for the six provinces in the NCC Region has been implemented from 2014. Many consultations and a Probability Proportional to Size (PPS) based socio-economic survey (the PPS sampling method was employed to select 102 out of the list of 327 ER-P communes). This survey has also been used collect information and elucidate opinions on access to forest, and forest management in the communes has been conducted by international and local experts at the village communities and commune level focusing on those who depend on forests, stakeholder consultations at all levels of the NCC region have been conducted (the stakeholders include the private sector and CSOs).

#### *2.4.2. Assessment criteria*

##### **Criterion 23: Analysis of social and environmental safeguard issues**

The SESA is prepared based on a participatory approach. The participation of the stakeholders has been used for the implementation of the SESA Phase 1 has been implemented from 2014 to 2016 and is in final draft stage (and Phase 2 is due later in 2016).

The SESA acts to facilitate consultation with the participation of the partners and relevant REDD+ stakeholders and provides a mechanism to consider all the viewpoints of the stakeholders during the designing and implementation of the NRAP.

In each of its activities, the SESA needs to consult with stakeholders and their participation is the main target of SESA. The environmental and social risks were identified with a series of consultation activities held with the stakeholders during the development of the SESA.

Many international organizations have conducted studies on REDD+ social and environmental safeguard in Vietnam. In 2013, SNV conducted a study on "Develop a roadmap of social and environmental safeguard for NRAP measures to ensure environmental safety and social action programs REDD+ countries: Analyzing loopholes in laws, policies and existing regulations". In 2014, SNV proposed a "Safeguards roadmap for NRAP Vietnam: contribution to the country-oriented approach".

UN-REDD Vietnam Programme Phase II has approved the proposal and is carrying out the assessment of REDD+ impacts on biodiversity in Sub-Mekong River Region through WWF and Natural Conservation Department in VNFOREST. The programme has recruited consultants to help develop the SIS.

The Aide Memoire of WB mission (July 17-29, 2015) proposed a two phase SESA and ESMF. Phase 1 is to help in the preparation of an ESMF for the ER-P Accounting Area of the six NCC Provinces and Phase 2 will review PLRs at the national level. Currently the SESA Phase 1, approach has been used for the analysis of the land tenure, ethnic minorities, socio-economic and environmental issues, and has included a quantitative socio-economic using Probability Proportional to Size (PPS) sampling method was employed to select 102 out of a list of high forest cover 327 ER-P communes in the upland areas that also have a high proportion of ethnic minority households.

Consultations were carried out in all six provinces during November-December 2015 in 3,060 households (corresponding to 13,398 individuals) in the 102 communes. The ESMF, EMDF and GAP for the NCC region are at the final draft stage.

Budget: US\$ 198,000 from FCPF project and further funding of about US\$ 140,000 for the development of the socio-economic quantitative survey for the NCC.

Therefore, to date, SESA Phase 1 is only available for the NCC region, and ESMF is in final draft preparation before consultations.

#### **Criterion 24: REDD+ strategy design with respect to impacts**

The SESA Phase 1 analyzed, has involved data collection and consultation and work with provincial based stakeholders related to REDD+ implementation and in the design of the ER-P.

The NRAP and ER-P strategies have been assessed environmentally and socially. Investments based on improved sustainable forest management and development and biodiversity conservation have been reviewed and socio-economic and environmental mitigations have been proposed. These strategies and interventions are integrated with the results from consultations that were held with stakeholders during the development of the PRAPs, which included the identification of social and environmental impacts and potential mitigations.

Currently, the NRAP is being amended and updated to a more inclusive approach and also to provide more guidance on what is included under REDD+.

#### **Criterion 25: Environmental and Social Management Framework**

The final SESA will include an implementation plan (or roadmap) on how recommendations will be implemented and by whom.

The SESA also includes as an output an ESMF related to the NCC region emission reduction program area with a standpoint of supporting 'best practice' approaches. The ESMF provides a framework to address important social and environmental issues and mitigations associated with the ER-P and follows the WB safeguards which were identified in the general approach of the SESA Phase 1 and the ER-PD and safeguard guidelines of the UNFCCC. The ESMF introduces principles, guidance, and procedures to assess potential social and environmental risks and mitigations for the social and environmental impacts and proposes mitigations, recommendations for the policies, regulations, and interventions.

The ESMF includes the following five separate frameworks:

- *Environmental Management Framework (EMF);*
- *A Process Framework on resettlement which provides guidelines for any possible resettlement issue;*
- *An Ethnic Minority Development Framework (EMDF);*
- *Gender Action Plan (GAP); and*

- *Plan on capacity strengthening to implement the ESMF.*

Based on the social and environmental impact assessment in ER-P area, a regional ESMF for the NCC is under final preparation.

### **3. Component 3: Reference Emissions Level/ Reference Level**

#### **3.1. Rationale**

[The FREL/FRL of Vietnam](#)<sup>32</sup> is prepared based on the best data of the National Forestry Inventory and Monitoring and Assessment Program (NFIMAP). Methods and techniques used in preparation of the activity data and emission/removal factors ensures the requirements under the guidelines of UNFCCC and in particular following the technical Approach 3. The FREL for the NCC region is under final preparation and review, and is an integral part of the preparation of the ER-PD.

#### **M&E Indicators for ER-P**

- Review the quality of data;
- Updating digital data on forest inventory;
- Evaluating the method to identify reference level;
- National Stratification;
- Identifying the national and regional reference levels;
- Calculating the removal coefficient; and
- Capacity building.

With the exception of the indicator on "capacity building" which has been limited outside the central organization/ institutions involved in forest management e.g. Forest Inventory and Planning Institute (FIPI) and Vietnamese Academy Forest Sciences, and in the development of the FREL/FRL the other indicators have been obtained. The development of the national FREL and the NCC FRL has required the development of new approaches and while. For example, the FCPF project has held a number of provincial workshops explaining the FRL there is not much in-depth knowledge of the FRL at provincial level as yet.

Budget: 1 million USD, of which US\$ 470,000 from UN-REDD Vietnam Programme Phase II and US\$ 530,000 from JICA and funding from the FCPF project for the development of the FRL in the NCC.

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<sup>32</sup> Vietnam's submission FREL/FRL was submitted to UNFCCC on 15 Jan. 2016 and technical assessment is in progress. The Vietnam's modified submissions is prepared during the technical assessment.

### 3.2. Assessment criteria

#### Criterion 26: Demonstration of methodology

*The definition of forest:* The definition on forest and forest classification system applied for preparation of FREL/FRL of Vietnam refers to the definition in Circular 34. This definition on forest is appropriate with the definition on forest of the UNFCCC and is in line with the definition on forest used in the Emission Reduction Program Idea Note and BUR on national GHG inventory (MONRE 2000, 2010, 2014).

To account for the historical emission and removal with high reliability, Vietnam divided the forestland use to 17 types of land use, (Table 8) including 12 types of forests and eight eco-regions (Northeast, Northwest, Red River Delta, North Central, South Central, Central Highlands, Southeast and Mekong River Delta). The classification system of land uses and ecological stratification are consistent with NFIMAP and the National Land Inventory. The emission factor/removal factors (EF/RF) are calculated based on the average carbon stocks per 1 ha of all land uses and forests and for agro-ecological regions. The emissions and removals estimated for agro-ecological regions are then aggregated for the national level.

For NCC region, several forest types were combined to reduce uncertainties during the forest and land use mapping/updating and the harmonized classification system in the NCC is shown in Table 8 below.

**Table 8 Forest and forestland use classification**

Type	Forest and land use type	Forest/ non-forest	Forest and land use classification system for the NCC	
			Type	Forest and land use type
1	Evergreen broadleaf forest - rich	Forest	1	Evergreen broadleaf forest - rich
2	Evergreen broadleaf forest - medium	Forest	2	Evergreen broadleaf forest - medium
3	Evergreen broadleaf forest - poor	Forest	3	Evergreen broadleaf forest - poor
4	Evergreen broadleaf forest - regrowth	Forest	4	Other Forest
6	Bamboo forest	Forest		
7	Mixed woody - bamboo	Forest		
10	Mangroves forest	Forest		
11	Limestone forest	Forest		
12	Plantations	Forest	5	Plantations
13	Limestone without forest	Non-forest	6	Non-forest land
14	Bare land	Non-forest		
15	Water bodies	Non-forest		
16	Residence	Non-forest		
17	Other land	Non-forest		



Carbon pools and greenhouse gas for accounting: Two carbon pools included in accounting are above-ground biomass and under-ground biomass; the greenhouse gas accounting is CO<sub>2</sub>. These selections are consistent with the requirements on developing the reference level and are consistent with National Communications and BURs and the availability of national data. The exclusion of other carbon pools (deadwood, litter and soil organic carbon) is conservative and the carbon change in those pools are not significant. In addition to that there remain a lack of reliable time series data on the change in carbon stock for those pools nation-wide. The non-CO<sub>2</sub> greenhouse gases are not taken into account due to the emissions of these gases are not significant (Phuong et al, 2015).

Duration and scope of FREL: Under the ER-programme, the FPCF methodology Framework (2013) requires that the reference period must be 10 years back from latest data prior to 2013. However, this recently (2016) requires that the reference period must be 10 years since the first visit of Technical Advisory Panel to the Country. Vietnam has a long story of national forest inventory (NFIMAP) started in 1991 with 5-year cycles, however the latest national forest data is for 2010, therefore the reference period for the ER-P NCC RL is 2000-2010. But Vietnam will consider to update the reference period to meet new requirement of FPCF methodology framework. In the UN-REDD programme, the national reference level for REDD+ uses 1995 – 2010 as the reference period. The selection of reference period for national FREL/FRL for REDD+ is consistent with Paragraph 71, Decision 1/CP 16 of UNFCCC, which require the countries to design national FRELS. The emissions and removals counted for include emissions from deforestation and forest degradation; and removals from reforestation and forest restoration. The conservation of forest carbon stock and sustainable forest management are not well defined or used in FREL/FRL, but the activities related to conservation and sustainable management of forests are counted for, considering that all forests and land use changes are captured in the land use change matrix.

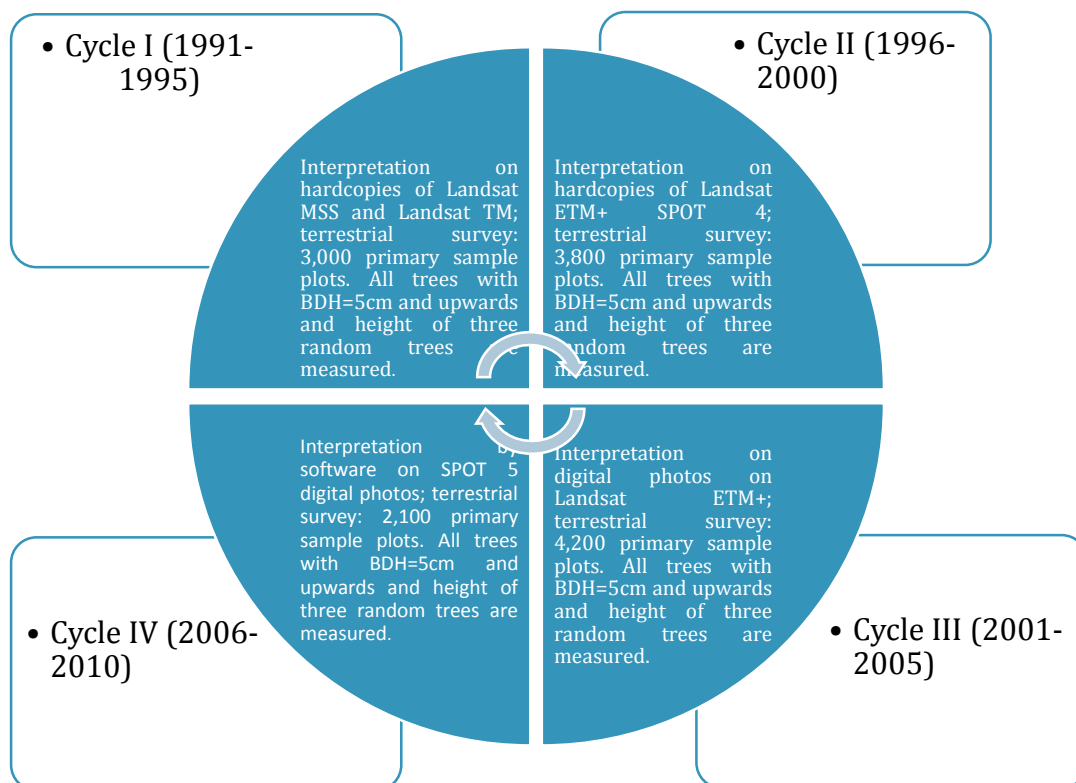
How FREL looks: For the purpose of estimating historical emissions and removals with increased accuracy and transparency, Viet Nam reports emissions and removals separately instead of net emissions. This separation allows a more adequate representation of the trends in both emissions and removals over the reference time and it provides an improved way of monitoring the different efforts of enhancing forest carbon stocks and reducing emissions from deforestation and forest degradation. In addition, it is considered that this separation demonstrates more transparency when Vietnam proposes to adjust reference level considering the removal contribution of 661 programme. The estimation of emissions and removals complies with methodological requirements of IPCC guidelines for GHG inventories in LULUCF (IPCC GPG 2003; IPCC 2006) and is consistent with national GHG inventory.

Some weaknesses: The estimates of emissions is not counted for carbon pools of deadwood, litter and soil since data are not available; there is no national specific values for root to shoot ratio for converting BGB from AGB; and the uncertainty of emissions and removals estimation is not assessed for the national reference level.

## Criterion 27: Use of historical data, and adjusted for national circumstances

*Activity Data (AD):* AD for the FREL/FRL is prepared for the national level and the ER-P NCC region and is based on readily available data. Vietnam has a history and long term experience on forest change and resource inventory i.e. the National Forestry Inventory and Monitoring and Assessment Program (NIFMAP). These programs were conducted since 1991 and repeated with 5-year cycles. Through this program, the forest status map and data for national and provincial levels is collected. NIFMAP and data sources are utilized for the following cycles (see Figure 1):

**Figure 1 Cycles of NFIMAP**



Since 2009, the UN-REDD Programme provided support to build the FRELs, the NFIMAP data has been checked, updated and completed several times with funding from Government of Finland in 2010 (Nordeco, 2010) and JICA in 2012, and the Ministry of Agriculture and Rural Development in 2014 (Dien et al, 2014) and UN-REDD in 2015. The improved data used in NFIMAP are based on the consistent definitions of forest in accordance with Circular 34<sup>33</sup>, harmonizing the forest classification system and identifying errors and improving the forest status map. Details on updated and complete data are described in Table 9 below.

<sup>33</sup> [Circular 34/2009/TT-BNNPTNT](#) dated 10 June 2009 by MARD on criteria for forest identification and classification.

**Table 9 Improving forest status map of NFIMAP (Hung *et al* 2015)**

Year	Funded by	Problems	Improvements
2010	NORDECO (Finland)	Different types of remote sensing images (hard copies and digital files). Different reference. Different classification systems.	<ul style="list-style-type: none"> <li>• All the classifications have been standardized into one classification system consisting of 17 conditions (12 forest conditions, 5 non-forest conditions).</li> <li>• The remote sensing images were digitized</li> </ul>
2012	JICA (Japan)	Lack of remote sensing photos in several areas across the country. It should be reclassified. The accuracy of the maps should be assessed	<ul style="list-style-type: none"> <li>• Landsat photos have been downloaded and ASTER photos have been procured for the missing areas. Visual interpretation to determine the forest conditions.</li> <li>• Harmonized classification system has been applied.</li> <li>• Map 2010, based on photos with higher resolution, used to revise the classification results of the maps in the previous periods.</li> <li>• Evaluate the accuracy of the maps conducted. For map 2010, ground checking shown that the accuracy of: forested/ non-forested conditions is 95%, types of forest 80% and the forest conditions of ever-green broadleaf forests 74%.</li> <li>• Reasonable changes and reinterpretation of remote sensing photos were conducted on grid 4x4km in some provinces for maps of period 1990-2005. Accuracy of forested/non-forested classification 90% and the forest conditions of ever-green broadleaved forests 75%.</li> </ul>
2014	MARD	Mismatch of the	<ul style="list-style-type: none"> <li>• Adjust the mismatch of the</li> </ul>

Year	Funded by	Problems	Improvements
	(Vietnam)	boundaries between the lots due to different resolutions.	boundaries using eCognition to run the boundaries and then using vector files with GIS software to manually revise the boundary
2015	UN-REDD	<p>The changes identified in the study of MARD have been considered and reviewed, especially the illogical changes.</p> <p>Assessing the accuracy by systematic sampling and visual image interpretation for the maps built from 1995 to 2005 to correct the errors detected.</p>	<ul style="list-style-type: none"> <li>• Detecting the illogical changes and revising the provinces with 30% errors due to the overlap of forest types; all errors are reduced to below 5%</li> <li>• Continuing to evaluate the accuracy.</li> </ul>

The updated data are used to generate operational data, including area of forest and land types.

*EF/RF:* The EF/RF are built based on the national allometric equations for biomass estimation developed by UN-REDD Vietnam and national forest data of the measurement sample plots of Cycle IV. The biomass estimation equations were made based on 1,500 sample trees for major forest types in Vietnam (evergreen broadleaved forest, *dipterocarp* forest, bamboo forest). For other types of forest, EF/RF is accounted based on the studies available in Vietnam (mangroves forests).

*The improvements in the future and adjustment according to the national context:* Since the mid-1990s, the Government of Vietnam has invested in many programs on forest protection and reforestation, most notably the Program 661 or "Five Million Hectares of Forests" (1998-2010), which has contributed significantly to improving forest cover. The last summary report 243/BC-CP of Program 661 (dated 26 Oct. 2011) clearly shown the main achievements of the program are that 4.5 million ha of forests have been reforested and planted. The GOV, was concluded that the program had reached the goals, and is praise worthy, and Vietnam should not be in situation that Vietnam should be more advanced than its attempts to restore forest cover in the past.

However, the data on the Program 661 shows little information on species planted, ages and soils. In addition, data on survival rates, litter, soil carbon sequestration has not

been tracked, collected in the forest inventory program. In the future, this data will be collected to reduce the uncertainty in accounting the emission/removal of plantations.

Some weaknesses: Forest data used for construction of reference level have yet published for open access and the assessment of success rate of Program 661 is made based on five provinces that may not fully represent the success of Program 661 at the national scale.

#### **Criterion 28. Technical feasibility of the methodological approach, and consistency with UNFCCC/ IPCC guidance and guidelines**

The methodology and technical issues for the development of FREL/FRL are consistent with UNFCCC guidance. The FREL/FRL is constructed using the best activity data available generated by national forest inventory programs including historical data. In particular, the emission/removal factors are based on the national equations with high reliability. Reference levels are calculated separately for emissions (from deforestation and forest degradation) and removals (reforestation and forest restoration) to enable transparent evaluation of efforts to reduce emissions and enhance the removals.

However, it would be more complete for FREL/FRL if data for estimating emissions for carbon pools such as deadwood, litter, soil carbon will be considered for collection in the National Forest Inventory programs.

## **4. Component 4: Monitoring Systems for Forests, and Safeguards**

### **4.1. Subcomponent 4a: National Forest Monitoring System**

#### *4.1.1. Rationale*

In Vietnam, the NFIMAP has been implemented in five-year cycles starting from 1991 to 2010. Currently, the program is being improved, including the development of a full quality assurance/quality control process to be able to continue to perform for the period 2016 - 2020 and the next cycles. The NFIS projects have been carried out several times so far and the NFIS project period 2011-2016 is being implemented. The programs and projects have generated data on forest area and quality to allow the calculation of GHG emissions/removals related to forests.

The development of FORMIS Phase I (from 2009 to 2013) built a system with the capacity to integrate and share data through standard interface. However, due to limited time, only a small amount of data has been integrated into the database of FORMIS Phase I. FORMIS Phase II (from May 2013 to 2018) aims to integrate the data of forest resources from NFIS project into FORMIS. FORMIS Phase II has supported VNFOREST to develop software on monitoring changes in forest and forestry land, which has been

deployed in Dak Lak province. FORMIS Phase II will also develop an information sharing mechanism in the forestry sector.

With the support of international donors (JICA, FAO, and Finland), FIPI has integrated primary plots' data of four cycles into Open Foris Collect for better management. Recently, MARD has approved a Frame Project on enhancing remote sensing applications in agriculture and rural development and FIPI is to develop a Database of forest resources (including forest status maps, satellite images and primary plot data) under the NFIMAP Program. The database will be linked with FORMIS to provide information at all management levels in agriculture and rural development sector.

With the support of the UN-REDD Vietnam Programme Phase II, a REDD+ information system is under construction. In addition to its own data, this system connects with FORMIS and other databases to provide REDD+ information to stakeholders, users and for verification. Details on the data and methodology enable the reconstruction of FREL/FRL and emissions/ removals will be documented and published online on its web portal system.

**Indicators for monitoring and evaluation:**

- Development of MRV;
- MRV piloting;
- Development of MRV database;
- Development of systems to monitor, analyze and evaluate; and
- Data verification.

All indications are implemented as required.

**Budget:** US\$ 2,430,000 from UN-REDD Vietnam Programme Phase II, FCPF Project, FORMIS, FAO, JICA, SNV, VFD etc.

*4.1.2. Assessment criteria*

**Criterion 29: Documentation of monitoring approach**

*Monitoring approach:* As REDD+ is a result-based payment approach and there should be a National Forest Monitoring System (NFMS) to estimate emissions and removals. The NFMS should apply the same definition of forest, classification system, and the scope of activities, carbon pools and gases used to build national FREL/FRL. In addition, the NFMS should be reviewed and improved over time to reduce the uncertainty identified when setting up FREL/FRL. To be consistent with Decision 11/COP19, the NFMS should be developed based on the existing forest monitoring systems. Currently, Vietnam forest monitoring system includes three components:

*(1) National Forest Inventory, Monitoring and Assessment Programme (NFIMAP):* NFIMAP has been implemented by FIPI under MARD since 1991. So far, four 5-year

cycles (Cycle I: 1991-1995; Cycle II: 1996-2000; Cycle III: 2001-2005; and Cycle IV: 2006-2010) have been completed. However, the Program was not implemented for period 2011-2015. NFIMAP combines remote sensing technology with ground surveys to track changes in forest resources. Results of each cycle are provincial forest status maps scale 1:100,000; regional forest status maps scale of 1:250,000 and a national forest status map scale 1:1,000,000. Data of sample plots were also collected at each cycle. For Cycle IV, data from 2,100 primary plots were collected.

*(2) National Forest Inventory and Statistics (NFIS) Project:* Several NFIS projects have been implemented and the current NFIS project is being implemented for period of 2011-2016. In the on-going NFIS project, there are two phases to create forest status map:

Phase 1 - "forest cover mapping": the interpretation of remote sensing image will be done in conjunction with ground surveys to generate forest status maps with no cadastral records (called the "forest cover map"). This phase is similar to NFIMAP program; therefore, NFIMAP for the period 2011-2015 is not implemented. In this phase, a system of sample plots is surveyed to estimate the average timber volume per hectare for each type of forest. Although the plot data is collected by FIPI, Vietnamese Academy of Forest Sciences and Vietnam Forestry University, data collection methods are different among agencies. This can have an influence on the data accuracy to estimate the volume or biomass - the intermediate values to estimate the carbon stock changes and the coefficients emissions.

Phase 2 - "forest inventory" - the forest survey maps will be used as inputs to overlay with the cadastral maps to create forest status maps with cadastral records (called the "forest inventory map"). The forest inventory maps will be printed and distributed to forest owners to check and adjust if necessary. Since forest owners participate in the verification of forest inventory maps, they are expected to have a higher accuracy than the forest cover maps. The scale of the forest status map is 1:10,000 or 1:25,000 for the communes, 1:50,000 for the districts, and 1:100,000 for the provinces. Local authorities and forest owners play a large part at this stage with the technical support of the central agencies such as FIPI, VAFS and VFU.

*(3) Annual Forest and Land Monitoring and Report Program (AFLMRP):* This Program is implemented by Forest Protection Department (FPD) under VNFOREST since 2002, based on Directive 32<sup>34</sup>. Based on the most updated forest maps of NFIS Project, the forest rangers gather changes of areas they manage, and then update the changes to the database. These changes are usually based on the reports of forest owners and do not need satellite images or ground surveys. The data is then synthesized through FPD system from local to central levels. The Program has created data sets on forest cover and forest land which are divided by land use, forest owners, forest functions and administrative units. However, there are some drawbacks: (i) there is only data for the area and no data on forest carbon stock; (ii) the data on forest area and forest changes cannot be monitored spatially; (iii) the uncertainty of the data is unknown.

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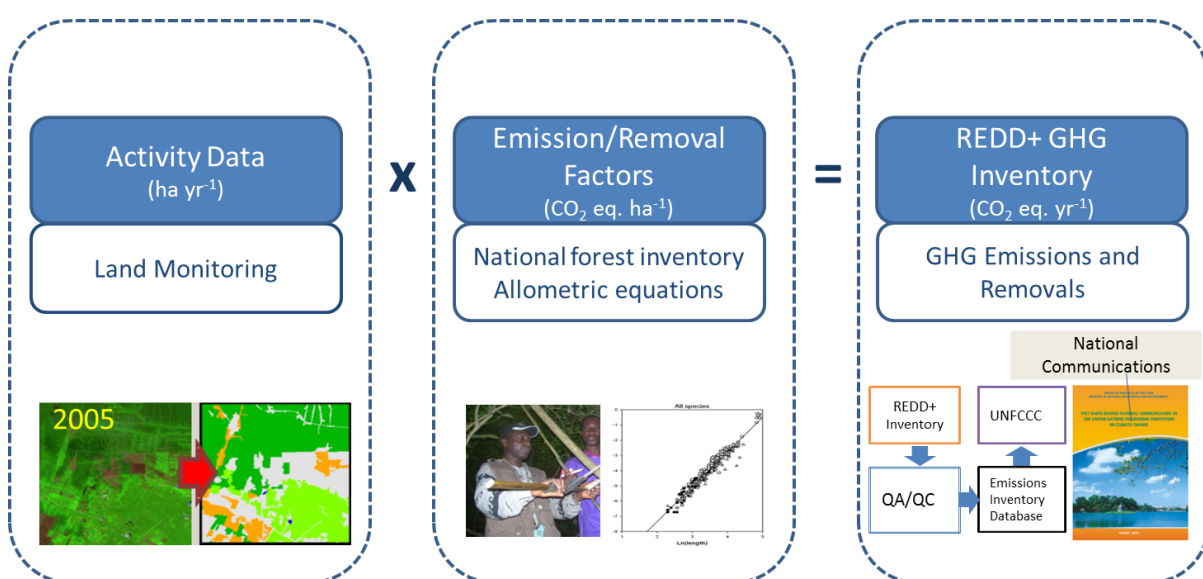
<sup>34</sup> Directive 32/2000/CT-BNN-KL by MARD dated March 27, 2000.

FORMIS Phase II helped VNFOREST to build software<sup>35</sup> on monitoring changes in forest and forestry land and has successfully been piloted in Dak Lak province. With the new NFIS project during 2011-2016 and the software above, data on forest and forest land will be incorporated with annual maps.

Estimates of emissions/removals: Emissions/removals related to forests will be estimated according to the methods of the LULUCF and be consistent with international guidelines, namely, the guidelines on greenhouse gas inventories 1996 by Intergovernmental Panel on Climate Change (IPCC) and the Good Practice Guidance for Land Use, Land Use Change and Forestry IPCC 2003. This method is consistent with the method used to estimate the emissions/removals in the Land Use, Land Use Change and Forestry (LULUCF) in Vietnam's Second National Communication - the latest National Communication of Vietnam submitted to UNFCCC. This approach is also consistent with the method used to build Vietnam's FREL/FRL.

Vietnam proposed using stock difference method of IPCC to estimate the emissions and removals. Emissions/removals will be estimated by multiplying activity data with emission/removal factors (EF/RFs) (Figure 2 below). This method allows monitoring emissions (from deforestation and forest degradation) separately with removals (primarily from increased plantation area).

**Figure 2 Approach to estimate emissions/removals**



Activity Data: According to IPCC guidelines, only the emissions/removals generated by human beings needs to be estimated. In the LULUCF, emissions/removals occurs on "land management" is considered as the man-made emissions/removals. The entire territory of Vietnam will be considered as "land management" because every type of land use (forests, agricultural land etc.) is being managed by the forest owners legally.

<sup>35</sup> Decision 589/QĐ-BNN-TCLN dated 29 February 2016 by VNFOREST issuing temporary regulations on software and use the software of forest and forest land monitoring.



The forest cover maps from NFIMAP cycles 1-4 have been used to generate AD for FREL/FRL development. However, it is still unclear whether the improved NFIMAP will continue to generate forest cover maps or not.<sup>36</sup> This is because this component is overlapping with NFIS project.

As mentioned above, Vietnam is implementing the NFIS project period 2011-2016. Therefore, the results of this project will be used to generate Activity Data for REDD+ MRV. After finishing the NFIS project, AFLMRP (with some improvements) will be implemented to update the annual forest status map. The method is as follows: (i) Using medium resolution remote sensing (LANDSAT-8, DMCI, etc.) to identify areas with multiple potential changes; and (ii) Using high resolution satellite images (VNREDSat-1 and SPOT-5, SPOT-6) and ground surveys to update the map in areas with many changes. For areas where there is less change, forest rangers can rely on the reports of forest owners to update the changes. Using remote sensing, the area of land use and land use change will be created across the country. Therefore, it is consistent with Approach 3 of the IPCC.

*Emission/Removal Factors:* The development of FREL/FRL using emission/removal factors is estimated based on the average carbon stocks per hectare of forest types from data cycles 1-4 of NFIMAP. This is the best available data to estimate the average carbon stocks per hectare for forest types of Vietnam.

The past NFIMAP data of primary plots only uses measurements such as DBH, height, species name to estimate the above ground biomass. The measurements to estimate the below ground biomass and other carbon pools such as deadwood, litter and soil organic matter are not collected. The project on National Forest Assessment (NFA) under FAO-Finland Forestry Programme has been made some revisions to NFIMAP and it is expected to be implemented in the period 2016-2020 and the next cycles. The improved NFIMAP will collect measurements to estimate directly the dead wood, litter and soil organic matter. Below ground biomass will be estimated indirectly through above ground biomass and the default R/S ratio of IPCC. For other types of land outside the forest, a default average carbon stocks per hectare of IPCC will be applied.

To ensure the report of emission/removal be consistent with Tier 2 of IPCC, the biomass allometric equations and biomass expansion factors should be applied to the major forest types. The equations/factors together with NFIMAP data can create country-specific emission/removal factors for land use changes related to major forest types. With the support from the UN-REDD Programme, Vietnam has developed the biomass allometric equations and biomass expansion factors for major forest types in the main forestry regions.

*Reporting:* A major component of the NFMS is to generate reports on the monitoring results with available format and understandable to the user. Regarding activity data, the reports include the publication of forest status and land cover maps, matrix of land use changes, all metadata and accuracy assessment to document transparently the data quantity and uncertainty. For emission/removal factors, the reports include the average

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<sup>36</sup> The improved NFIMAP will continue to collect measurement plot data for estimating EF/RFs.

value and the uncertainty of emission/removal factors; publication of data, assumptions and methodologies using field data, emission/removal reported in FREL/FRL and MRV of NFMS should be the same method and coefficients.

All data at the national level will be collated and combined with other information sources. A task force will support the analysis and produce a report on emissions reduction and removal enhancement in consistence with the REDD+ requirements of UNFCCC's COP. This report will be included in Appendix of the National Communication and the Biennial Updated Reports (BURs) which will be submitted to the UNFCCC every two years.

Verification of emission reduction and removal enhancement: The report on emissions and/or removal will be verified at national level before submitting to UNFCCC and for independent audit requested by the UNFCCC. Vietnam will establish a process to verify reported emission/removal. This means that the NFMS will conduct a national QA/QC independently. After submitting the report, access rights would be granted to the independent members of international assessment team appointed by the UNFCCC to reassess the NFMS data, the analytical procedures to assess the data quality, biomass calculation and reporting.

Uncertainty analysis: The estimation of the uncertainty will be made in compliance with Good Practice Guidance and Uncertainty Management in National Greenhouse Gases Inventories accepted and published in 2000 by the IPCC. Uncertainties relate to activity data and the average carbon stocks per hectare of forest conditions, which were reported in FREL/FRL development stage. In the future, other sources of uncertainty will be identified and estimated, and a plan to reduce the uncertainties will be developed.

Consistency with the existing guidelines, on-going national and international guidelines: The improved NFIMAP has been developed with the technical assistance of the Finnish Forest Research Institute an agency responsible for the design and implementation of national forest inventory in Finland. This proposal has been evaluated to meet international standards by the international experts from the United States Forest Service and the World Bank. In addition, this proposal has been presented at several national consultation workshops with the presence of many different stakeholders and has been edited based on feedback from these consultation workshops.

Some weaknesses: The improved NFIMAP have not been approved, some potential sources of uncertainty such as field measurements error, error of forest change overlay maps, have yet to be determined, the other pools such as litter, dead wood, soil have no data.

### **Criterion 30: Demonstration of early system implementation**

Generating AD using IPCC Approach 3, the existing NFMS system of Vietnam can afford monitoring of prioritized REDD+ activities in NRAP. However, the system has a high uncertainty and/or low cost/benefit efficiency. The proposed MRV system of Vietnam is

developed based on the existing systems, with improvements to reduce the uncertainty of the activity data and emission/removal factors.

Vietnam NFMS system will cover the whole country, and therefore will identify the reduction of emissions in Vietnam. For the international displacement of emissions, the Government considers illegal logging as a critical issue in the Southeast Asia and commits to contribute to minimize this problem. Aside from bilateral MoUs on trans-boundary timber trade with neighbouring countries such as Lao and Cambodia, Vietnam has accessed to negotiation on Forest Law Enforcement, Governance and Trade/Voluntary Partnership Agreement (FLEGT/VPA) from 2010. Vietnam will conduct the main components of the VPA system to minimize the risk of international displacement of emissions. As part of the FCPF project, in 2014, Vietnam conducted an investigation into illegal logging along the border with Lao and Cambodia. A national workshop<sup>37</sup> on forest protection on borders with Laos and Cambodia and a study tour<sup>38</sup> on illegal logging in the border areas to Laos, Cambodia and Myanmar were organized. All the four countries have committed to cooperate on this issue and held an international workshop on reduction of illegal logging in the border areas of Vietnam, Laos and Cambodia. Ha Tinh province signed a direct cross border agreement on cooperation of illegal logging control with two adjoining provinces in Laos for the UN-REDD Vietnam Programme Phase II.

The NFMS used the same forest definitions and approaches to calculate emission reductions or removal enhancement of GHGs with establishing FREL/FRL, therefore it allows comparison of forest area and carbon stocks (and consequently the GHGs emissions) compared to the estimates used in developing FREL/FRL.

Local communities and residents can joint the forest monitoring system through the following:

- Directly as forest owners (households or communities with social forestry mechanism); or
- Indirect as the sub-service providers for the forest owners controlled by the State (SFCs or Protection Forest Management Boards).

However, the system has not been applied to calculate the emission reductions and removal enhancement of greenhouse gases. Forest monitoring capacity with the participation of the people and communities remains limited still and, transnational displacement with Lao and Cambodia has not yet been controlled.

### **Criterion 31: Institutional arrangements and capacities**

The functions, tasks to perform forest monitoring have been clearly defined in the Law of Forest Protection and Development and decisions on functions and responsibilities of MARD, VNFOREST, Forest Protection Department (FPD), VRO, FIPI, etc.

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<sup>37</sup> VNFOREST hosted the National Workshop on December 16, 2014 with 61 participants from border provinces.

<sup>38</sup> The study tour was undertaken from December 15 to 22, 2015.

The National REDD Steering Committee (NRSC), chaired by Minister of MARD, was established in January 2011, with authority of Prime Minister to coordinate REDD+ implementation between the governmental agencies, private sectors, CSOs, NGOs and international partners. Soon after that VRO was established to act as a supporting office for the steering committee, based in VNFOREST - the main body, responsible for management of forestry sector.

The FPD and the provincial sub-FPDs will be responsible for annual updates of forest and forestry land area as defined in Directive 32.

FIPI will be responsible for carrying out improved NFIMAP and will support FPD in interpreting remote sensing images to detect the areas with multiple changes to update the forest changes annually.

The forest institutes and universities will participate in developing EF/RFs and country-specific factors, new methods and models to reduce the uncertainty for the estimations of emissions and increased removal of GHG related to forests.

Every other year, one group of experts from relevant agencies will gather to account and report the reduced emissions and enhanced removal of GHG related to forests related to the Appendices of National Communications and BURs to submit to UNFCCC.

The MRV Framework (UN-REDD, 2012) has identified the capacity needs and capacity gaps to operate the MRV system. On that basis, Vietnam has designed its training plan for capacity building. During the years 2012-2015, there were numerous training courses on capacity building for MARD and MONRE staff on processing satellite imagery, forest carbon mapping, sampling design and sample plots, forest carbon survey, quality assurance and quality control (QA/QC), the software such as Open Foris Collect/Calc or SIBP2 to enter and process the field data, software R to analyze statistics in forestry, application of time-series analysis to monitor forest degradation, application of GGE tool to detect changes in forest, application of software ALU to calculate GHG emissions. The training courses for capacity building will be further implemented in the future.

The need for hardware/software have been initially identified and provided. The FORMIS Project has provided a platform to store and share data of the forestry sector based on cloud computing. NFA Project provides workstations and eCognition for imagery interpretation for FIPI to improve the capacity on satellite imagery interpretation, and Open Foris tools to pilot. SilvaCarbon Programme will also provide SIBP2 software and hardware needed for FIPI to pilot the online field data entry. Software/hardware will be provided more in the future.

## **4.2. Subcomponent 4b: Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards**

### **4.2.1. Rationale**

Non-carbon benefits are described in ER-PD and SESA of FCPF and from the operation of UN-REDD Vietnam Programme Phase II and the on-going pilot projects. The SIS is being implemented and will improve transparency, clarification and with the participation of the stakeholders and is being established together with a plan to strengthen institutional capacity to follow the REDD+ relevant policies, legislation and regulations and the on-going regional interventions.

#### **Indicators for M&E:**

- A procedure of analysis and reporting national data;
- Functions of safeguard monitoring and evaluation;
- Non-carbon value sharing system; and
- Synthesized forestry information system.

Funds allocated: US\$ 780,000 from FCPF project, JICA, FORMIS, SNV.

### **4.2.2. Assessment criteria**

#### **Criterion 32: Identification of relevant non-carbon aspects, and social and environmental issues**

In R-PP as well as the ER-PD and SESA of the FCPF, the identification of risks and benefits especially for non-carbon benefits (or multi-benefits) of REDD+ activities are highlighted. Non-carbon benefits include sustainable livelihoods; biodiversity conservation; improvement of ecosystem services; adaptation to climate change and enhancement of resources governance.

UN-REDD Vietnam Programme Phase II is designing a benefit sharing (distribution) mechanism which clarify carbon and non-carbon benefits.

At the local level, Fauna and Flora International (FFI), SNV, CERDA have variously undertaken small scale pilot approaches on REDD+ or undertaken studies on different approaches for REDD+ and options for benefit sharing, in which non-carbon benefits are accounted and community participation is engaged.

PFES is being widely implemented, the benefit value from forest environment has been recognized by the local communities and beneficiaries.

The determination of the non-carbon benefits of REDD+ have not been specialized and a program on capacity strengthening for enhancement of monitoring of non-carbon aspects of REDD+ is not proposed.

### **Criterion 33: Monitoring, reporting and information sharing**

The Cancun Agreement requires all REDD+ countries to prepare systems to provide information on REDD+ safeguards to prove how the safeguards are conducted and observed. However, currently UNFCCC has not yet provided specific guidelines on information system of safeguards. Vietnam is moving quickly to develop its SIS, with the support of UN-REDD Vietnam Programme Phase II, and one expected output is the National REDD+ Information System (NRIS). The main tasks are defined as: a) Setting up SIS goals; b) Determine what information is needed to ensure safeguards; c) Determining the structure of information about safeguards; d) Identifying the function of SIS; and e) Institutionalisation of the organization for the SIS.

In the ESMF of the FCPF, a mechanism for monitoring and evaluation of REDD+ activities has been proposed, in which responsibilities, reporting templates, indicators to monitor the overall impact of REDD+ on social and environmental issues are clearly identified. The M&E of REDD+ activities have been connected with the specific project/activity within the framework of REDD+ at the local level.

However, the SIS and NRIS are being developed, but have not been institutionalized yet.

### **Criterion 34: Institutional arrangements and capacities**

SESA Phase 2 of FCPF will analyze the national policies, laws and regulations (PLRs) as well as the institutional arrangement relating to REDD+ implementation through broad consultation with stakeholders. The ESMF also mentions the institutional arrangements as well as recommendations to strengthen the capacity of stakeholders to meet the requirements of implementing measures to ensure the environmental and social safeguards.

UN-REDD Vietnam Programme Phase II is assessing the institutional capacity of Vietnam in the implementation of laws, policies and regulations relating to the safeguards of REDD+ at provincial and national levels.

UN-REDD Vietnam Programme Phase II is assessing the institutional capacity in PLRs related to safeguards in REDD+ at provincial and national levels. Vietnam established a PFES mechanism from central to village levels. Accordingly, PFES funds have been established and operated, policies, guidelines and mechanisms have been issued.

However, no provisions are specified on non-carbon aspects of REDD+ for the organizations and individuals and necessary resources for this task are not specified.

### **III. PARTICIPATORY SELF-ASSESSMENT PROCESS**

#### **1. Organizing consultation**

##### **1.1. *Evaluation, facilitators, donor***

The facilitation and assessment team included:

- Dr. Dinh Duc Thuan - consultant of FCPF project, team leader in charge of Components 1 and 2
- Dr. Vu Tan Phuong - consultant of FCPF project in charge of Component 3.
- Dr. Nguyen Dinh Hung - consultant of FCPF project in charge of Subcomponent 4a.
- Ngo Huy Toan MSc - consultant of FCPF project in charge of Subcomponents 2d and 4b.
- Dr. Pham Xuan Phuong - consultant of FCPF project, judging and presenting the sections related to REDD+ Strategy preparation.
- Nguyen Thi Le Trang, Communication Officer of FCPF project, presenter and facilitator.
- Participating in the evaluation and facilitating at consultation workshops in the community are three local consultants of the UN-REDD Vietnam Program Phase II in Bac Kan, Lam Dong and Ca Mau.

## 1.2. *Process, schedule of consultation and budgeting*

**Table 10 Timing and location of consultation**

<b>No</b>	<b>Workshop</b>	<b>Time</b>	<b>Location</b>	<b>Participants</b>
I	Inception workshop	7/10/2015	Hanoi	Experts
II	Stakeholder workshop			
1	Community stakeholder workshop 1	31/12/2015	My Phuong commune, Ba Be district, Bac Kan province	People and community in the Northern Provinces
2	Community stakeholder workshop 2	12/1/2016	Loc Phu commune, Bao Lam district, Lam Dong province	People and community in the Central Highland Region provinces
3	Provincial stakeholder workshop	17/3/2016	Dong Hoi city, Quang Binh province	Provincial staff, Forestry Companies in the North Central Region provinces
4	Community stakeholder workshop 3	31/3/2016	Nhung Mien MBPF, Nhung Mien district, Ca Mau province	People and community in the Southern provinces
5	Network and working group workshop	28/4/2016	Hai Phong	Network and working groups
III	Consolidation workshop	2/6/2016	Hanoi	Policy makers at central level
IV	National workshop	30/6/2016	Hanoi	Government, relevant Ministries, international organizations



Figure 3 Locations of consultation activities on REDD+ readiness preparation

### CONSULTATION AREA FOR R-PACKAGE IN VIETNAM



### 1.3. Participants

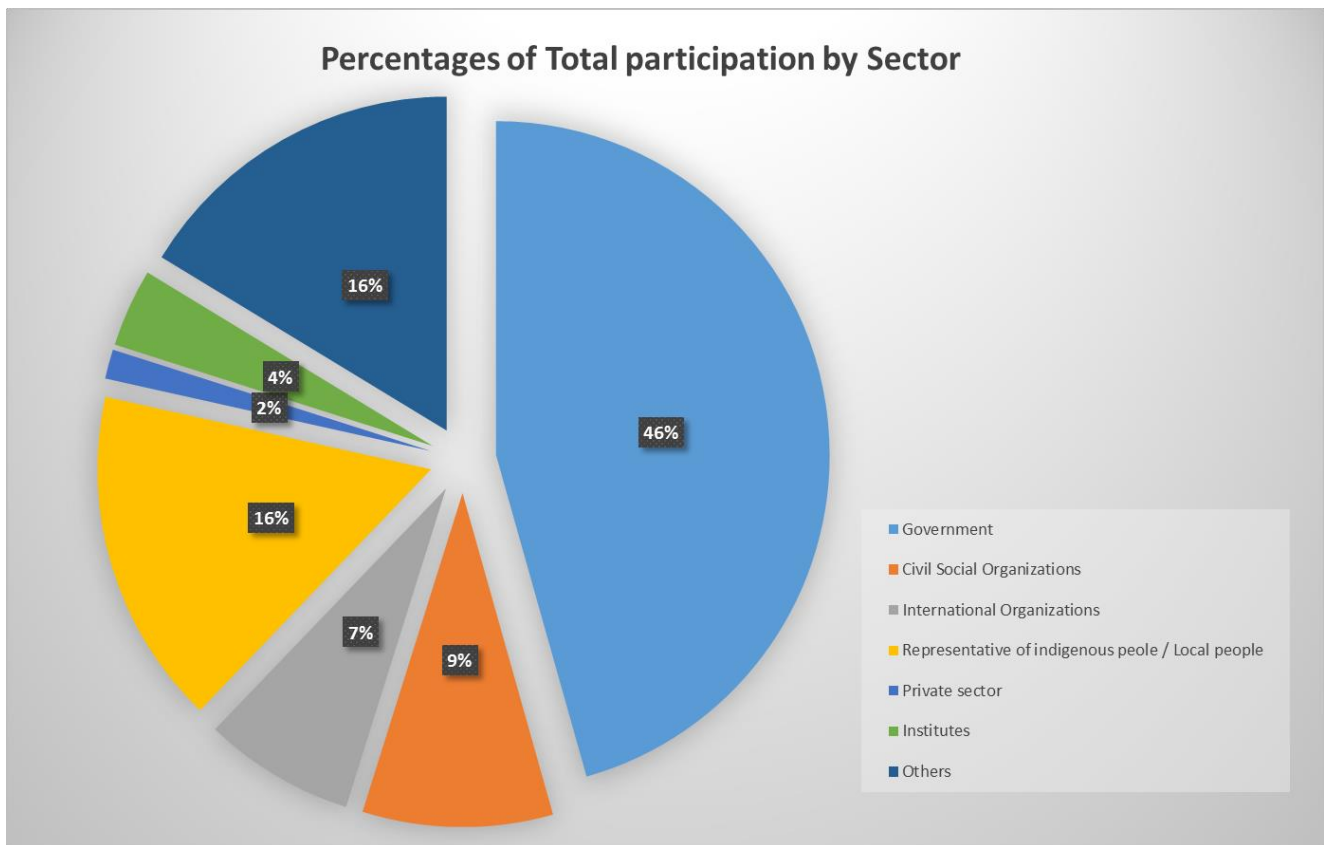
**Table 11 Number of participants of consultation workshops**

No	Target audiences of consultation workshops	Male	Female	Total
1	REDD+ network staff, working groups, NGOs (inception workshop)	20	13	33
1	Local people, local social organizations (03 Community workshops)	95	57	152
2	Staff at provincial and district level, forestry companies, provincial CSOs in ER-PD region (01 provincial workshop)	40	19	59
3	Staff of national REDD+ network, 06 working groups, NGOs (01 expert workshop)	24	16	40
4	Policy managers and policy makers (01 workshop)	32	13	45
5	National workshop (01 workshop) Central government, functional departments, international organization, international donors	68	25	93
6	Total (08 workshops)	279	143	422

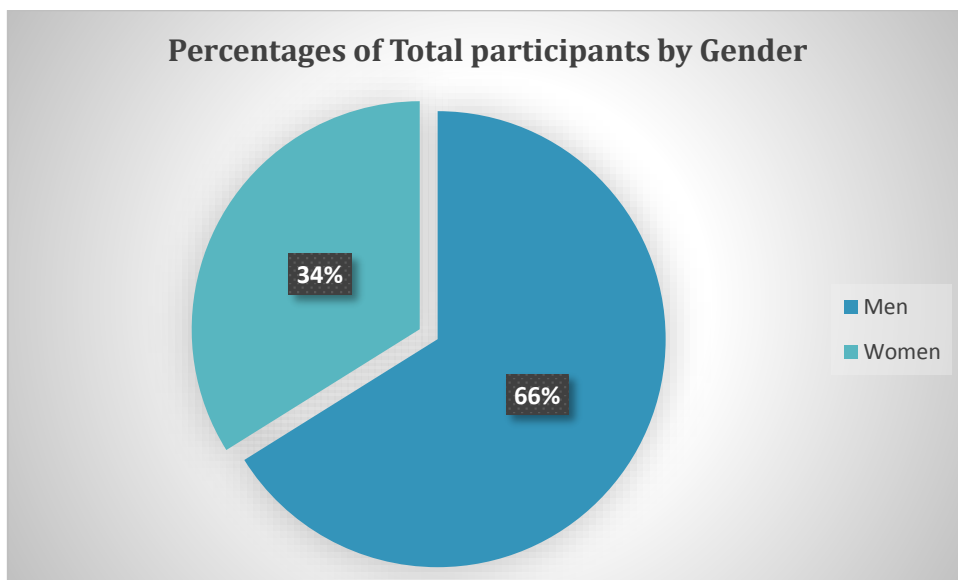
**Table 12 Summary of participants**

Type of participants	No.
Government	193
Civil Social Organizations	39
International Organizations	31
Representatives of indigenous people/ local people	69
Private sector	6
Institutes	16
Others	69
<b>Total</b>	<b>423</b>

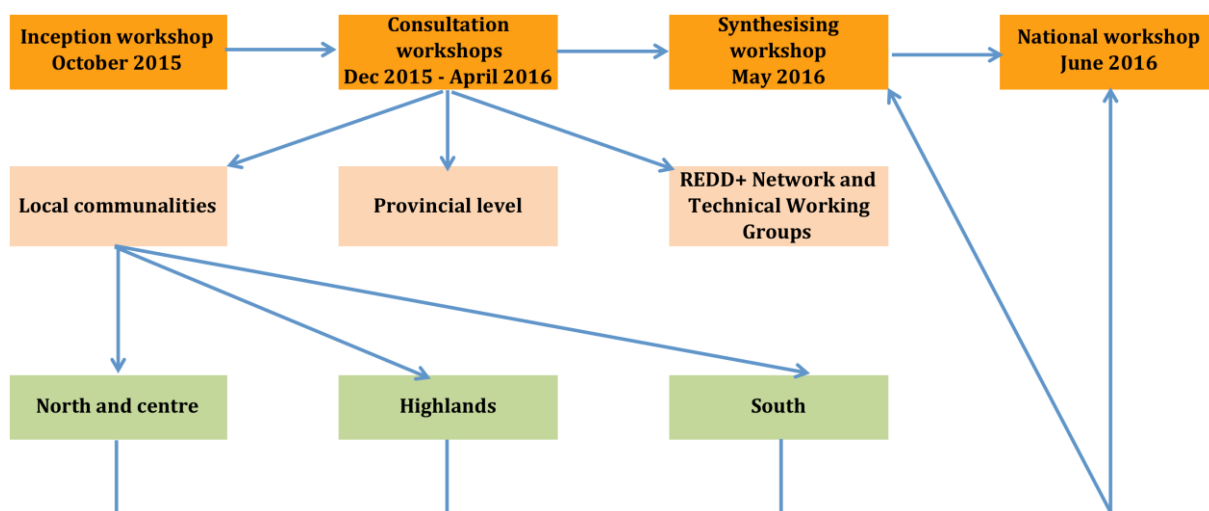
**Figure 4 Percentages of total participation by sector**



**Figure 5 Percentages of total participation by gender**



**Figure 6 Stakeholders consultation process**



## 2. Assessment process

### 2.1. Workshop preparation

Inception workshop, consultation workshops, summary workshops are all organized by FCPF project, UN-REDD Programme II, VRO, VNFOREST, MBFPs. The national workshop is organized and chaired by MARD.

### 2.2. Facilitating the assessment process

This has been conducted according to FCPF methodology guidelines, 34 criteria and 58 questions have been used with the appropriate stakeholders. Each criterion is analyzed and the solution is proposed accordingly. At workshops in community, local, and national levels, four classification have been voted on by the participants, then all participants discussed each criterion. At the summary workshop and national workshop, the criteria and classification has been discussed based on strengths and weaknesses.

## 3. Communication and outreach

### 3.1. Results

#### **Inception workshop in Hanoi on 7 October 2015**

33 participants (ref.: [list of participants](#)) attended the inception workshop, including 13 women. Participants came from 20 agencies, i.e. WB, JICA, GIZ, UN-REDD, UNEP, REDD+

Governance and Finance Integrity Project, Towards Transparency, VRO, FFI, the Centre for Sustainable Rural Development, Transformation and change management Consulting Company, Forest Trends, Climate Change Adaptation Centre, FIPI, Industrial Forest Research Institute, The Centre for Non-formal Education and Community Development, Vietnam Academy of Forestry Sciences, Vietnam News, ICCO, FCPF project.

The workshop discussed the Guide to the FCPF Readiness Assessment Framework issued by FCPF in June 2013. Component 1 was discussed as a pilot for the subsequent components.

The workshop agreed on the 34 basic criteria, questionnaires, processes and stakeholders. The participants discussed and contributed to the consultation framework of component 1, while highlighting the status, weaknesses and strengths of 10 criteria of component 1.

### **Consultation workshop with local people forestry companies, provincial CSOs in My Phuong commune, Ba Be district, Bac Kan province in 31 December 2015**

My Phuong Commune, Ba Be District, Bac Kan province locates in northern Vietnam. The total natural area of the commune is 5,710 ha, of which forest land is 4,889 ha, accounting for 85.6%. The commune has 923 households with 3,983 people. The commune has four main ethnic minority groups, in which Tay group accounted for 86%, 8% were Dao, 3% were H'mong and 3% were Kinh.

REDD+ activities in the community: A commune REDD+ Action Plans have been prepared; a memorandum of understanding for REDD+ implementation has been signed between Bac Kan Provincial Program Management Unit of UN-REDD Vietnam Programme Phase II and My Phuong Commune People's Committee in 2015.

46 people (ref.: [list of participants](#)) attended the workshop including 13 women, 34 ethnic minorities. They were local people, representatives of Farmer Association, Women Union, Father Front, Veteran Association; Ban Cam Commune People's Committee, Bao Thang district, Lao Cai province.



Key findings:

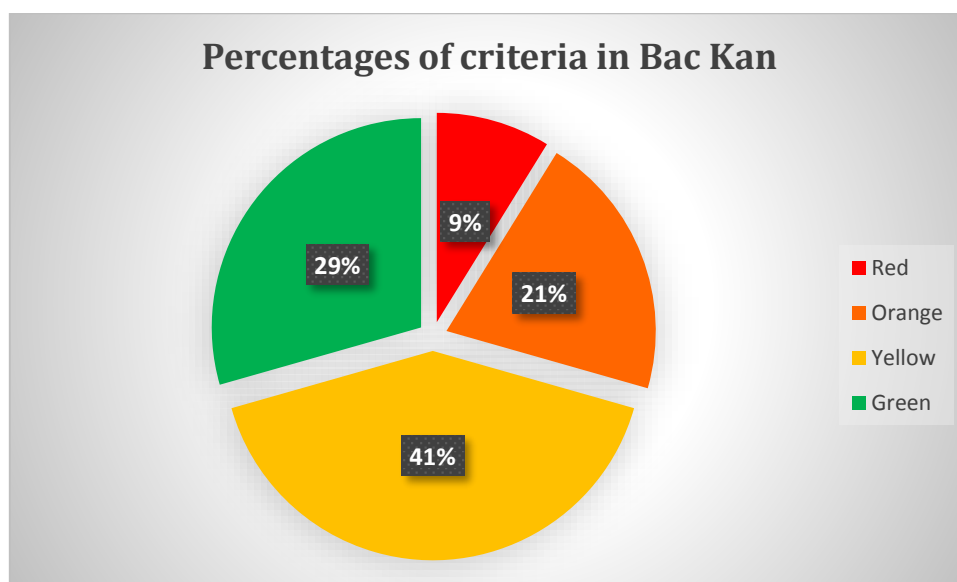
*Strengths:* REDD+ management mechanism has been made public and transparent to the people. The REDD+ Action Plan is built and analyzed according to the instructions. People are involved and consulted on the development of REDD+. The community has established regulations to control the illegal logging, benefits from forest environmental services has been discussed and implemented in villages, 10 criteria have been informed by local people that having been deployed and made progress in the community.

*Weaknesses:* 1) REDD+ Funds were not yet operational; 2) While preparing Village REDD+ Action Plans, there were no priorities, no monitoring and inspection system for tracking REDD+ activities at village level, the REDD+ Action Plans had no impact ? which ones on the local policies, evaluation of the feasibility of the Action Plan is limited; 3) Provincial and grassroots levels had not yet been involved in calculating RELs; 4) A system on monitoring, information sharing report on non-carbon benefits was not in place, capacity for monitoring non-carbon benefits is limited.

Classification of criteria:

- Green: 10 criteria (1, 7, 8, 11, 13, 14, 16, 20, 30, 32).
- Yellow: 14 criteria (2, 3, 4, 6, 9, 10, 18, 19, 21, 23, 24, 25, 29, 31).
- Orange: 7 criteria (5, 17, 26, 27, 28, 33, 34).
- Red: 3 criteria (5, 12, 22).

**Figure 7 Percentages of criteria classification in Bac Kan consultation workshop**



**Consultation workshop with local people, CSOs, local staff in Loc Phu commune, Bao Lam district, Lam Dong province on 12 January 2016**

Loc Phu commune of Bao Lam district, Lam Dong province locates in the Central Highlands region, in the north west of Vietnam. Loc Phuc commune has a total natural land area of 12,566 ha, including forest area of 6,753 ha, or 53.7%. There were 753

households with total 2,913 people. Ethnic minority people accounts for 35.5%, most of them are Chau Ma and K'Ho groups.

REDD+ activities in the community: A commune REDD+ Action Plan had been prepared; a memorandum of understanding for REDD+ implementation has been signed between Lam Dong Provincial Program Management Unit of UN-REDD Programme and Loc Phu Commune Peoples Committee in 2014.

59 people (ref.: [list of participants](#)) attended the workshop including 28 women, 23 ethnic minorities. They were local people, representatives of the Farmer Association, Women Union, and Youth Union.



#### Key findings:

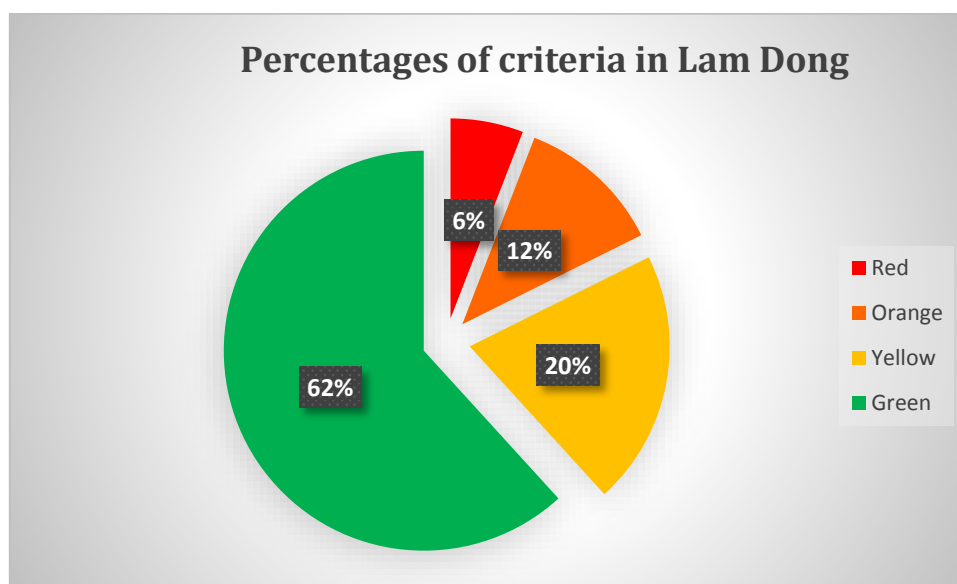
*Strengths:* REDD+ management mechanism and REDD+ participation and consultation were highly appreciated by the local people. REDD+ Action Plan in the community has been prepared according to the guidelines.

*Weaknesses:* People were not involved in the calculation of RELs, they did not have a chance to access the Monitoring and Reporting System on non-carbon benefits, they did not know about the solutions to reduce the negative impacts of REDD+ on society and the environment, no knowledge and information for assessing the feasibility of the plan of calculation of reference emission levels, institution arrangement and capacity for monitoring non-carbon benefits is limited.

#### Classification of criteria:

- Green: 21 criteria (1, 2, 3, 6, 7, 8, 9, 10, 11, 12, 15, 16, 17, 18, 19, 20, 21, 22, 23, 29, 32).
- Yellow: 7 criteria (4, 13, 14, 24, 27, 30, 31).
- Orange: 4 criteria (5, 25, 28, 34).
- Red: 2 criteria (26, 33).

**Figure 8 Percentages of criteria classification in Lam Dong consultation workshop**



**Consultation workshop with local people, CSOs, local staff in Nhung Mien Protection Forest Management Board (PFMB), Nhung Mien district, Ca Mau province on 31 March 2016**

The team worked with Nhung Mien PFMB in An Vien Dong commune, Ngoc Hien district, Ca Mau province. Total natural land area managed by PFMB is 12,607 ha, including: production forests 8,185 ha, protection forests 4,449 ha (3,530.6 ha of important protection forests, 918.6 ha of extremely important protection forests). The commune has 14 villages with 3,535 households/15,664 people. Most of the ethnic groups were Kinh, and small group of Khmer.

REDD+ activities in the community: REDD+ Action Plan of Nhung Mien PFMB, for period 2015-2020 has been prepared and approved by Ca Mau DARD in 2015.

47 people (ref.: [list of participants](#)) attended the workshop including 16 women, three ethnic minorities (Khmer). They were local people of Vien An Dong commune, representatives of Farmer Association, Women Union, Youth Union, UN-REDD Vietnam Programme Staff in Ca Mau province, staff of Nhung Mien PFMB, Ngoc Hien district forest protection staff.

**Key findings:**

*Strengths:* Good coordination between PFMB and people in forest protection; PFMB had some technical and financial assistance for community and people in livelihood improvement and REDD+ Action Plan of Nhung Mien PFMB had been prepared.

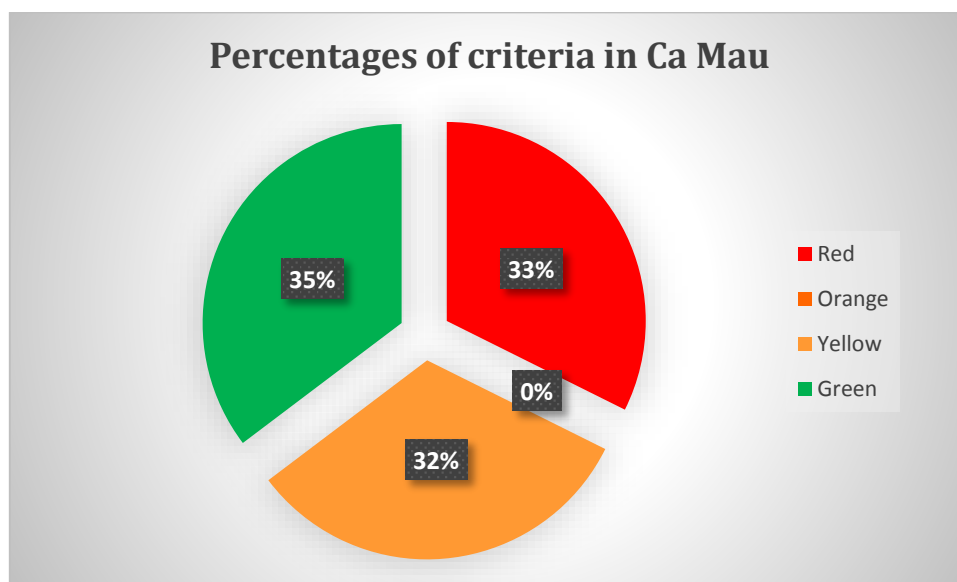
*Weaknesses:* Due to no forest land allocation for the people and the community, people only sign land use contracts with Nhung Mien PFMB, people do not have chance to access to information on socio-economic and environmental impacts of REDD+; people do not have access to participatory forest monitoring system, assessment of REDD+ non-carbon benefits.



Classification of criteria:

- Green: 12 criteria (3, 4, 9, 11, 13, 14, 15, 16, 18, 20, 23, 24).
- Yellow: 11 criteria (1, 6, 7, 8, 10, 19, 21, 22, 25, 12, 17).
- Orange: None
- Red: 11 criteria (2, 5, 26, 27, 28, 29, 30, 31, 32, 33, 34).

**Figure 9 Percentages of criteria classification in Ca Mau consultation workshop**



**Consultation workshop at provincial level in the Northern Central Region in Dong Hoi city, Quang Binh province on 17 March 2016**

59 people (ref.: [list of participants](#)) attended the workshop including 19 women. They included staff of DPI, DONRE, DARD, CEMA, Provincial Farmer Association, Provincial Women Union, Provincial Sciences and Technology Association, Sub-Department of Forest Protection, SFCs, PFMB, UN-REDD Vietnam Programme Phase II, VFD, JICA.

Key findings:

*Strengths:* Most of the provinces completed their PRAPs according to the guidelines; REL for the region has been identified and Provincial Forest Monitoring System has been set up.

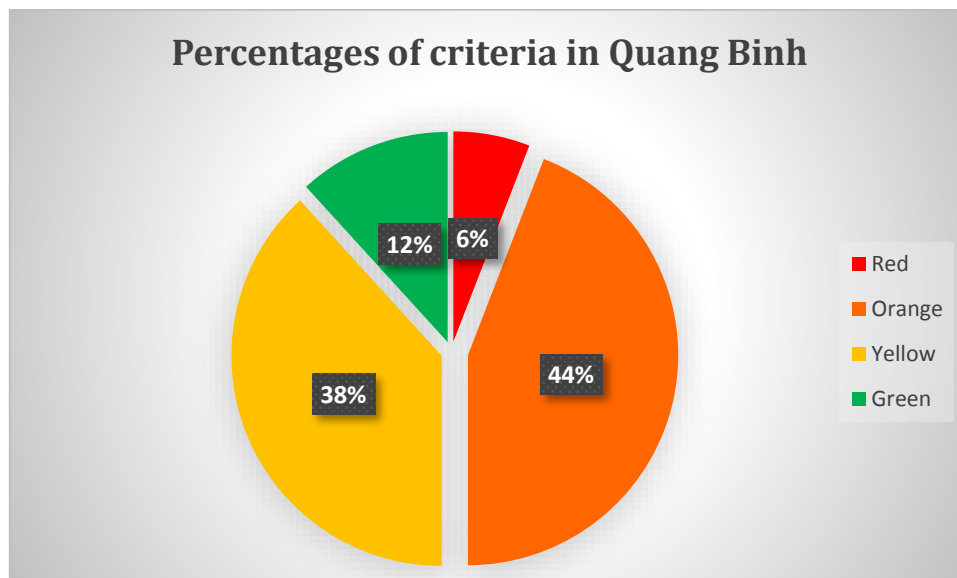
*Weaknesses:* Mechanisms to coordinate multidisciplinary and interdisciplinary at provincial level is limited; Provincial REDD+ organizational systems is unfinished and not put into operation; The involvement of the relevant departments are weak; the social and environmental impacts have not yet assessed; No social and environmental monitoring system is available.

Classification of criteria:

- Green: 4 criteria (28, 29, 31, 34).

- Yellow: 13 criteria (1, 8, 11, 12, 13, 14, 15, 16, 20, 26, 27, 30, 32).
- Orange: 15 criteria (2, 3, 4, 5, 6, 7, 9, 10, 17,18, 19, 21, 23, 24, 33).
- Red: 2 criteria (22, 25).

**Figure 10 Percentages of criteria classification in Quang Binh consultation workshop**



**Consultation workshop with sub working groups, national REDD+ network in Hai Phong on 28 April 2016**

40 people (ref.: [list of participants](#)) attended the workshop including 16 women. They come from MBFPs, UN-REDD Programme II, Vietnam Academy for Forestry Sciences, Vietnam University of Forestry, VNFOREST, FIPI, UNEP, UNDP, WWF, ICRAF, CSDM, SRD, CERDA, Vietnam Academy for Science and Technology, JICA, Ngan Ha Company Ltd.

*Key findings:*

*Strengths:* Many REDD+ Action Plans at all levels have been prepared and issued, national REL has been submitted to UNFCCC which is now being reviewed, PFES system (non-carbon) has been synchronously operated nationwide and there are lots of information, case studies on environmental and social analysis in REDD+ at community level, synchronous forest monitoring system is in place.

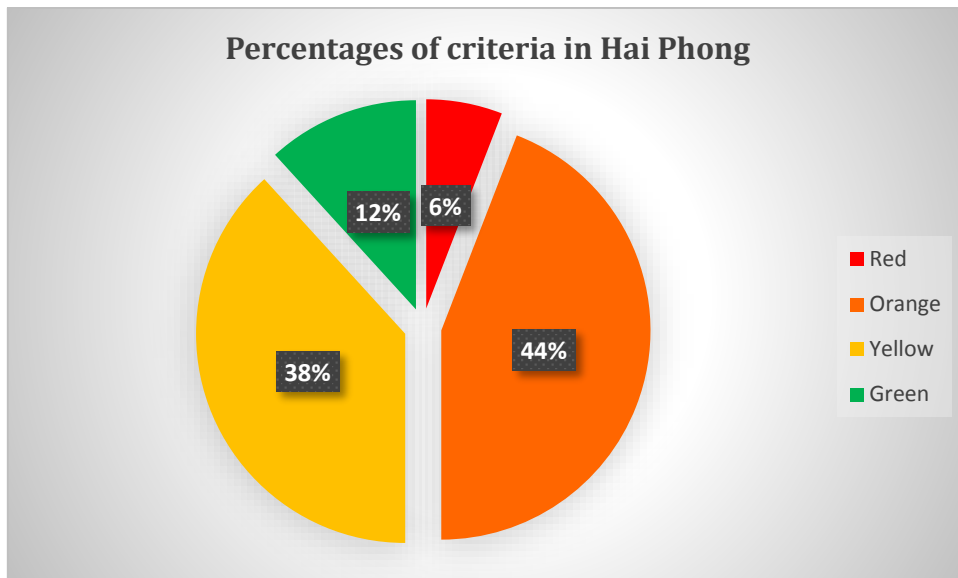
*Weaknesses:* The preparation of REDD+ program and REDD+ Action Plans have failed to introduce ‘multiple options’ and even though priorities for addressing direct and indirect drivers of deforestation, forest degradation were identified, forest carbon conservation and enrichment. The REDD+ programs and REDD+ Action Plans have failed to have much impact yet on the law, policies and management regulations of the forestry sector.



Classification of criteria:

- Green: 2 criteria (23, 29).
- Yellow: 23 criteria (1, 2, 4, 5, 6, 7, 9, 10, 11, 14, 15, 19, 20, 21, 22, 25, 26, 27, 28, 30, 31, 32, 33).
- Orange: 7 criteria (3, 8, 13, 16, 17, 24, 34).
- Red: 2 criteria (12, 18).

**Figure 11 Percentages of criteria classification in Hai Phong consultation workshop**



**Consolidation Workshop in Hanoi on 2 June 2016**

45 people (ref.: [list of participants](#)) attended the workshop including 13 women. They came from GOV, MARD, MONRE, CEMA, MPI, VNFOREST, VRO, FAO, UNEP, UNDP, JICA, GIZ, SNV, UN-REDD Program Phase II, Winrock International, Forest Trends, CIFOR, CSDM, SRD, CERDA, Vietnam Academy for Science and Technology, VFD, MBFPs, FCPF project.

### Key findings:

*Strengths:* The community is engaged to build REDD+ action plans at grassroots level, REDD+ action plans have been approved, the community is facilitated to share and access information, REDD+ has been integrated with activities on improving livelihoods.

*Weaknesses:* The REDD+ Fund has not been established, the mechanisms on distribution of benefits and regulations of financial management have not prepared, people and communities have not been involved in the process of forest carbon monitoring, and forests and non-forest carbon benefits monitoring capacity are limited.

*Measures:* Measures to address the weakness include establishing a national REDD+ fund, approving REDD+ BSMs, developing and applying a participatory monitoring mechanism (PCM), developing a safeguards information system developing, strengthening capacity for community.



### Analysis at regional level:

*Strengths:* REL of North Centre Coastal region, provincial forest monitoring system usually updated, 4 out of 6 provinces have prepared PRAPs.

*Weaknesses:* No social and environmental impact assessment and ESMF at provincial level, REDD+ registry and REDD+ M&E at provincial and regional levels remain limited, interdisciplinary and multidisciplinary coordination mechanism and REDD+ institutional arrangements remain weak, participation of provincial departments remains low.

*Measures:* SESA and ESMF are being finalized (available soon), REDD+ portal operationalizing, REDD+ portal operated, good interdisciplinary and multidisciplinary coordination mechanism and REDD+ institutional arrangements.

### Analysis at network and sub-teams

*Strengths:* Many analyses and case studies on social and environmental safeguards at grassroots level, REDD+ Action Plans at all levels have been available, documentation of national forest monitoring and evaluation system.

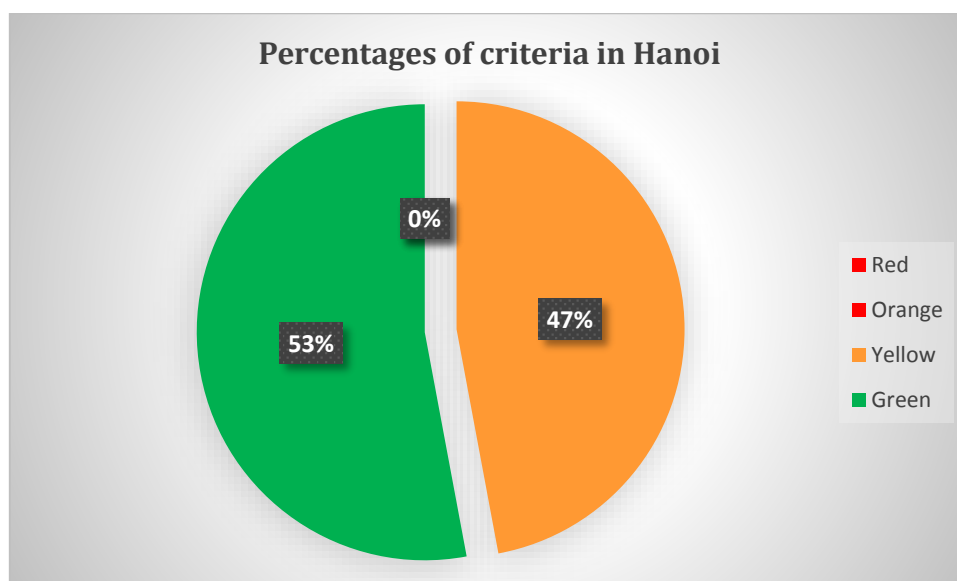
*Weaknesses:* NRAP has limited strategy options (strategy options are not well defined as it is a legal document), without priority for drivers and barriers, no financial and technical feasibility assessment, REDD+ strategic plan with pale legal basis, SESA and ESMF and SIS not available.

*Measures:* NRAP revised, draft SESA Phase 1 and draft ESMF (under preparation), MRV for REDD+ and SIS (under preparation) set up and operational.

*Classification of criteria:*

- Green: 18 criteria (1, 2, 4, 5, 6, 7, 8, 9, 13, 14, 19, 20, 21, 26, 27, 28, 29, 30).
- Yellow: 16 criteria (3, 10, 11, 12, 15, 16, 17, 18, 22, 23, 24, 25, 31, 32, 33, 34).

**Figure 12 Percentages of criteria classification in Hanoi consultation workshop**



**National workshop on Assessment of REDD+ readiness preparation in Hanoi on 30 June 2016**

National Workshop was chaired by Dr. Ha Cong Tuan, Deputy Minister of MARD with 93 participants, including 25 women (ref.: [list of participants](#)).

The participants included representatives from: Government Office, relevant ministries i.e. MPI, MONRE, CEMA, MFA, etc. The units under Ministry of Agriculture and Rural Development, WB, Embassy of Norway, NGOs, DARDs of 16 provinces of Lao Cai, Bac Can, Lam Dong, Binh Thuan, Ca Mau, Thanh Hoa, Nghe An, Quang Binh, Quang Tri, Thua Thien Hue, Ha Tinh, Dak Nong, Dien Bien, Hoa Binh, Lai Chau, Son La; MBFPs, VRO, the national media and the press.

The workshop discussed four main topics: 1) The requirements for assessing the REDD+ implementation readiness under the guidance of FCPF; 2) Analysis of the current situation, strengths and weaknesses according to 34 criteria and 58 questions; 3) The process and results of consultation with various stakeholders, the main gaps and

propose national classification criteria; and 4) The activities required to complete the REDD+ preparation readiness phase in Vietnam.

The workshop participants discussed, suggested some contents to be added and completed: 1) Clarify the consultation process and outputs, especially with women and ethnic minorities, the synthesis and analysis process is clarified into four levels; 2) Further clarify the other issues i.e. the right to self-determination of the ethnic communities, shifting agriculture emissions, illegal logging in the border area with Lao and Cambodia; 3) Financial resources should be ensured to finance necessary activities to complete the REDD+ preparation readiness in Vietnam; and 4) More details on the mechanisms and cross-cutting measures in REDD+.



In conclusion, the Deputy Minister of Agriculture and Rural Development emphasized the need for preparedness activities to implement REDD+ for the development of the forestry sector, and noted the results achieved through the process of consultations with the parties concerned, agreed with the assessment results and the activities required to complete the REDD+ preparation readiness of Vietnam. The Deputy Minister requested additional FLEGT/VPA activities and close coordination with other countries to control illegal logging over the border areas should be included in the action plan.

### **3.2. Consultation outcomes**

Most of the consultations in the provinces of Bac Kan, Lam Dong and Ca Mau were made with forest owners, ethnic minorities, women, civil society, and village people. The consultants prepared 34 questions to answer the criteria, and some supporting questions designed for each type of category. After a plenary session, the workshop was divided into four groups by four components. The participants and the facilitators alike

together discussed about the strengths and weaknesses of the criteria. On that basis, the participants categorized the criteria themselves. Group leaders were tasked with summarising and discussing issues to reach a consensus within the groups. Each group presented the outcomes of the discussions, listened to contributions from other groups and converged on the categorization. The categorization in three communities reflected general perspective as forest governance mechanisms vary among the regions, while in the North and Central Highland area, people had been allocated land and forest, in the South (Ca Mau), the farmers often sign 'land use' contracts (allowing a predetermined mix of planting of *melaleuca* and sustainable aquaculture) with Protection Forest Management Boards.

Participating in Quang Binh workshop were provincial officials, forestry companies, civil society organizations in six provinces of the North Central Region, which is developing the ER-PD. After a plenary session, the workshop was divided into four groups by four components. The participants and the facilitators alike together discussed the strengths and weaknesses of the criteria. Group 1 included representatives from departments and agencies outside MARD, CSOs, Group 2 included representatives from local planning agencies, REDD+ project staff, Group 3 included representatives from Forestry Companies, Forest Protection Staff, Foresters, Group 4 included representatives from forest inventory teams, REDD+ project staff, DARDs. The representatives classified the criteria and discussed within the groups and reported and agreed with other representatives.

Participating in Hai Phong workshop are experts in National REDD+ Network, members of six STWGs, NGOs who are directly involving in the REDD+ programs and projects. The participants analyzed the strengths and weaknesses of 34 criteria by four components. They voted for ranking of the criteria by groups, then all of them discussed and agreed on the classification. Group discussion results will also be presented and agreed with all workshop participants.

Participating in the Consolidation Workshop on June 2, 2016 were sector managers, policy makers, staff from agriculture and rural development projects. The managers helped to analyze the strengths and weaknesses of 34 criteria according from the grassroots level to regional level to national level and analyzed the solutions to overcome the weaknesses of each level. They proposed the use of progress indicators (colours) at a national scale and agreed on the activities needed to complete the REDD+ implementation preparation readiness in Vietnam. The workshop was an input for reporting at national workshop.

Participating in National Workshop on June 30, 2016 in Hanoi were managers of Government Office, representatives from ministries and different sectors, National and Provincial REDD+ Steering Committees, international organizations, and CSOs. The participants listened to the reports of the four components and analyzed the process to REDD+ readiness, and analyzed the strengths and weaknesses of 34 criteria by four components and the main obstacles, progress indication and the activities needed to

complete the REDD+ readiness in Vietnam. The participants discussed and agreed the report. The workshop was concluded by the Deputy Minister for MARD.

**Table 13 Assessed by group of stakeholder**

No	Subject of consultations	Red	Orange	Yellow	Green	Total
1	Local people, local social organizations (03 Workshops)	16	9	32	43	102
2	Staff at provincial and district level, forestry companies, provincial CSOs in ER-PD region (01 workshop)	2	15	13	4	34
3	Staff of national REDD+ network, 06 working groups, International agencies (02 workshops)	2	7	23	2	34
4	Policy managers and policy makers, financial and planning staff (01 workshop)	0	0	16	18	34
5	National workshop (01 workshop)	0	0	16	18	34

### **Summary comments on the proposed final assessment**

#### **Component 1**

Table 14 below shows that the national REDD+ management mechanism and participatory consultation mechanism are not fully developed. Functions and operationalization of REDD+ are clearly defined, and budgets are allocated through large projects. The consultation process engages multiple stakeholders, communities especially local people, ethnic minorities and vulnerable people.

Several criteria on budgeting and management of the REDD+ fund are orange and red during community and provincial consultations. This is attributable to the timing of consultation when the activities in those provinces were just beginning, PRAPs are newly under preparation, with well clarified activities and financing, but they have not actually been put in practice yet, and the REDD+ Fund is not set up yet - guidelines are being developed. At the national level, with the operation of the projects and the approval of Vietnam REDD+ Fund establishment plan via Decision 5337 dated 23 Dec. 2015 of MARD on all these criteria are yellow.

A number of the criteria of Component 1 are orange in the provincial consultations in the six NCC provinces. The fact was at the time of consultation, in Quang Binh, Ca Mau were starting implementation of REDD+, without many REDD+ activities on the spot. However, from March to June 2016, they were active in putting together PRAPs with technical assistance from FCPF, VFD and JICA, they have better chance to know REDD+.



## **Component 2**

The R-PP has analyzed direct drivers and barriers of DD, action plans for tackling land and resource use as being mentioned in NRAP. However, the prioritization of the drivers leaves room for more consideration.

Legal framework on REDD+ are being completed with many legal documents on NRAP, PRAP, REDD+ Fund, and BSM have been issued. New BSM is in the process of being piloted in the six provinces under UN-REDD Program Phase II. FORMIS has been set up and is up to integrate REDD+ database. National registry and monitoring system are new to Vietnam and it is developing. Although, the consultation results in some meetings give red to the REDD+ registry indicator (2c), these assessments come from communities and provinces who at this stage would not yet be aware of FORMIS and the project of the REDD+ registry.

Environmental and social impact assessment has been brought out by many organizations. Presently Vietnam prepares the SESA for the NCC and the ESMF is under preparation. Therefore, it is seen that social and environmental impact assessment has some improvements and is yellow.

## **Component 3**

Reference emission level is new technical approach, especially for local communities. Therefore most of them give a red or orange score, which is understandable. Nationally, Vietnam has made good progress and has submitted a national REL to UNFCCC in January 2016 and is preparing the REL for the NCC, in line with CF and UNFCCC guideline, based on historic data in period 2000-2010, with national adjustment (Program 661) and these are being updated and for the NCC region the reference period may change to 2005-2015 due to the overall progress these criteria are assessed as green.

## **Component 4**

Vietnam forest monitoring system capacitates the monitoring of prioritized REDD+ activities, functions and responsibilities related to forest monitoring are clearly provided in Law of Forest Protection and Development. Therefore, the system is answerable on REDD+ activities.

The SIS is being prepared and is not legalized yet, which will be the case by end of 2016. Therefore, this part is red and orange by the community, which is reasonable but at the national level more progress has been made and the score is yellow.

**Table 14 Proposed assessment criteria in the national workshop**

No.	Criterion	Consultation in Bac Kan (31 Dec 2015)	Consultation in Lam Dong (12 Jan 2016)	Consultation in Quang Binh (17 Mar 2016)	Consultation in Ca Mau (31 Mar 2016)	Consultation in Hai Phong (28 Apr 2016)	Consultation in Hanoi (2 June 2016)	Progress Indicator
<b>Component 1: Readiness Organization and Consultation</b>								
<b>Subcomponent 1a: National REDD+ Management Arrangements</b>								
1	Accountability and transparency	Green	Green	Yellow	Yellow	Yellow	Green	Green
2	Operating mandate and budget	Yellow	Green	Orange	Red	Yellow	Green	Yellow
3	Multi-sector coordination mechanisms and cross-sector collaboration	Yellow	Green	Orange	Green	Orange	Yellow	Yellow
4	Technical supervision capacity	Yellow	Yellow	Orange	Green	Yellow	Green	Green
5	Funds management capacity	Red	Orange	Orange	Red	Yellow	Green	Yellow
6	Feedback and grievance redress mechanism	Yellow	Green	Orange	Yellow	Yellow	Green	Green
<b>Component 1: Readiness Organization and Consultation</b>								
<b>Subcomponent 1b .Consultation, Participation, and Outreach</b>								
7	Participation and engagement of key stakeholders	Green	Green	Orange	Yellow	Yellow	Green	Yellow
8	Consultation processes	Green	Green	Yellow	Yellow	Orange	Green	Yellow
9	Information sharing and accessibility of information	Yellow	Green	Orange	Green	Yellow	Green	Green
10	Implementation and public disclosure of consultation outcomes	Yellow	Green	Orange	Yellow	Yellow	Yellow	Yellow
<b>Component 2: REDD+ Strategy Preparation</b>								
<b>Subcomponent: 2a .Assessment of Land Use, Land-Use Change Drivers, Forest Law, Policy and Governance</b>								
11	Assessment and analysis	Green	Green	Yellow	Green	Yellow	Yellow	Yellow
12	Prioritization of direct and indirect drivers/barriers to forest carbon stock enhancement	Red	Green	Yellow	Yellow	Red	Yellow	Yellow
13	Links between drivers/barriers and REDD+ activities	Green	Yellow	Yellow	Green	Orange	Green	Green
14	Action plans to address natural resource rights, land tenure, governance	Green	Yellow	Yellow	Green	Yellow	Green	Green
15	Implications for forest law and policy	Orange	Green	Yellow	Green	Yellow	Yellow	Yellow

No.	Criterion	Consultation in Bac Kan (31 Dec 2015)	Consultation in Lam Dong (12 Jan 2016)	Consultation in Quang Binh (17 Mar 2016)	Consultation in Ca Mau (31 Mar 2016)	Consultation in Hai Phong (28 Apr 2016)	Consultation in Hanoi (2 June 2016)	Progress Indicator
<b>Component 2: REDD+ Strategy Preparation</b>								
<b>Subcomponent: 2b .REDD+ Strategy Options</b>								
16	Selection and prioritization of REDD+ strategy options	Green	Green	Yellow	Green	Orange	Yellow	Yellow
17	Feasibility assessment	Orange	Green	Orange	Yellow	Orange	Yellow	Yellow
18	Implications of strategy options on existing sectoral policies	Yellow	Green	Orange	Green	Red	Yellow	Yellow
<b>Component 2: REDD+ Strategy Preparation</b>								
<b>Subcomponent: 2c .Implementation Framework</b>								
19	Adoption and implementation of legislation/ regulations	Yellow	Green	Orange	Yellow	Yellow	Green	Green
20	Guidelines for implementation	Green	Green	Yellow	Green	Yellow	Green	Green
21	Benefit sharing mechanism	Yellow	Green	Orange	Yellow	Yellow	Green	Yellow
22	National REDD+ registry and system monitoring REDD+ activities	Red	Green	Red	Yellow	Yellow	Yellow	Yellow
<b>Component 2: REDD+ Strategy Preparation</b>								
<b>Subcomponent: 2d .Social and Environmental Impacts</b>								
23	Analysis of social and environmental safeguard issues	Yellow	Green	Orange	Green	Green	Yellow	Yellow
24	REDD+ strategy design with respect to impacts	Yellow	Yellow	Orange	Green	Orange	Yellow	Yellow
25	Environmental and Social Management Framework	Yellow	Orange	Red	Yellow	Yellow	Yellow	Yellow
<b>Component 3: Reference Emissions Level/ Reference Levels</b>								
26	Demonstration of methodology	Orange	Red	Yellow	Red	Yellow	Green	Green
27	Use of historical data, and adjusted for national circumstances	Orange	Yellow	Yellow	Red	Yellow	Green	Green
28	Technical feasibility of the methodological approach, and consistency with UNFCCC/IPCC guidance and guidelines	Orange	Orange	Green	Red	Yellow	Green	Green
<b>Component 4: Monitoring Systems for Forests, and Safeguards</b>								
<b>Subcomponent: 4a .National Forest Monitoring System</b>								
29	Documentation of monitoring approach	Yellow	Green	Green	Red	Green	Green	Green
30	Demonstration of early system implementation	Green	Yellow	Yellow	Red	Yellow	Green	Yellow
31	Institutional arrangements and capacities	Yellow	Yellow	Green	Red	Yellow	Yellow	Yellow
<b>Component 4: Monitoring Systems for Forests, and Safeguards</b>								
<b>Subcomponent: 4b .Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards</b>								
32	Identification of relevant non-carbon aspects, and social and environmental issues	Green	Green	Yellow	Red	Yellow	Yellow	Yellow
33	Monitoring, reporting and information sharing	Orange	Red	Orange	Red	Yellow	Yellow	Yellow
34	Institutional arrangements and capacities	Orange	Orange	Green	Red	Orange	Yellow	Yellow

#### IV. PARTICIPATORY SELF-ASSESSMENT

Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
1	Accountability and transparency	<ul style="list-style-type: none"> <li>- All information on REDD+ management organization i.e. establishment decisions, functions, tasks and operation mechanisms have been made public in the media: magazines, industry newspapers, radio and television etc.</li> <li>- NRAP prescribes the M&amp;E mechanism should "guarantee the transparency, openness and participation of the REDD+ program stakeholders, State agencies and relevant international agencies (if necessary)".</li> <li>- The NRAP also prescribes that the relevant Ministries, CSOs are subject to the inspection, monitoring of the REDD+ programs.</li> <li>- A national REDD+ Geographical Information Portal is being set up.</li> <li>- The accountability and transparency is highly appreciated by the people.</li> </ul>	<ul style="list-style-type: none"> <li>- No specific regulation is available from MARD on which kind of management information of REDD should be publicized in the mass media</li> <li>- A participatory REDD+ monitoring mechanism has not yet been established.</li> </ul>	<ul style="list-style-type: none"> <li>- A participatory REDD+ mechanism is set up.</li> </ul>
2	Operating mandate and	<ul style="list-style-type: none"> <li>- Specific regulations, functions of the management organizations on REDD+ have</li> </ul>	<ul style="list-style-type: none"> <li>- Mechanisms of coordination between State authorities at all</li> </ul>	<ul style="list-style-type: none"> <li>- A coordination mechanism between</li> </ul>

Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
	budget	<p>been prescribed in the NRAP, namely Decision 799...</p> <ul style="list-style-type: none"> <li>- Functions of relevant agencies are also prescribed (Viet Nam Administration of Forestry, VRO etc.).</li> <li>- REDD+ network has been set up.</li> <li>- Six REDD+ working groups have been set up.</li> <li>- The PRSC have been set up at the pilot provinces.</li> <li>- The functions, mandates of CSOs have been clearly stipulated.</li> <li>- Disburse funds for organizations to take part in REDD+ projects.</li> </ul>	<p>levels engaging in REDD+, particularly ARDS and NRE and Finance have not yet developed.</p> <ul style="list-style-type: none"> <li>- Coordination capacity between people, communities, the private sectors and the civil society organizations, professionals in the development and implementation of programs and projects of REDD+ remains limited.</li> </ul>	<p>MARD and MONRE should be set up.</p> <ul style="list-style-type: none"> <li>- A coordination mechanism among the Government and CSOs is also needed to be established.</li> </ul>
3	Multi-sector coordination mechanisms and cross-sector collaboration	<ul style="list-style-type: none"> <li>- REDD+ activities have been linked with the National Strategy on Climate Change, the National strategy on Green Growth in period 2011-2030, the project on managing greenhouse gas emissions, causing greenhouse effect, managing business operations to introduce carbon credits to the international markets.</li> <li>- REDD+ activities have been integrated into the</li> </ul>	<ul style="list-style-type: none"> <li>- Not yet link REDD+ programs with Forest Protection and Development Plan in period 2011-2020 at all levels.</li> <li>- Not yet link REDD+ with the strategies on the development of industrial plants, infrastructure and hydropower.</li> </ul>	<ul style="list-style-type: none"> <li>- Link REDD+ action plans with the Forest Protection and Development Plan in period 2011-2020 at all levels.</li> <li>- Link REDD+ strategies with the strategies on the</li> </ul>

Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
		<p>action plans of the MARD to respond to climate change, the proposal on GHG emission reduction in Agriculture, Forestry, Fishery and Rural Development.</p>	<p>- Not yet link REDD+ action plan with Social Economic Development Plans at all levels.</p>	<p>development of industrial plants, infrastructure and hydropower.</p> <p>- Link REDD+ action plan with SEDPs at all levels.</p>
4	Technical supervision capacity	<p>- The National Action Program on REDD+ regulates that the MARD is responsible for technical inspection: Calculate the emissions level of greenhouse gases (FRELs/FRLs), Integrate REDD+ activities in the national programs, strategies, develop standard systems, develop sustainable forest management plans, guide on reduced impact logging, carry out timber logging monitoring system...</p> <p>- MONRE: Provide Vietnam GHG inventory outputs; works with MARD to set up MRV system, RELs/FRLs, and assesses the results of the Program to reduce REDD+ emissions.</p> <p>- STWGs: Support for the national REDD+</p>	<p>- Not yet develop legal frameworks on REDD+ techniques.</p> <p>- Coordination capacity and technical supervision for provincial and district and community level on REDD+ remains weak.</p>	<p>- Develop legal frameworks on REDD+ techniques.</p> <p>- Set up a coordination capacity and technical supervision mechanism at all levels (provincial, district and Commune level).</p>

Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
		network in terms of technical aspects.		
5	Funds management capacity	<ul style="list-style-type: none"> <li>- According to the REDD+ finance flow in Viet Nam in the period 2009-2014: Total committed funds for REDD+ is US\$ 84.31M, including: funds from the donor governments: US\$38.07M, from multilateral organizations: US\$39.25M, private sector US\$0.46M, European Commission: US\$0.92M, Counterpart of the Government of Vietnam and co-financing: US\$5.6M.</li> <li>- NRAP defines that MARD be allowed to establish Vietnam REDD+ Fund, “The funds for the NRAP on REDD+ are derived from the Counterpart fund, international organizations’ funds and NGOs’ funds”.</li> <li>- The proposal on the establishment of the REDD+ Fund of Viet Nam was approved on 23 December, 2015 by MARD.</li> <li>- The working group on financing and the REDD+ Fund operate regularly.</li> </ul>	<ul style="list-style-type: none"> <li>- Legal frameworks related to REDD+ financing management have not yet been deployed.</li> <li>- Legal documents on forest carbon credit transfer and trading have not yet been developed.</li> </ul>	<ul style="list-style-type: none"> <li>- Set up REDD+ Funds at all levels.</li> <li>- Set up and issue a mechanism on REDD+ financing management.</li> <li>- Enact legal documents relating to forest carbon credit.</li> </ul>
6	Feedback and grievance redress	<ul style="list-style-type: none"> <li>- In Vietnam, GRMs at national, regional and community levels are prescribed in the</li> </ul>	<ul style="list-style-type: none"> <li>- The legal framework on feedback and grievance redress mechanism</li> </ul>	<ul style="list-style-type: none"> <li>- Establish the mechanism on</li> </ul>

Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
	mechanism	<p>relevant laws i.e. Land Law, Forest Protection and Development Law, Mediation Law, Law on Denunciations, etc.</p> <ul style="list-style-type: none"> <li>- The GRMs are also prescribed in the Ordinance on Grassroots Democracy at localities, namely Ordinance 34/2007/PL-UBTVQH 11.</li> <li>- UN-REDD Vietnam Programme Phase II project starts to review the FGMs and propose the implementation mechanisms to the REDD+ activities at national levels and six pilot project provinces. At present, the third draft of GRMs is being completed for submission to MARD for approval.</li> </ul>	<p>on REDD+ has not yet been approved.</p> <ul style="list-style-type: none"> <li>- Only a few case studies on operation mechanism and its impacts on community have been conducted.</li> </ul>	<p>REDD+ feedback and grievance redress mechanism.</p>
7	Participation and engagement of key stakeholders	<ul style="list-style-type: none"> <li>- The involvement of stakeholders, particularly local people and communities has been institutionalized through legal documents, ordinances and decisions of the Government.</li> <li>- The participation right of the indigenous people and communities who depend on forests is ensured through the participation of their representing organizations such as CEMA, Fatherland Front.</li> </ul>	<ul style="list-style-type: none"> <li>- The self-determination right of the local communities, indigenous people who strongly depend on forests, the vulnerable groups in the REDD+ programs has not yet been institutionalized.</li> <li>- The CEMA is rarely involved in the PRSC.</li> </ul>	<ul style="list-style-type: none"> <li>- Institutionalizing the self-determination right of the ethnic minority's communities, vulnerable groups.</li> <li>- Facilitate the participation of the</li> </ul>



Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
		<ul style="list-style-type: none"> <li>- The UN-REDD Vietnam Programme Phase II is developing a mechanism that ensure the full and effective participation of the stakeholders, especially women, ethnic minority groups.</li> <li>- At present, the draft guidelines on the FPIC implementation during the REDD+ plans' establishment and execution.</li> <li>- The UN-REDD Vietnam Program Phase II has co-operated with the CSOs, organized dialogues with the representatives of 05 groups of ethnic minority groups. A REDD+ network of the ethnic minority groups has been set up. It regulations and detailed action plans will be completed in a few days. At present, the criteria on the selection of the representatives of the ethnic minority groups have been approved.</li> </ul>		ethnic minority groups in the provincial, district, commune REDD+ SC.
8	Consultation process	<ul style="list-style-type: none"> <li>- Stakeholder consultation mechanism is undertaken through the following forms: Operation of REDD+ network and working group, workshops, internet, SESA Phase 1 consultations, PRAPs, ESMF, and on the BSMs, etc.</li> <li>- The national REDD+ network has been set up</li> </ul>	<ul style="list-style-type: none"> <li>- The consultation is sometimes duplicated by different projects over time and leads to inefficiency.</li> <li>- While the consultations with the ethnic minority groups and vulnerable groups have been extensive still difficult to reach many</li> </ul>	- Mobilize further the consultations with the ethnic minority groups and vulnerable groups.

Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
		<p>and operated.</p> <ul style="list-style-type: none"> <li>- Six working groups on REDD+ governance, MRV, finance, REDD+ implementation at local level, safeguards, mobilization of private sector participation, technical and administrative support for national RED+ network. These six SSTWGs have organized consultations on different topics.</li> <li>- Many workshops at national, provincial and district level to consult on the REDD+ issues.</li> <li>- UN-REDD, FCPF, JICA, GIZ, SNV, FFI have organized many community dialogues on the regulations, mechanisms and guidelines, etc.</li> <li>- UN-REDD is completing the guidelines on gender and social, environmental safeguards integration into the PRAPs.</li> </ul>	<p>remote communities.</p> <ul style="list-style-type: none"> <li>- Documentation and information sharing during consultation is still limited.</li> </ul>	
9	Information sharing and accessibility of information	<ul style="list-style-type: none"> <li>- FPCF project and UN-REDD have built and carried out a “Communication Strategy” on REDD+.</li> <li>- Many communication channels have been used including: printing communications documents, seminars/workshops, websites and</li> </ul>	<ul style="list-style-type: none"> <li>- Communication for community and vulnerable groups remains limited.</li> <li>- No enough communication through ethnic minorities' languages.</li> </ul>	<ul style="list-style-type: none"> <li>- Reinforce communication for community and vulnerable groups.</li> </ul>

Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
		<p>internet, study tours, video/films, media (radio, TV, newspapers), campaigns/competitions, mobile communications etc.</p> <ul style="list-style-type: none"> <li>- UN-REDD Vietnam Programme Phase II coordinated with VNFOREST to build the dissemination and communication of forestry and REDD+ in newspapers.</li> <li>- Communication efficiency is reflected in the awareness raising evaluation report of UN-REDD Vietnam Programme Phase I.</li> <li>- Local people and communities highly appreciate the efficiency of the REDD+ Communication Strategy.</li> </ul> <p>Some publications in local languages are now available (but some programs such as the VFD have been publishing documents in local languages for some time).</p>		
10	Implementation and public disclosure of consultation	<ul style="list-style-type: none"> <li>-The consultation results have been institutionalized: 01 National REDD+ Action Plan, 10 PRAPs, 11 Si-RAPs, 10 action plans of Forest Protection Management Boards, 04 sustainable forest management plans for 04 forestry companies, 01 Decision approving on</li> </ul>	<ul style="list-style-type: none"> <li>- Institutionalization of consultation results was slow.</li> <li>- Training for communities, especially ethnic minorities, is limited.</li> </ul>	<ul style="list-style-type: none"> <li>- Institutionalize consultation results.</li> <li>- Reinforce training for communities, especially ethnic</li> </ul>

Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
	outcomes	<p>the proposal for the establishment of the REDD+ Fund, 01 Decision on piloting REDD+ payment (result-based payment), 01 Decision guiding on PRAP. (How it is formed, its regulations, etc.)</p> <ul style="list-style-type: none"> <li>- The consultation results included that the drafts shall be submitted for approval, namely FPIC instructions, FRELs, SESA and ESMF, GRMs, MRV.</li> <li>- Awareness raising and capacity building for local people and communities have been deployed by many projects. UN-REDD Vietnam Programme Phase II has organized 16 training courses with 400 staff-days; UN-REDD Vietnam Programme Phase II has organized training courses on communication skills in 16 provinces, trainings for trainers on REDD+ for the REDD+ communication network members for the 6 pilot provinces. Under FCPF project there were 24 training courses for community with 2,880 staff-days during 2014 - 2015.</li> </ul>		minority groups.
11	Assessment and analysis	<ul style="list-style-type: none"> <li>- The Government has issued the NRAP.</li> <li>- MARD published the guidelines on the</li> </ul>	<ul style="list-style-type: none"> <li>- Land tenure, land use right, etc. Which are relevant to natural resources management are rarely</li> </ul>	- Amend the NRAP.

Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
		<p>development of PRAPs.</p> <ul style="list-style-type: none"> <li>- 10 provinces have PPC approved PRAPs (Dien Bien, Lam Dong, Quang Binh, Ca Mau, Thanh Hoa, Lao Cai, Ha Tinh, Nghe An, Binh Thuan, Bac Kan, (Thua Thien Hue PRAP is prepared but not yet approved and Quang Tri PRAP is under final preparation), the other piloting PRAPs are being prepared.</li> <li>- 06 pilot provinces under UN-REDD Vietnam Programme Phase II have completed the Si-RAPs.</li> <li>- The NRAP has been built on the basis of the full assessment and analysis of these above-mentioned requirements.</li> <li>- The PRAPs and Si-RAPs have been also prepared on the basis of analyzing these above-mentioned requirements.</li> </ul>	<p>mentioned.</p> <ul style="list-style-type: none"> <li>- Lack of in-depth qualitative analysis on the drivers of deforestation, forest degradation in specific areas.</li> <li>- The assessment related to sustainable forest management, conservation and enrichment of forest carbon is blurry.</li> </ul>	
12	Prioritization of direct and indirect drivers/ barriers to forest carbon stock	<ul style="list-style-type: none"> <li>- Assessed and analyzed direct/indirect drivers to forest carbon stock enhancement.</li> <li>- The guidelines on PRAP development requires to give priorities in addressing the drivers/barriers to forest carbon stock</li> </ul>	<ul style="list-style-type: none"> <li>- Fail to give priorities in addressing the direct drivers of deforestation and forest degradation.</li> <li>- The barriers affecting the conservation and enrichment of</li> </ul>	<ul style="list-style-type: none"> <li>- Giving priorities in dealing with barriers/drivers in the NRAP.</li> </ul>

<b>Criterion No.</b>	<b>Name of criterion</b>	<b>Strengths</b>	<b>Weaknesses</b>	<b>Recommendations</b>
	enhancement	enhancement. - Some research have analyzed the main drivers/barriers to forest carbon stock enrichment.	forest carbon has not yet been deeply rated. - The indirect drivers affecting the forest carbon enrichment have not been analyzed in R-PP.	
13	Links between drivers/barriers and REDD+ activities	- Forest enrichment activities in the NRAP, PRAPs, Si-RAPs are derived from the drivers of deforestation, barriers. - The NRAP has brought 02 solution groups deriving from the drivers of forest degradation.	- Linkage between forest fires and forest carbon enrichment is not clear. - Solutions to limit the socio-economic impacts on biodiversity and forest stock declination not yet available.	- Determine specific activities for forest enrichment basing on the analysis of drivers.
14	Action plans to address natural resource rights, land tenure, governance	- The NRAP has defined 2 phases: 2011-2015 and 2016-2020 to handle issues relating to land tenure, the use right of natural resources, forest governance. - The responsibility for enacting the legal framework has been specified for relevant Ministries. These issues will be prioritized to address when developing ER-PD.	- The associated resources are not defined. - The issuance of the rights to benefit from forest is not available.	- Develop the action plans for the period 2006-2020 to deal with land use right, natural resource rights, forest governance.
15	Implications for	- The results of the analysis and assessment of	- Not yet clarify which article of	- Amend the laws

Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
	forest law and policy	<p>the NRAP's development have determined the weaknesses, challenges of the legal systems, policies and their impacts on deforestation and forest degradation.</p> <ul style="list-style-type: none"> <li>- The REDD+ strategies have proposed many improvements to administrative forestry system, institutions.</li> <li>- The NRAP has defined a comprehensive legal framework to facilitate the REDD+ implementation, this is the first option among seven solutions of the Program.</li> </ul>	<p>relevant legislations relating to REDD+ should be amended.</p> <ul style="list-style-type: none"> <li>- The assessment does not state which policy should be prioritized immediately and sustainably.</li> </ul>	<p>and policies linked directly to the REDD+ activities.</p>
16	Selection and prioritization of REDD+ strategy options	<ul style="list-style-type: none"> <li>- The REDD+ strategic direction has been developed and consulted from April, 2011 to November, 2011 with different levels.</li> <li>- 2011-2015 period and 2016-2020 period are prioritized in the NRAP for the execution of the REDD+ strategic directions.</li> <li>- JICA has conducted a project on designing FRELs/FRLs from September, 2009 to March 2012. JICA calculated FRELs and FRLs, calculating separated and combined FRLs, forecasting the reference emission levels for</li> </ul>	<ul style="list-style-type: none"> <li>- The NRAP as a legal document does not provide a detailed strategy.</li> <li>- Fail to identify specific priorities among the drivers of deforestation and forest degradation.</li> </ul>	<ul style="list-style-type: none"> <li>- Identify and select specific priorities among the REDD+ strategic directions.</li> </ul>

<b>Criterion No.</b>	<b>Name of criterion</b>	<b>Strengths</b>	<b>Weaknesses</b>	<b>Recommendations</b>
		the whole country.		
17	Feasibility assessment	<ul style="list-style-type: none"> <li>- A study on "Assessment of the feasibility of the economic, social, political and institutional aspects with the proposed strategic plan "and combined it with NRAP was conducted.</li> <li>- SESA and ESMF have analyzed the social and the environment impacts, the risks and measures to minimize the impacts of REDD+ strategy.</li> </ul>	<ul style="list-style-type: none"> <li>- The feasibility is not yet clearly defined.</li> <li>- Opportunity costs have not yet been defined.</li> <li>- Not yet assess and give priorities for environment and society.</li> </ul>	<ul style="list-style-type: none"> <li>- Assess the feasibility, calculate feasibility for the REDD+ strategic directions.</li> </ul>
18	Implications of strategy options on existing sectoral policies	<ul style="list-style-type: none"> <li>- Land zoning and land use planning is one of the six activities in the NRAP.</li> <li>- Some studies have shown that zoning and land use planning can cause conflict with rubber, hydropower, and exploitation of mineral resources.</li> </ul>	<ul style="list-style-type: none"> <li>- NRAP does not mention inadequacies between REDD+ development and the sectors such as infrastructure and hydropower</li> <li>- Fail to specify a roadmap to building and managing REDD+ programs and projects</li> <li>- No cross-sectoral agreement to address these shortcomings is available</li> </ul>	<ul style="list-style-type: none"> <li>- Solve the inadequacies among the REDD+ strategies and the sectors.</li> </ul>
19	Adoption and implementation of	<ul style="list-style-type: none"> <li>- The Prime Minister, MARD and PPCs have enacted many documents relating to REDD+ (01 Decision of the Prime Minister; 03</li> </ul>	<ul style="list-style-type: none"> <li>- Regulations and legal documents related to REDD+ Program are not</li> </ul>	<ul style="list-style-type: none"> <li>- Prepare more legal documents for</li> </ul>



<b>Criterion No.</b>	<b>Name of criterion</b>	<b>Strengths</b>	<b>Weaknesses</b>	<b>Recommendations</b>
	legislation/regulations	<p>Decisions of MARD, 10 Decisions of PRAPs).</p> <ul style="list-style-type: none"> <li>- Some guidelines are being piloted and soon institutionalized (FPIC, MRV, GRMs....).</li> <li>- Some studies have shown the actual implementation and their impacts in some case studies. (IDLO, CIFOR...).</li> </ul>	<p>available.</p> <ul style="list-style-type: none"> <li>- Guidelines of the provinces are mostly not available.</li> </ul>	REDD+ activities.
20	Guidelines for implementation	<ul style="list-style-type: none"> <li>- The guidelines on the development of PRAP, piloting the REDD+ benefits sharing, the proposal on the REDD+ Fund establishment are available.</li> <li>- The GRMs, FPIC, MRV, SIS, etc. are being prepared and shall be submitted to competent agencies for approval.</li> </ul>	<ul style="list-style-type: none"> <li>- Not yet prepare the guidelines on forest carbon titles.</li> <li>- The REDD+ financing mechanism is not available.</li> <li>- The technical guidelines relating to REDD+ are not available.</li> </ul>	- Release guidelines on the REDD+ Program/Strategy implementation.
21	Benefit sharing mechanism	<ul style="list-style-type: none"> <li>- The NRAP prescribes that the REDD+ payment at all levels must be transparent, public and monitored, inspected strictly.</li> <li>- UN-REDD Program co-operated with GIZ to conduct 2 studies on the design of the REDD+ benefit sharing system in Viet Nam from 2009-2010.</li> <li>- In 2012, the program has piloted R-coefficient for REDD+ benefits in Di Linh District, Lam</li> </ul>	<ul style="list-style-type: none"> <li>- The benefit sharing mechanism has not yet discussed widely in communities.</li> <li>- It is a still complicated mechanism.</li> </ul>	- Issue the mechanism on benefit sharing.

Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
		<p>Dong Province.</p> <ul style="list-style-type: none"> <li>- On 25<sup>th</sup> December, MARD introduced the regulations on the REDD+-based BSM under the UN-REDD Viet Nam Program Phase II (2016-2018).</li> <li>- Benefit sharing in REDD+ options are being designed and piloted in the ER-P.</li> </ul>		
22	National REDD+ registry and system monitoring REDD+ activities	<ul style="list-style-type: none"> <li>- UN-REDD Program Phase II has integrated the database of REDD+ in the forestry sector management information system developed by FORMIS, and on that basis establishing an REDD+ Geographic Information Portal of Vietnam.</li> <li>- The registry and monitoring is publicized on the address as follows:  <a href="http://formis.vnforest.gov.vn">http://formis.vnforest.gov.vn</a>;  <a href="http://formis.vnforest.gov.vn/web/home/formis">http://formis.vnforest.gov.vn/web/home/formis</a> and <a href="http://map.vnforest.gov.vn">http://map.vnforest.gov.vn</a>.</li> </ul>	<ul style="list-style-type: none"> <li>- The database on REDD+ program is not updated.</li> <li>- Monitoring indicators for REDD+ activities/program are not created.</li> </ul>	<ul style="list-style-type: none"> <li>- Set up a Geographic Information Portal of Viet Nam.</li> <li>- Indicators for REDD+ activities are developed.</li> </ul>
23	Analysis of social and environmental safeguards issues	<ul style="list-style-type: none"> <li>- Many studies on social and environmental safeguards issues relating to REDD+ activities were conducted in 2013 by SNV.</li> <li>- The Aide Memoire dated 29<sup>th</sup> July, 2015</li> </ul>	<ul style="list-style-type: none"> <li>- SESA is only available for one region.</li> <li>- ESMF is not yet developed.</li> </ul>	<ul style="list-style-type: none"> <li>- SESA and ESMF report must be prepared basing on the NRAP.</li> </ul>

<b>Criterion No.</b>	<b>Name of criterion</b>	<b>Strengths</b>	<b>Weaknesses</b>	<b>Recommendations</b>
		<p>proposed to develop SESA &amp;ESMF in two phases: Phase I is to develop the ER-P area of 06 North Central provinces. Phase II is to develop the ER-P area at national level.</p> <p>- At present, SESA is being developed to include in the ER-PD's report.</p>		
24	REDD+ strategy design with respect to impacts	- The NRAP has been linked with SEDPs and environmental strategies.	- Due to SESA and ESMF has not yet been implemented so the NRAP also could not identify the negative, positive impacts of the REDD+ activities, propose measures to minimize undefined impacts on environment and society.	- The NRAP is suitable with the impact assessments.
25	Environmental and social framework	- The solutions to mitigate negative impacts on society and environment based on the REDD+ activities' impacts have been proposed in the studies.	- Due to incomplete SESA, ESMF is not yet completed.	- Complete ESMF.
26	Component 3: FRELs/FRLs Demonstration methodology	<p>- The FRELs/FRLs of Viet Nam is developed based on the best database provided by the NFIMAP.</p> <p>- Methodologies and techniques applied in the development of the activity data and</p>	- Not yet develop the link between the FRLs/FRELs of the nation and regions.	- Develop FRLs/ FRELs as per requirements of UNFCCC.

Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
		<p>emission/removal factors ensures the requirements under the guidelines of UNFCCC and in particular following the approach 3.</p> <ul style="list-style-type: none"> <li>- The emissions level has been presented to the UNFCCC.</li> <li>- The FRELs/FRLs is being developed for the NCC region.</li> </ul>		
27	Use of historical data, and adjusted for national circumstances	<ul style="list-style-type: none"> <li>- The database is developed based on a many experience in years on forest resources change assessment through NFIMAP. These programs were conducted from 1991 and were repeated every 5 year.</li> <li>- Since 2009, the UN-REDD Vietnam Programme Phase I developed FRELs. The NIFMAP data were checked, updated and completed several times with funding from Government of Finland and JICA.</li> <li>- EF/RF are built based on the national biomass forecasting equations developed by UN-REDD Vietnam Programme and data of the measurement sample plots of Cycle 4.</li> </ul>	<ul style="list-style-type: none"> <li>- The current database on forestation does not provide detailed information about what kind of plant, how old are they, what kind of land.</li> <li>- Data are not sufficient to the point that allow restructuring and cross-checking of reference emission levels.</li> <li>- The evaluation of Program 661 (large scale afforestation) is made based on 5 provinces' data may not fully render the success of Program 611 at national scale.</li> </ul>	<ul style="list-style-type: none"> <li>- Updating FREL every time new set of data is available.</li> </ul>

Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
28	Technical feasibility of the methodological approach, and consistency with UNFCCC/IPCC guidance and guidelines	<ul style="list-style-type: none"> <li>- The methodology and technical issues for the development of FREL /FRL should be consistent with UNFCCC guidance.</li> <li>- Reference levels which are calculated separately for emissions (from deforestation and forest degradation) and removals (reforestation and strengthening forest quality) enable transparent evaluation of efforts to reduce emissions and enhance the removals</li> <li>- In particular, the emission/removal factors are based on the national equations with high reliability</li> </ul>	<ul style="list-style-type: none"> <li>- However, data needed for carbon pools i.e. dead trunk, litter, soil carbon in NFIS is not being collected..</li> <li>- The national REDD+ forest monitoring system has not yet institutionalized.</li> <li>- Some potential uncertainties i.e. errors in field measuring, errors in forest cover change maps remain unpin.</li> </ul>	
29	Component 4: Monitoring Systems for Forests, and Safeguards Documentation of monitoring approach	<ul style="list-style-type: none"> <li>- The forest monitoring of Viet Nam is comprised of 03 components which are the NFIMAP, NFIS and AFLMRP. All these components are prepared based on scientific and practical ground, technically verified and approved at national level.</li> <li>- The level of emissions/carbon sinks relating to forests are estimated according the LULUCF's methodologies which comply with the international guidelines.</li> </ul>	<ul style="list-style-type: none"> <li>- The REDD+ national forest monitoring has not been institutionalized.</li> </ul>	<ul style="list-style-type: none"> <li>- MRV Institutionalize the REDD+ forest monitoring system, including MRV.</li> </ul>

Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
		<ul style="list-style-type: none"> <li>- Viet Nam is implementing NFIS project for the period 2011-2016, after the project ends, the AFLMRP will be carried out to updated maps of annual forest status. This method applies satellite images, remote sensing, of high resolution and primary plot data to update the maps at areas with multiple changes.</li> <li>- The reports on forest monitoring at the Central level is compared and linked with other sources of information. The reporting of emissions/removals enhancement should comply with the UNFCCC's requirements.</li> <li>- The verification of the report on emissions/removals is conducted at the national level before submitting to the UNFCCC.</li> <li>- The estimated uncertainties are identified in accordance with good practice and management of uncertainties in GHG Inventory 2000 of IPCC.</li> <li>- Proposed improvement of NFIMAP has been prepared with the support of Finland Forestry Institute, and are verified by international experts of US Forestry Service and the WB.</li> </ul>		

Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
30	Demonstration of early system implementation	<ul style="list-style-type: none"> <li>- The existing NFMS system of Vietnam can afford monitoring of prioritized REDD+ activities in NRAP. Vietnam NFMS system will cover the whole country, and therefore will identify the disposition of emissions in Vietnam.</li> <li>- The trans-boundary deposition of greenhouse gas is initially performed. FCPF project cooperated with the VNFOREST to organize national workshops on forest protection at the boundaries with Laos and Cambodia. An international workshop on illegal trans-boundary logging in the boundaries of 03 countries has been organized.</li> <li>- Participatory Carbon Monitoring has been developed and applied.</li> </ul>	<ul style="list-style-type: none"> <li>- The control of trans-boundary deposition of greenhouse gas still face many difficulties.</li> <li>- The NFMS does not compare the change of the forest and carbon.</li> </ul>	<ul style="list-style-type: none"> <li>- Solution should be given to illegal trans-boundary logging in the boundaries with Laos and Cambodia.</li> </ul>
31	Institutional arrangements and capacities	<ul style="list-style-type: none"> <li>- The Law on Forest Protection and Development prescribes clearly the functions, mandates on forest monitoring of relevant stakeholders.</li> <li>- The REDD+ geographical Portal contains full information about forest monitoring.</li> </ul>	<ul style="list-style-type: none"> <li>- Not yet define necessary resources for training, funding for the operation of the national forest monitoring system.</li> </ul>	<ul style="list-style-type: none"> <li>- Develop budget plans for the operation of the national forest monitoring system.</li> </ul>

Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
		<ul style="list-style-type: none"> <li>- MRV framework (UN-REDD, 2012) determined the needed capacity and adequacies for the operation of the MRV. Based on that, a training plan has been developed.</li> <li>- The software and hardware needs for the management of the forest system has initially been determined and deployed.</li> </ul>		
32	Identification of non-carbon aspects and social and environmental issues.	<ul style="list-style-type: none"> <li>- The PFES of Viet Nam has been established and operated at the Central and village levels.</li> <li>- UN-REDD Vietnam Programme Phase II is piloting REDD+ payment including non-carbon benefits.</li> <li>- Some projects of FFI, SNV, CEDRA is also piloting the benefit sharing mechanism in which non-carbon benefits are specialized for local people and communities.</li> </ul>	<ul style="list-style-type: none"> <li>- The impacts of the REDD+ activities on society and environment at localities are not clearly defined.</li> <li>- A program to build capacity in monitoring the non-carbon benefits of the REDD+ activities is not available.</li> </ul>	- Integrate the REDD+ payment system into the PFES.
33	Monitoring, reporting and information sharing:	- The information on safeguards which has been built and operated by UN-REDD. This aims to collect information on current legislations on land use, rights of ethnic minority groups and information on the solution of the government regarding the above	<ul style="list-style-type: none"> <li>- SIS and NRIS are under construction and not yet be institutionalized.</li> <li>- At present, some specific indicators on the REDD+ activities' impacts on livelihood, biodiversity,</li> </ul>	- Complete SIS.



Criterion No.	Name of criterion	Strengths	Weaknesses	Recommendations
		mentioned issues.	eco-tourism have not yet been created.	
34	Institutional arrangements and capacities:	<ul style="list-style-type: none"> <li>- Vietnam established a PFES mechanism from central to village levels.</li> <li>- Accordingly, PFES funds have been established and operated, policies, guidelines and mechanisms have been issued parallel.</li> <li>- UNREDD program Phase II is assessing the institutional capacity in PLRs related to safeguards in REDD+ at provincial and national levels.</li> </ul>	<ul style="list-style-type: none"> <li>- No provisions are specified in non-carbon aspects in REDD+ for the organizations and individuals.</li> <li>- Necessary resources for this task are not specified.</li> </ul>	<ul style="list-style-type: none"> <li>- Complete the non-carbon payment for REDD+ activities.</li> </ul>

## V. ACTION PLAN ON THE COMPLETION OF PREPARATION FOR THE REDD+ READINESS IN VIETNAM

The consultation process identified major gaps at all levels and different sectors. At national level, 21 criteria with yellows shown gaps between the requirements and the current development of Vietnam. Main gaps in five groups can be generalized as follows:

- (1) Lacking multidisciplinary and interdisciplinary coordination mechanism in REDD+ implementation at all levels.
- (2) The approved NRAP leaves much to be desired.
- (3) Lacking SESA and ESMF.
- (4) Fail to set up a REDD+ Safeguard system.
- (5) Lacking a transparent and clear REDD+ information system.

Based on analyzing the strengths and weaknesses of each criteria, analyzing major gaps, an action plan has been proposed to finalize the REDD+ in Vietnam with the following contents:

- REDD+ Legal Framework i.e. land tenure, forest resource utilization, and forest resource entitlement, carbon rights, etc. should be finalized according to NRAP.
- Coordination between Forestry sector and Agriculture sector, between Agriculture sector and Natural Resources and Environment sector, between Forestry and Infrastructure, Hydropower during REDD+ implementation should be in place and operationalized. Coordination mechanism between State agencies and NGOs, CSOs working in REDD+ at all levels should be finalized.
- NRAP and PRAPs should be integrated with Forest Protection and Development Plan and Forest Sector Development Plan.
- National REDD+ Fund should be established under Forest Sector Development Plan. REDD+ financial management mechanism should be developed and publicized.
- The legal framework related to the technical aspects of REDD+ i.e. low-impact harvesting process, forest carbon monitoring, sustainable forest management etc. should be developed and institutionalized.
- FGRM in REDD+ should be institutionalized.
- FPIC Guideline should be institutionalized.
- REDD+ Sharing Mechanism should be approved by the Government.
- It is needed to prepare and implement one program on training and capacity strengthening on REDD+ for the community, especially ethnic minority community, vulnerable groups.
- REDD+ communication strategy should be approved and operationalized.
- NRAP should be revised, which should elaborate action plan for period 2016-2020.
- Preparing and approval of SESA and ESMF.

- Preparing and operationalizing national REDD+ portal.
- Approval of national reference level.
- Establishing and operation of MRV system at all level.
- Support for strengthening the operation of FLEGT/VPA and control the illegal logging with Laos and Cambodia.
- Establishing and commission of SIS system.
- The resources should be in place to implement these activities based on the project on REDD+ implementation preparation readiness, UN-REDD Vietnam Programme Phase II, international assistance especially from JICA and GIZ.

**Table 15 Action Plan on the completion of preparation for REDD+ readiness in Vietnam**

No.	Action	Validity	Person in charge	Prioritized ranking
I	<b>Component I: Readiness Organization and Consultation</b>			
1	Completing legal framework related to REDD+, including forest carbon titles	2016-2017	MARD/ UN-REDD, FCPF...	2
2	Establish an inter-agency coordination mechanism with CSOs	2016-2017	MARD/UN-REDD...	1
3	Integrating REDD+ plan with local departments	2016-2017	VNFOREST/UN-REDD...	1
4	Establishing REDD+ fund and financial management regulation	2016-2018	MARD, BTC/UN-REDD...	2
5	Developing and issuing legal framework on technical aspects on REDD+	2017-2018	VNFOREST/UN-REDD...	2
6	Issuing FGRM in REDD+	2016-2017	MARD/UN-REDD...	2
7	Issuance of FPIC	2016-2018	MARD/ UN-REDD, GIZ...	2
8	Institutionalize benefit sharing mechanism	2016-2018	GOV/ UN-REDD, FCPF, GIZ,	2
9	Preparing training on REDD+ capacity building	2016-2017	MARD/FCPF, GIZ, VFD....	1

No.	Action	Validity	Person in charge	Prioritized ranking
	for local community			
10	Develop REDD+ Communication Campaign/Strategy	2016-2017	MBFP/FCPF...	2
II	<b>Component II: Preparation of REDD strategy</b>			
1	Revise NRAP and develop the REDD+ Action plan for the period 2016-2020	2016	Gov./MARD, VNFOREST, UN-REDD...	1
2	Develop SESA &ESMF report	2016-2017	Gov./FCPF,..	1
3	Preparing and issuing REDD+ portal	2016-2017	VNFOREST/UN-REDD....	1
III	<b>Component III: REL</b>			
1	Completion of national REL	2016-2017	MONRE, MARD/ UN-REDD, GIZ, JICA...	2
IV	<b>Component IV: Forest monitoring and safeguard system</b>			
1	Establishing and operating MRV	2016-2018	MARD/VNFOREST, UN-REDD, GIZ, JICA...	2
2	Strengthening the implementation of FLEGT/VPA	2016-2018	MARD/FCPF, UN-REDD ....	2
3	Establishing national SIS	2016- 2018	MARD/ VNFOREST, UN-REDD	1

## VI. CONCLUSIONS

The “Self-participatory assessment of the REDD+ Readiness Package in Viet Nam” is prepared in compliance with the contents, procedures, approaches and methodologies of the ‘Guide to the FCPF Readiness Assessment Framework 2013’.

The REDD+ readiness preparation was established in Viet Nam from 2008 with strong support from international organizations. Up to now, Viet Nam has completed the arrangements, management of the REDD+ system with comprehensive regulations with respect to the laws, policies, guidelines on implementation at the central government level and the approach is being supported in a number of provinces nationwide with different geographical spread and in different situations. At the central level this has seen the establishment of the National REDD+ Steering Committee, approval for the NRAP, submission of the national FRELs/FRLs to the UNFCCC; introduction of the guidelines on PRAP’s development, establishment of the REDD+ Fund and piloting the REDD+ benefit sharing mechanism. The contents and the requirements on the institutionalization of the national forest monitoring system, SIS, SESA and ESMF, FPIC ... are under construction. At the provincial level a number of provinces have set up Provincial REDD+ Steering Committees and have developed PRAPs and have made efforts to engage the different stakeholders throughout the province.

The consultation with stakeholders has detected the strengths, weaknesses and causes according to the 34 assessment criteria and 58 questions. Through the process of analysis and consultation, major gaps between the requirements and the current development have been identified, focusing mainly on the gaps in the building of the NRAP, MRV, social and environmental safeguards and safeguard information system. However, the level of assessment is different from local people, provincial officers, experts, managers and international organizations at the central level.

To overcome these above-mentioned difficulties and meet the donors’ requirements, an action plan to complete all the REDD+ readiness preparation with a vision to 2018 has been prepared and agreed by the stakeholders.

Based on the requirements of the framework, Viet Nam basically meets all the criteria of the REDD+ readiness preparation period. The assessment clarifies the gaps between the requirements and the current development on REDD+ to continue to complete the REDD+ readiness process of Vietnam.

It is recommended that the Carbon Fund Council to approve for Viet Nam’s readiness preparation to proceed further steps of the Emission Reduction Payment Agreement piloting.

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