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Carbon Fund

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(SESA) Phase 1

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Acronyms and Abbreviation

BAU	Business As Usual scenario
BSM	Benefit Sharing Mechanism
BSP	Benefit Sharing Plan
CCVI	Climate Change Vulnerability Index
CDM	Clean Development Mechanism
CEMA	Committee for Ethnic Minority Affairs
CF	Carbon Fund
CFM	Community Forest Management
CPC	Commune People's Committee
CPMU	Central Program Management Unit
CSO	Civil Society Organisation
DARD	Dept. of Agriculture and Rural Development (at the Province)
DLA	Department of Legal Affairs of MONRE
DMHCC	Department of Meteorology, Hydrology and Climate Change
DPC	District People's Committee
DRNE	Division of Natural Resources and Environment (at the District)
EBA	Endemic Bird Area
EMMP	Environmental Mitigation and Monitoring Plan
ER	Emission Reduction
ER-P	Emission Reduction Program (area)
ER-PD	Emissions Reduction Programme Document
ER-PIN	Emissions Reduction Programme Identification Note
ERPA	Emission Reduction Payment Agreement
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental Social Management Framework
ESRS	Environmental Social Review Summary
FCPF	Forest Carbon Partnership Facility
FGRM/ GRM	Feedback grievance redress mechanism
FLA	Forest Land Allocation
FLEGT	Forest Law Enforcement Governance and Trade
FPC	Forest protection contract
FPD	Forest Protection Department
FPDP	Forest Protection Development Plan
FREL	Forest reference emission level
FSC	Forest Stewardship Certification
FSDP	Forest Sector Development Project
GCF	Green Climate Fund
GHG	Greenhouse gases
GIZ	Gesellschaft für Internationale Zusammenarbeit
GOV	Government of Vietnam
GRS	Grievance Redress Service
GSO	General Statistics Office
HEP	Hydroelectric power scheme
HHs/hhs	House holds
HPP	Hydro Power Project
IBA	Important Bird Area
ICR	Implementation completion report (for a project)
INDC	Intended National Determined Contribution
JICA	Japan International Cooperation Agency
KBA	Key Biodiversity Areas
KfW	Kreditanstalt für Wiederaufbau
LLC	Limited Liability Companies
LUP	Land use planning
LURC	Land Use Right Certificate ("Red Book" in Vietnam)
MB	Management Board

MBFP	Management Board of Forestry Projects
MIGA	Multilateral Investment Guarantee Agency
MMR	Monitoring measuring and reporting
MOLISA	Ministry of Labour, Invalids and Social Affairs
MONRE	Ministry of Natural Resources and Environment
MPI	Ministry of Planning and Investment
MRV	Measurement reporting and verification system
NCB	Non Carbon Benefits
NCC	North Central Coast i.e. the ER-P region
NFDS	National Forest Development Strategy
NFI	National forest inventory
NFIMAP	National Forest Inventory, Monitoring and Assessment Program
NGO	Non Government Organisation
NP	National Park
NR	Nature Reserve
NRAP	National REDD Action Program
NTFP	Non- timber forest product
PA	Protected areas
PFES	Payment for Forest Environmental Services
PFMB	Protection Forest Management Board
PLR	Policy laws and regulations
PPC	Provincial People's Committee
PPMU	Provincial Program Management Unit
PPS	Probability proportional to size – a statistical sampling method
PRAP	Provincial REDD+ Action Plan
PULP	Participatory land use planning
R-PP	Readiness-Preparation Proposal for the FCPF REDD readiness funding
RL/REL	(Forest) Reference Level; Reference Emission Level
RLEMDP	Resettlement Livelihood and Ethnic Minority Development Plan
RNA	REDD+ Needs Assessment
SEDP	Socio-Economic Development Plan
SESA	Strategic Environmental and Social Assessment
SFC	State forest company
SFE	State forest enterprise
SFM	Sustainable Forest Management
SOE	State owned enterprise
SPWP	Secondary processed (or value-added) wood products
SSR	Social Screening Report
SUF	Special Use Forest (a protected area i.e. a national park in Vietnam)
SUF	Special Use Forest
TORs	Terms of reference
TSG	Technical Support Group for the commune based Grassroots Mediation Group for the FGRM
TT Hue	Thua Thien Hue province (an ER-P province)
TWG	Technical working group
UNFCCC	United Nations Framework Convention on Climate Change
VBSP	Vietnam Bank for Social Policies
VCF	Vietnam Conservation Fund
VFD	Viet Nam Forest and Delta Program (funded by USAID)
VGGS	Viet Nam's/ National Green Growth Strategy
VHLSS	Viet Nam Household Living Standard Survey
VNFF	Vietnam Forest Protection and Development Fund
VNForest	Viet Nam Forest Administration
VRO	Viet Nam REDD Office
WB	World Bank
	Weights and Measures m = meters; ha = hectares
	Currency M = million; k =thousand Currency Unit = US\$ Dollar US\$1 = VND 22,000

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1 Background and introduction

1.1 *Introduction to the Emission Reduction Program and REDD*

The World Bank through the Forest Carbon Partnership Facility (FCPF) is assisting Vietnam with financial and technical support focused on reducing emissions from deforestation and forest degradation, forest carbon stock conservation, the sustainable management of forests, and the enhancement of forest carbon stocks (activities commonly referred to as REDD+). Assistance from the FCPF is provided through the Readiness Fund, which supports participating countries in the development of REDD+ strategies and policies, reference emission levels, measurement, reporting and verification (MRV) systems and institutional capacity to manage REDD+ including environmental and social safeguards.

1.2 *Background of REDD+ in Vietnam*

1.2.1 *Overview of Vietnam*

Political and economic reforms (Đổi Mới) launched in 1986 have transformed the country from one of the poorest in the world, with per capita income around US \$100, to lower middle income status within a quarter of a century with per capita income of around US\$2,100 by the end of 2015. Vietnam's per capita GDP growth since 1990 has been among the fastest in the world, averaging 5.5% a year since 1990, and 6.4% per year in the 2000s. Vietnam's economy has weathered recent turbulence in the external environment, reflecting resilient domestic demand and robust performance of export-oriented manufacturing. Growth accelerated to 6.5% (year-on-year) in the first three quarters of 2015 (after coming in at 6% 2014¹). Low inflation and strengthening consumer confidence supported expansion in private consumption while investment was lifted by robust foreign direct investment, rising government capital expenditures, and a recovery of credit growth. Exports of the foreign-invested manufacturing sector also accelerated, but this was offset by a slowdown of commodity exports and an increase in imports of capital and intermediate goods, reflecting stronger investment and the high import content of manufacturing exports. Social outcomes have improved dramatically across the board. Using the US\$1.90 2011 PPP line, the fraction of people living in extreme poverty dropped from more than 50% in the early 1990s to 3% today. Concerns about poverty are now focused on the 15% of the population who are members of ethnic minority groups, but account for more than half the poor. The population of Viet Nam is 90.73 M (2014) and the Gross Domestic Product (GDP) is US\$186.2 billion (2014).

1.2.2 *Overview of the ER- Program*

The proposed ER Program Accounting Area (Figure 1.1) encompasses the entirety of the North-Central Agro-Ecological Region, an area of land totalling 5.1 million ha (16% of the total land area of Viet Nam), of which 80% is hills and mountains and the remaining is coastal plains with agricultural land, accounting for 14% of the natural area. The region has a tropical monsoonal climate. Average rainfall is about 2,500 mm with two seasons a year: the rainy season from June to December with tropical depressions and typhoons, and 85% of the rainfalls concentrating during September to November and the dry season from January to May. The region is administered as six provinces – Thanh Hoa, Nghe An, Ha Tinh, Quang Binh, Quang Tri and Thua Thien Hue – and is home to just over 10 million people (12% of the total population) see Table 1.1. The region is bordered to the north by the North West and Red river Delta Agro-Ecological regions, and the Southern Coastal Agro-Ecological Region to the South. The region comprises a mountainous hinterland of the Northern Annamites, separating Viet Nam from Laos to the West, and a narrow coastal plain along the margins of the East Sea. Along its total length, the proposed ER program area is mostly settled in the eastern coastal plain and more sparsely populated

¹ Taking stock: An update on Vietnam's recent economic development; World Bank, December 2015.

forested areas in the mountains of the Northern Annamites. The national Forest Protection Department's annual forest cover monitoring data indicate that 44% (2.3 million ha) of the proposed ER Program area was forested in 2012; nearly all (95%) of which, is natural forest. Over half (1.7 million ha) of the region's forestland is under the management of the state; nearly one third (0.9 million ha) has been allocated to individual households or village communities.

Table 1.1 Area, population and growth rates of Accounting Area

ER Province	Area (km ²)	% of area	Population 2013	% of population	Average annual growth rate %
Thanh Hoa	1,1130.5	21.6	3,476,600	33.8	0.33
Nghe An	16,492.7	32.1	2,978,700	28.9	0.38
Ha Tinh	5,997.3	11.1	1,242,400	12.1	0.12
Quang Binh	8,065.3	15.7	863,400	8.4	0.39
Quang Tri	4,739.8	9.2	612,500	5.9	0.44
Thua Thien Hue	5,033.2	9.8	1,123,800	10.9	0.59
Total	51,458.8		10,297,700		0.36
	(5,145,800 ha)				

Source of data is General Statistics Office (GSO) 2013.

Figure 1.1 The ER-P Accounting Area



1.3 Approach to the SESA

As part of the REDD+ Readiness Preparation process, the FCPF Readiness Grant in Vietnam requires a Strategic Environmental and Social Assessment (SESA). The SESA is a tool which is designed to ensure that environmental and social concerns are integrated into the development and implementation

processes for the National REDD+ Action Program (NRAP)² and the Provincial REDD+ Action Plans (PRAPs); offer a platform for consultation with and participation of relevant stakeholders to integrate social and environmental concerns into the decision-making process related to REDD+; and to enhance the country's NRAP and PRAPs by making recommendations to address gaps in relevant policy and legal frameworks, and institutional capacity to manage environmental and social impacts/risks associated with REDD+.

The main output from the SESA is the Environmental and Social Management Framework (ESMF). Although REDD+ may provide significant long term benefits, there is a potential for causing negative impacts to the environment and to the livelihoods of forest dependent communities, including ethnic minorities who are fully or partially dependent on the forests. The ESMF provides a framework to: 1) set out the principles, rules, guidelines and procedures to assess the environmental and social impacts of the NRAP and PRAPs (for the six provinces in the Emissions Reduction Programme (ER-P) area); and 2) help reduce, mitigate, and/or offset such adverse potential environmental and social impacts and enhance any positive environmental and social impacts associated with the implementation of Vietnam's NRAP and PRAPs. It should also contain provisions for estimating and budgeting costs of such measures to address impacts, and information on the relevant institutions for implementing them. Both the SESA the ESMF build on Vietnam's existing legal and institutional frameworks as far as possible and the ESMF should be compliant with applicable World Bank safeguard policies.

Although there is no one way of conducting a SESA, it has been understood by the FCPF Project that it should include a process with the following elements: (i) iterative diagnostic work on socio-economic, environmental and institutional aspects of REDD+ readiness, including assessing existing capacities and gaps to address identified environmental and social issues; (ii) consultations with different stakeholders, identifying any possible stakeholder gaps;³ (iii) identifying and confirming the environmental and social safeguards (World Bank Operational Policies (OPs) potentially triggered by REDD+ activities during the implementation of the PRAPs). The SESA will be carried out in two phases: during Phase 1, the focus is on the ER-P area, while in Phase 2, the Central Project Management Unit (CPMU) will supplement the safeguard analytical work that has already been conducted with the information generated from the SESA and ESMF at the ER-P level to complete the SESA and ESMF work at the national level.

The report that follows is based on the SESA Phase 1 work with its focus on the ER-P provinces⁴. It will identify issues for the national SESA Phase 2 work, including a Road Map of identified priority actions during the FCPF Project's Additional Financing. The national SESA Phase 2 (due in 2017), includes an ESMF (the final draft is due in 2017), FPIC guidelines, Safeguards Information System (SIS), and further capacity strengthening on REDD+ for the community, especially ethnic minorities, vulnerable groups, etc.

There is a new draft National REDD+ Action Program currently being developed and this is expected to be finalized next year. Once the NRAP Decision is issued by the Prime Minister, the national SESA Phase 2 /ESMF will be prepared/finalized, and as necessary, the ER-PD and the associated safeguard documents will be updated/supplemented with additional policies and measures and the resulting potential environmental/social impacts and mitigation measures and as part of the national SESA Phase 2.

² Decision 799/QĐ-TTg, 27/6/2012 approved the National REDD Action Plan (NRAP).

³ Stakeholders important for the REDD+ readiness and implementation phases and who may not have been included or identified in the ER-Programme Identification Note (ER-PIN), for example following the ER-PIN the ER-P area included three additional provinces.

⁴ Additional consultation and awareness work has also been undertaken in Dak Nong province as this was one of the original FCPF project provinces but is outside of the proposed ER-P area so has not been included in the SESA Phase 1 work, how some of the general findings and feedback are relevant and the province may have a further role in the SESA Phase 2.

2 Approach and methodology for developing the SESA Phase 1

2.1 *Qualitative work*

The FCPF consultation work with villages and communes that contributes to the SESA document and process first started in July 2014 with field visits by the project's multidisciplinary team to part of the ER-P area (Quang Binh and Quang Tri) and was later expanded to include the remaining four provinces. In the case of Ha Tinh Province this overlaps with the UNREDD II programme and long term consultations have been on going there from 2012 and similarly the Vietnam Forest and Delta Program has held consultations on REDD with Thanh Hoa and Nghe An.

2.1.1 *Limitations*

The SESA, PRAP and ESMF preparation has had significant overlap, on some aspects the parallel processes have helped provide feedback and verify main findings, analyses and conclusions with relevant stakeholders at different levels. Necessary, complementary, work on establishing appropriate benefit sharing mechanisms (BSMs) and feedback, redress and grievance mechanisms (FGRMs) is on going and similarly additional consultation work is on-going in the provinces. Reporting on quantitative data survey work is still in progress and will lead to updates in June and July 2016.

2.1.2 *Methodology*

The SESA Phase 1 process to date has comprised two main diagnostic parts:

1. Qualitative investigations and consultations on environmental, socio-economic and institutional aspects in largely ethnic minority areas in the ER-P provinces; and
2. A quantitative survey⁵ focusing on forest dependence and livelihoods of primarily ethnic minority households in the six proposed ER-P provinces.

The SESA qualitative investigations began with an in-depth study of secondary literature, relevant policies, laws and regulations (PLRs) and both spatial and demographic data that had been collected by the FCPF team.

The SESA team's qualitative work was carried out in a selection of Provinces, Districts and Communes from October, 2015 to March 2016.⁶ It also included visits to villages of various ethnic minority people as shown in Table 2.1 below. High priority districts for poverty alleviation (included under the Government's Program 30a)⁷ were deliberately chosen for investigations, as there is a significant number of them (12 districts covering a large percentage of the potential ER-P areas⁸) in the northern part of the ER-P area; ten of the 12 Program 30a districts are in Thanh Hoa (seven) and Nghe An (three). There is one each in Quang Binh and Quang Tri. These are also districts of high REDD+ relevance with their

⁵ Under separate World Bank contract with the Mekong Development Research Institute (MDRI), but with advisory inputs from the FCPF SESA team.

⁶ For a complete list of persons consulted and/or who attended meetings with the FCPF teams please see Annex 1 Section 1.9.

⁷ Government Resolution 30a/2008/NQ-CP defined 62 poor target districts. See the complete list at CEMA's website: <http://www.cema.gov.vn/wps/portal/ubdt/vanban/>. Two districts were added under 1791/2013/QĐ-TTg bringing the current total to 64. Of relevance here is also Resolution 80/2011/NQ-CP on poverty alleviation from 2011 – 2020, which makes many references to Program 30a.

⁸ Tuong Duong District (Nghe An) has an area (2812km²) equivalent to 59% of the entire Quang Tri Province (4746km²). See Table 1.1 showing areas of ER-P provinces.

large forest areas. Additionally, the SESA work echoes one of the three objectives for REDD+, as stated in the ER-PIN (revision, 2014: 19): poverty reduction and rural livelihood development.

Table 2.1 Overview of Provinces, Districts and Communes visited for SESA investigations

	Proposed ER provinces	District (and whether part of the Program 30a)	Commune	Ethnic groups consulted at village level
1	Thanh Hoa	Quan Hoa (30a)	Thanh Xuan	Thai
		Lang Chanh (30a)	Tan Phuc	Muong
2	Nghe An	Con Cuong	Chau Khe	Dan Lai
			Lac Gia	Dan Lai and Thai
			Luc Da	Thai, Tho, Dan Lai
		Tuong Duong (30a)	Tam Hop	Hmong
			Luong Minh	Khmu and Thai
		Tan Ky	Dong Van	Thai, Tho, Tay
3	Ha Tinh	Huong Khe	Huong Lien	Chut
4	Quang Binh	Quang Ninh	Truong Son	Van Kieu
		Le Thuy	Lam Thuy	Van Kieu
5	Quang Tri	Dak Rong (30a)	Ta Rut; Huc Nghi; A Ngo; Trieu Nguyen	Pa Co and Ka Tu
		Hai Lang	Hai Ba; Hai Lam	Van Kieu
		Huong Hoa	Huong Son; Huong Linh; Huong Lap	Van Kieu
		Cam Lo	Cam Thanh; Cham Tuyen	Kinh; Kinh
		Trieu Phong	Trieu Ai	Kinh
6	TT Hue	Phong Dien	Phong My	Pa Co, Ka Tu, Pa Hy; Kinh

Note: The ER-P provinces are ordered geographically from North to South.

Consultations were held with relevant Government departments/divisions/offices at Province, District and Commune levels in Quang Tri, Thanh Hoa and Nghe An, and at provincial level in Thua Thien Hue to assess the understanding of and preparedness for REDD+. This especially included the Forest Protection Sub-Department and the Department of Agriculture and Rural Development (DARD), but representatives of other organisations such as the Centres for Ethnic Minorities, the Fatherland Front and the Women's Union (the latter are both socio-political or "mass" organisations in Vietnam) were also included. The assessments included discussions with the different organisations on the approaches taken with local communities/EMS, especially on issues related to forest land management, and how they themselves assess their own resource availability in terms of staffing and implementation budgets.

The FCPF's early diagnostic work showed that in the ER-P area there is a large number (47) of Protection Forest Management Boards (PFMBs) compared with the number (16) of State Forest Companies (SFCs) and Special Use Forest Management Boards 17 (SUF-MBs) (See Table 2.2). Of these three types of large scale forest owners, due to the number, the least is known about the PFMBs in the ER-P area; many of them have been established only within the past ten to fifteen years or so, some as a result of State Forest Enterprise (SFE) reforms, some independently of these reforms.⁹ Therefore, the SESA team held discussions with several PFMBs as part of its stakeholder gap analysis.

⁹ See the 2004 Law on Forest Protection and Development, Article 46: - Organization of management of protection forests.

Table 2.2 Large forest owners/forest Management Boards consulted (by Province)

Province	Name of PFMB	Name of SUF-MB	Name of SFC
Quang Tri	Dak Rong – Huong Hoa; Thach Han	Bac Huong Hoa NR; Dak Rong NR	Ben Hai; Trieu Hai
Nghe An	Con Cuong; Tuong Duong	Pu Mat NP	Con Cuong
Thanh Hoa	Lang Chanh	Pu Hu NR	
TT Hue	A Luoi; Nam Dong; Song Bo, Huong Thuy; Bac Hai Van	Phong Dien NR; Management Board of Sao La Conservation zone	Phong Dien Forestry Enterprise; Tien Phong Forestry Company
	Huong Phú Commune Community Forest Management Board		
Quang Binh			Long Dai, Trung Son; Khe Giua

2.2 Consultations

Stakeholders from the household level to the national and international level have been consulted. These consultations commenced in October 2015 in earnest although for the past 3 years there have also been consultations of an iterative nature. It is estimated that consultations have involved 24 rural communities with some 500 individual householders of whom 295 have been women (95% from 12 different ethnic minority groups with poverty rates in excess of 70%), 12 CPCs (75 members including 22 women) and DPCs (120 members including 20 women), 6 PPCs (25 members including 6 women) at the sub-national level. At the national level, including international participants based on consultation and participation records in excess of 100 people (including 25 women). For CSOs and NGOs some 35 people, including 20 women, of which 11 NGOs have been consulted in detail on REDD+ by the project and have participated in all or some of the REDD+ workshop activities. There have been in excess of 30 project related Workshops at the national and sub-national level. For field-based studies the emphasis has been on quality rather than quantity to date with the exception of the SESA, which involves a qualitative survey of forest-dependent households chose at random based on a robust sampling strategy. In addition there have been separate sets of consultation in all provinces on the preparation of the PRAPs which involved consultations at the different levels and with the different types of stakeholders of interest.

The stakeholders include forest-dependent households and communities, with the emphasis being on ethnic minority households, but not to the exclusion of non-ethnic minority households ensuring that women, younger people, the aged and vulnerable households (especially the poor and physically handicapped) have been included in these consultations. These communities were selected based on existing socio-economic data and forest inventories, nearness and expected reliance on forests, a further consideration was to meet some stakeholders communities and the different forest management boards and all were agreed upon at the local level, primarily by the District and Commune People's Committees (DPC and CPC).

At the commune level the CPC have been consulted together with mass organizations including the Vietnam Women's Union, Farmers Association, Fatherland Front, and the Youth Organization and where appropriate, the Ethnic Affairs Officer. At the district level the District People's Committee has been consulted including the Department of Agricultural and Rural Development, Department of Natural Resources and Environment and other relevant departments and other organizations. At the Provincial Level the same provincial departments have been consulted as have SFC as have representatives of the Provincial People's Committee. At the national level MARD has consulted with a range of relevant government ministries including MONRE, MPI, MOLISA and MOF.

Outside of local communities and governmental entities at the four levels of government in Vietnam, State Forest Companies, international organizations with a stake in REDD+ such as UNREDDII and

FAO, the EU, multilateral providers of ODA for some aspects of REDD including ADB and KfW, bilateral providers notably JICA and USAID, and international NGOs, notably SNV, FFI, WWF, and a variety of local CSOs and NGOs have also been consulted and will continue to be consulted.

a) Consultation Methods

A crucial part of the SESA work involves consultations with multiple stakeholders from communities to implementers and policy makers who might be involved in, or impacted by, REDD+ activities and programmes. As mentioned above, consultations between the SESA/FCPF teams and various stakeholders are taking place as an iterative process. At village and commune levels, the team has used focus group discussion techniques to consult local communities, especially focusing on ethnic minorities, and their leaders at village and commune. An admitted drawback of the consultation processes in the communities is that they could not be held directly in local languages requiring a second translator; assisting visual media such as posters in local languages are becoming available. The SESA team observed that the predominance of Vietnamese language usage at village meetings sometimes meant that local ethnic minority women could not participate as fully as men during these discussions. Special attempts were always made to try to engage women in the discussions, and to elicit their views, but it sometimes proved difficult in the times available for village meetings. The SESA team also tried to ensure that the focus group discussions were held in informal settings such as someone's house, and with everyone sitting together as equals.¹⁰

In conducting local level, especially community, consultations at this stage in the ER-P REDD+ readiness process, the SESA team did not try to explain in detail about a REDD+ project to be implemented, as that would inevitably lead to heightened expectations of benefits from it. The main point of consultations at this stage was to gain greater understanding from the local people as to how they see their opportunities and constraints arising from forest and land resource access and use, including possible land use conflicts, and the security of their livelihoods at present. In this way, a picture of challenges and opportunity-costs of potential REDD+ activities in the localities was formed. In other words, the SESA investigations provide inputs to show "the variety in the needs of different population groups, including gender, ethnic, socio-economic, and geographical variations."¹¹

The SESA team also had interactions with non-Governmental organisations (NGO) such as regionally and nationally established Civil Society Organisations (CSOs)¹² in Hue, Vinh and Hanoi. This included university research centres in Hue and Vinh. The consultations with CSOs were geared to gaining different views and perspectives on the situation of local communities and forest resources, and to learn of their previous experiences with consultations at village level. The SESA team learned about some of the different types of research or action research that the university centres and NGOs have been conducting and discussions have been held with a number of NGOs including Centre for Research and Development in Upland areas (CRD), Centre for Indigenous Knowledge Research and Development (CIRD), Consultative and Research Centre on Natural Resource Management (CORENAM), Rural Development and Poverty Reduction Fund (RDPR), Culture Identity and Resources Management (CIRUM), Centre for Sustainable Rural Development (SRD) and Centre for Social Research and Development (CSRSD).

Representatives of two of the mass organisations, Vietnam Women's Union (VWU) and the Fatherland Front, Youth Union etc. have also been included in discussions at the commune and district levels. Women feel more comfortable in an informal setting, but they may still be reluctant to speak up.

¹⁰ Meetings are otherwise held at venues such as village meeting halls where they take on much higher levels of formality; this is more likely to result in village leaders and external officials dominating proceedings. Ideally, the informal meetings should always separate women and men, as women tend to discuss more openly in the absence of men, especially male leaders.

¹¹ FCPF (March 2009) Note FMT 2009-2, National Consultation and Participation for REDD, Technical Guidance on How to Prepare an Effective Consultation and Participation Plan.

¹² Note that the term "Civil Society Organisation" does not exist within the legal framework of Vietnam. What would normally be considered CSOs in other countries have to register as Associations in Vietnam to have formal recognition. See for example Decree 45/2010/ND-CP on the Organization, Operation and Management of Associations.

Figure 2.1 A Dang Village in Quang Tri



Figure 2.2 Lang Cat Village in Quang Tri



2.3 *Summary of the consultation comments*

The following Table 2.3 shows a summary of specific issues raised during consultations with communes and communities received and how these views have been taken into account in the design and implementation of the ER Program and Table 2.4 provides summaries of the provincial planning issues raised.

Table 2.3 Specific issues raised during different consultations with communes and communities

Consultation	Issues raised	Notes
General commune and district consultation for the SESA and PRAPs	19 key issues raised including: Illegal logging (top/ often); impacts of infrastructure mainly Hydropower projects (HPP) some minor roads (top/often); forest fires; livelihoods related issues (top/often); mining (mainly gold) natural disasters (e.g. flooding); lack of cultivation land; hope for planted forest (plantation benefits) but lack technology (next often); forest protection and management issues; fragmentation of forest (biodiversity issues); encroachment issues (next often); forest patrolling; land tenure issues (next often); access to and over exploitation of NTFPs; demand for timber; general forest degradation issues; law enforcement and lack of knowledge and awareness (next often); lack of access to credit; poor land use planning (LUP)	Issues included in the PRAP activities and BSM approach
MDRI Survey Section 4 Opinion on Forest Management Issues table n=3,060 all households (mixture of Kinh 948 and ethnic minorities 2,112) see Figure 2.3 for the location of the survey communes		
	The prevalence of illegal loggers has increased	26%
	Illegal logging has been put in check	64%
	Income generated from forestry and forest related sources has become less reliable;	63%
	There has been increased competition from outsiders in the collection of forest products	25%
	Allowances received for forest management work are too small	39%
	The area of production forestland assigned to households is insufficient	76%
	The forests are very important to me	98%
	Entities believed to be most capable of managing forests	Households 61% / village communities 24%(highest score)
SUF PFMB	Encroachment/ collection of NTFPs	

Table 2.4 Summary of provincial planning issues raised (through central level and provincial workshops which included SUF MBs Districts and discussions with the REDD+ Steering Committees)

Summary of issues	Notes
Impacts of natural disasters, storms/ flooding	National planning and disasters awareness planning issue cannot really be addressed in the ER-P
Lack of production land shifting cultivation, land tenure issues (FLA and re-allocation issues), livelihood issues (alleviation)	Issues included in the PRAPs
Infrastructure development: road construction, hydropower construction, lack of offsetting afforestation (although a government policy); inconsistent donor policy on EMP and similar	Issues included in the PRAP and need to be raised in the PLRs, ministries
Illegal logging	Addressed in the PRAP activities
Over exploitation of forest/ NTFPs	Addressed in the PRAP activities

2.4 Quantitative work

A supplementary quantitative survey¹³ was undertaken to complement the qualitative and consultative work described under 2.1 and 2.2 above. The Probability Proportional to Size (PPS) sampling method was employed to select 102 out of the list of high forest cover 327 ER-P communes in the upland areas that also have a high proportion of ethnic minority households. The criteria which were assigned equal weights in the calculation of the number of communes to be included in the final sample include:

- The share of ethnic minority households (calculated from the data of Agriculture Census 2011);
- The share of poor households (calculated from the data of Agriculture Census 2011); and
- The share of forestry land (provided by ER-P team from the program's database).

After this step, a sample of 102 communes was distributed unequally among the provinces as tabulated below in Table 2.5. Given that the northernmost provinces of Thanh Hoa and Nghe An are larger both in terms of ethnic minority populations—as mentioned, the two provinces have roughly 88% of the EM population in the ER-P area—and amount of forest land, the survey sample was weighted in favour of these two provinces.

Table 2.5 Number of communes surveyed in each province

No.	Province	Number of communes taking part in the survey
1	Thanh Hoa	25
2	Nghe An	27
3	Ha Tinh	7
4	Quang Binh	12
5	Quang Tri	16
6	Thua Thien Hue	15

To select the villages, a similar procedure was carried out using the PPS method using the same criteria was executed to select two villages in each of the selected 102 communes. The only deviation from the PPS sampling in the first stage is that in this stage, the calculation of the selection probabilities using the

¹³ The World Bank commissioned the Mekong Development and Research Institute (MDRI) to conduct a supplementary quantitative survey.

third criterion (forestry land coverage) was made based on the available data from the Agriculture Census 2011.

After testing the survey questionnaire in Nghe An in a limited number of communes, consultations were carried out in all six provinces during November-December in 3,060 households (corresponding to 13,398 individuals) in 102 communes of the six ER-P provinces. The breakdown of ethnic group households included in the survey was as follows¹⁴ in Table 2.6 and by province in Table 2.7 below (also see Figure 2.3 below for details of the survey sites). (Annex 1 Section 1.6 provides more details on the work and a complete list of communes targeted). Of the 102 communes, 67 of them belong to the Committee for Ethnic Minorities' Affairs (CEMA) Category III, meaning communes with exceptionally difficult circumstances¹⁵ (See Section 3.4.1 Table 3.19 Number of Communes categorised as having "Exceptionally Difficult Circumstances" in high forest cover Districts) MDRI has reported on ethnic groups that had at least 100 households in the total sample.

Table 2.6 Breakdown of surveyed household by ethnicity

Ethnic group	Numbers of households surveyed
Kinh	948
Thai	802
Bru-Van Kieu	449
Muong	265
Ta Oi-Pa Co	251
Co Tu	113
Hmong	116
Other ethnic minorities	116
	3,060

The main objectives of the quantitative survey were to provide more in-depth data, and analysis, of people's dependence on forest land and resources for their livelihoods and provide a socio-economic profile of the ethnic minority population. In greater detail, they are as follows:

- Develop a poverty, socio-economic and forest dependency profile of the proposed project population in six provinces, disaggregated by ethnic group; and
- Collect population data for the project area by ethnicity and provide analysis;

The survey results will be presented and discussed mainly under Section 3.4 onwards below. Additional tables can be found at Annex 1 section 1.6 and in a separate report¹⁶.

Table 2.7 Selection of the communes and numbers of households in the ER-P

ER-P Province	Total number of ethnic minority households	Share in the survey %	Number of surveyed communes using PPS	Number of surveyed households
Thanh Hoa	139,047	27.2	25	833
Nghe An	96,109	24.8	25	759
Ha Tinh	564	6.9	7	210

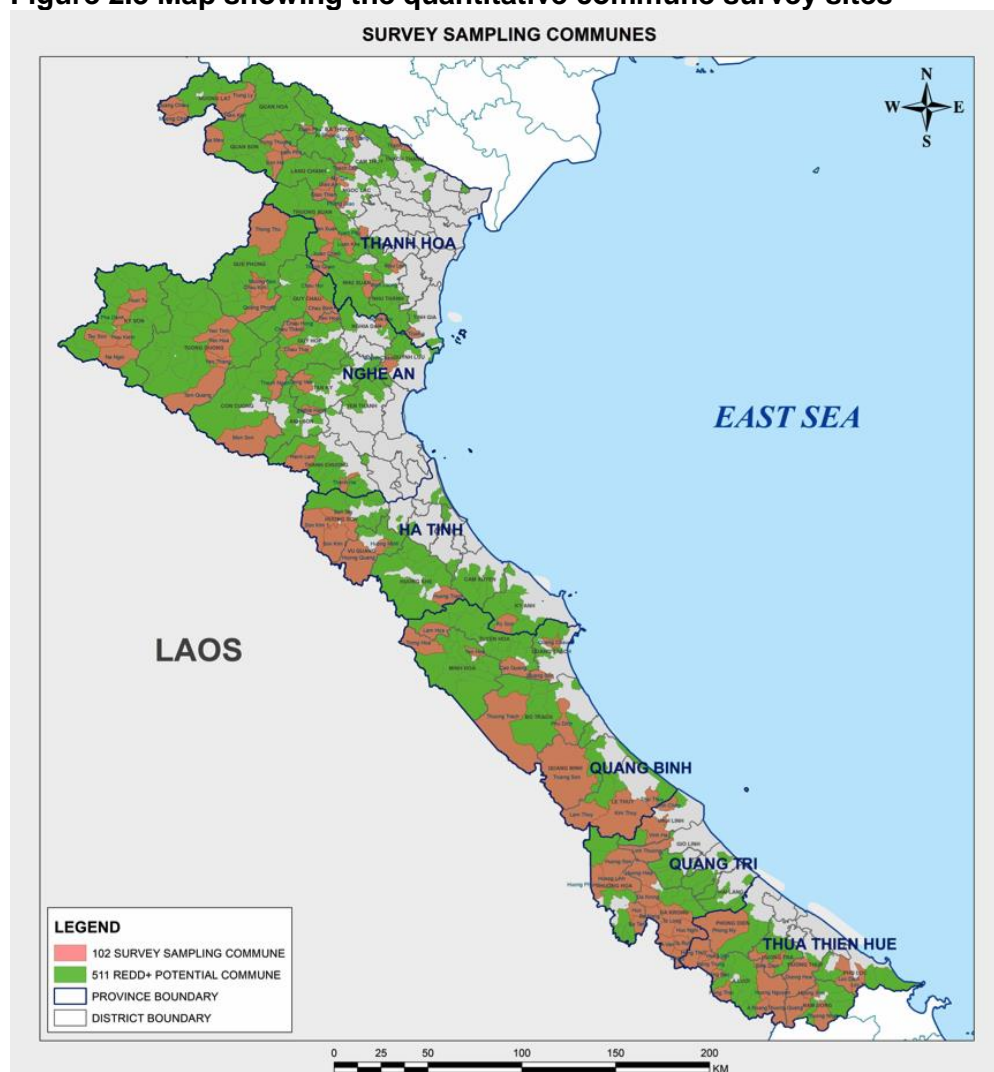
¹⁴ "Other" includes: Tho (52 HHs), Khmu (25 HHs), Dao (15 HHs) Chut (14 HHs), and Lao (8 HHs) plus two more groups with only one HH each in the sample. These groups are all very different from each other and would not normally be put together for a detailed ethnographic analysis.

¹⁵ A further 24 communes belong to Category II, nine to Category I and only two fall outside of CEMA's categories (meaning communes with no particular difficulties).

¹⁶ Quantitative survey results and report by MDRI, July 2016.

ER-P Province	Total number of ethnic minority households	Share in the survey %	Number of surveyed communes using PPS	Number of surveyed households
Quang Binh	4,469	11.5	12	353
Quang Tri	14,085	15.3	16	470
Thua Tien Hue	10,450	14.2	15	436
Total	264,724	100	102	3,060

Figure 2.3 Map showing the quantitative commune survey sites



2.4.1 Selection of households in each selected village

Due to the limited time frame, the list of households in each of the selected villages was updated and based on a list provided by the Ministry of Labour, Invalids and Social Affairs (MOLISA). From the updated list of all households, in the selected village, 15 households (selected for the survey) were randomly selected and with five reserve households for replacement. The replacement procedure also plays an important role in the survey results as it might create a bias in the estimation as the replacement respondent is not identical to the selected respondent for the interview this is overcome by including a built-in program in the data recording tablet to select automatically and randomly the replacement households.

3 Main results of the SESA Phase 1

3.1 *Environmental conditions of the ER Program*

Based on the SESA team's investigations and consultations in the ER-P provinces, it has identified and analysed key social and environmental conditions that have risks and challenges for REDD+ implementation and positive outcomes. The team then updated the safeguards identification exercise that had been carried out by a World Bank safeguards team in 2012 prior to the approval of the FCPF Readiness Grant of US\$ 3.8 million. In the sections that follow, the environmental and socio-economic conditions, plus the institutional and policy, legal and regulatory (PLR) frameworks are described in relation to REDD+ in the six ER-P provinces. Summary tables of major issues defined by the SESA team are embedded within the sections; these tables include assessments of safeguards-related issues relevant for REDD+ implementation. There is inevitable overlap between some of the major socio-economic topics (i.e., land, livelihoods, forest dependency and potential to benefit from forest land), but attempts have been made to avoid excessive repetition.

3.1.1 *Existing forest types*

The Ministry of Agriculture and Rural Development (MARD) classifies forest in Viet Nam into various types¹⁷ depending on the use purpose, establishment origin, site condition, tree species and tree volume as below:

- (i) Three forest types *by use purpose*: 1) Special used forest, 2) Protection forest, and 3) Production forest.
- (ii) Two forest types *by establishment origin*: 1) Natural forest (primary forest, secondary forest, regenerated forest and forest after extraction), and 2) Planted forest (new plantation on barren land, replanted forest after logging of plantation, and natural regeneration after logging of plantation).
- (iii) Four forest types *by site condition*: 1) Forest on earth mountain; 2) Forest on rocky mountain; 3) Inundated forest (mangrove forest, forest on alkaline soil-*melaleuca* forest, and waterlogging forest), and 4) Forest on sandy soil.
- (iv) Four forest types *by tree species*: 1) Wood forest (broadleaved forest, needled forest, mix broadleaved and needled forest); 2) Bamboo forest; 3) Palm forest; and 4) Mix bamboo and wood forest.
- (v) Forest types *by volume* 1) Very rich; 2) Rich; 3) Medium, 4) Poor and 5) Have no volume.

The Forest Protection and Development Law (2004) recognises three types of forest by the use purpose. More detail of this category is described in the Table 3.1 and 3.2 below.

¹⁷ Circular No. 34/2009/TT-BNNPTNT dated 10 June 2009.

Table 3.1 Three types of forest by use purpose

Special use forest	Protection forest	Production forest
National park (NP)	Watershed protection forest	Natural production forest
Nature conservation zone: Nature reserves Species-habitat conservation area	Wind and sand protection forests	Planted production forest
Landscape protection area: Forests of historical or cultural relics Scenic landscapes	Wave and land reclamation protection forest	Seeding forests, including the selected and recognized planted forests and native species
Scientific research and experiment forests	Environmental protection forest	
The forest is further categorised by origin, site condition, species and volume as follows		
Two forest types by establishment origin: 1) Natural forest (primary forest, secondary forest, regenerated forest and forest after extraction); and 2) Planted forest (new plantation on barren land, replanted forest after logging of plantation, and natural regeneration after logging of plantation).		
Four forest types by site condition: 1) Forest on earth mountain; 2) Forest on rocky mountain; 3) Inundated forest (mangrove forest, forest on alkaline soil- <i>melaleuca</i> forest, and waterlogged forest); and 4) Forest on sandy soil.		
Four forest types by tree species: 1) Wood forest (broadleaved forest, needled forest, mix broadleaved and needled forest); 2) Bamboo forest; 3) Palm forest; and 4) Mix bamboo and wood forest.		
Forest types by volume 1) Very rich; 2) Rich; 3) Medium, 4) Poor and 5) Has no volume.		

Source: Forest Protection and Development Law, 2004

Table 3.2 Forest and land use classification system for national scale

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 broadleaves forest - rich	Forest	1	Evergreen broadleaves forest - rich
2	Evergreen broadleaves forest - medium	Forest	2	Evergreen broadleaves forest - medium
3	Evergreen broadleaves forest - poor	Forest	3	Evergreen broadleaves forest - poor
4	Evergreen broadleaves 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	Bared land	Non-forest		
15	Water bodies	Non-forest		
16	Residence	Non-forest		
17	Other land	Non-forest		

Table note: Based on the result of the average timber stock volume calculation for the forest types in the NCC region in the report on national reference level establishment conducted by Forest Inventory and Planning Institute (FIPI), the forest type numbers 3, 4 and 7 have more or less the same value of stock volume, however, it is difficult to distinguish among those classes when using Landsat data for image interpretation. As a result, it is suggested that those types should be combined in to one forest type to reduce uncertainty during the forest and land use mapping/updating. The harmonized classification system in the NCC is shown in Table 3.2 above.

3.1.2 Climatic conditions

The region has a monsoonal climate. The annual average temperature is about 24-25°C. Average rainfall is about 2,500 mm with two seasons a year: the main rainy season from June to December with tropical depressions and typhoons, 85% of the rain falls from September to November and the drier season from January to May. Parts of the region can also be subjected to hot dry foehn winds particularly in May and June in Thanh Hoa, Ha Tinh and Quang Binh have high probability of tropical depressions or typhoons while Thua Thien Hue, Quang Tri, Quang Binh and Ha Tinh have high probability of rainfall flood. The number of sunshine hours is from 1,500 to 1,700/ year. Calculated radiation is from 105 kcl to 130 kcl/cm²/ year. Since 1960, average temperatures have risen by approximately 0.5 to 0.7°C and sea levels have increased by 20 cm within Viet Nam (MONRE, 2009).

According to Climate Change Vulnerability Index (CCVI), Viet Nam is ranked 23rd of 193 countries and is one of 30 “extreme risk” countries. The CCVI evaluates 42 social, economic and environmental factors to assess national vulnerabilities across three core areas, including (a) exposure to climate-related natural disasters and sea-level rise; (b) human sensitivity, in terms of population patterns, development, natural resources, agricultural dependency and conflicts; and (c) future vulnerability considering the adaptive capacity of a country’s government and infrastructure to address climate change effects. The countries most at risk are characterized by high levels of poverty, dense populations, exposure to climate-related events; and their reliance on flood and drought prone agricultural land. According to the three low, medium and high climate change scenarios¹⁸, by 2020 annual mean temperature is projected to increase by 0.5°C relative to the 1980-1999 level. By 2050, annual mean temperatures for the ER-PA may rise by 1.4-1.5°C. See Tables 3.3 and 3.4.

Table 3.3 Average annual temperature (°C) and rainfall (%) changes compared to 1980-1999, medium emission scenario

No.	Province	Temperature				Rainfall			
		2020	2030	2040	2050	2020	2030	2040	2050
1	Thanh Hoa	0.5	0.7	1	1.3 (1.2-1.4)	1.2	1.7	2.3	3.0 (2.0-4.0)
2	Nghe An	0.5	0.7	1.1	1.4 (1.2-1.6)	1.2	1.7	2.4	3.1 (2.0-4.0)
3	Ha Tinh	0.6	0.9	1.3	1.7 (1.4-1.8)	0.7	1.0	1.5	1.9 (1.0-3.0)
4	Quang Binh	0.6	1	1.3	1.7 (1.6-2.0)	0.9	1.4	1.9	2.5 (2.0-3.0)
5	Quang Tri	0.6	0.9	1.3	1.7 (1.6-2.0)	1.6	2.4	3.3	4.3 (3.0-5.0)
6	Thua Thien Hue	0.5	0.8	1.1	1.4 (1.0-1.6)	1.4	2.1	2.9	3.8 (3.0-5.0)

Source: Climate change and sea level rise scenarios for Viet Nam, MONRE, 2012

Table 3.4 Sea level rise compared to 1980-1999 medium emission scenario

Region	2020	2030	2040
Hai Phong to Quang Binh	7-8 cm	11 -13	15-18
Quang Binh to TTHue	8-9 cm	12-13	17-19

Source climate change and sea level for Viet Nam MONRE 2012

The following climate change impact assessments were made based on the medium climate change scenario:

- *Water resources*: Annual flows of rivers in the North and Northern area of North Central Coast are set to increase. Flood flows in most rivers tend to increase while flows during dry season are declining. After 2020, the groundwater level may drop drastically.
- *Sea-level rise* may also lead to higher risks of saltwater intrusion of rivers and underground water

¹⁸ Climate change, sea-level rise scenarios for Viet Nam, 2009.

resources, causing serious social and economic losses.

- *Agriculture:* In most regions, the number of days when temperatures exceed 25°C will increase notably while the number of days when temperatures drop below 20°C will decrease. Water demand for agriculture may increase two or three-fold compared with that of 2000. Crop water shortage would be exacerbated with decreased cover of hydrophytes and rising evapotranspiration rates. Spring crop outputs are set to decline at a faster rate than summer crop outputs. Winter maize productivity may decrease in Central Coast.
- *Forestry:* Climate change will have a diverse range of impacts on forest ecosystems and flora. By 2100, native forest cover comprised of closed tropical moist semi-deciduous forests and closed evergreen forests, amongst others, will decrease. The ecosystems of closed tropical moist semi-deciduous forests are likely to be most affected by climate change. Climate change will heighten risks of forest fires in all regions, primarily during the dry-hot season.

3.1.3 *Soils and topography*

The soil characteristics of the NCC are divided for mountains, low hills and delta. The main soil groups in the mountains are yellow-red, with humus soil. The main soil group of low hills is yellow-red soil on sedimentary rocks. In the delta the soils are alluvial coastal soil and coastal sand soil. The soils tend to be very fragile with highly erodible soil combined with the topography of steep, sometimes very steep slopes, in short, narrow steep catchments, which can lead to rapid spate events. Where forest cover has been reduced or removed, these events can be very destructive and catchment management can be problematic. The upland areas are prone to erosion and experience frequent land slides even with forest cover, where the protective forest cover is removed the erosion can rapidly develop.

3.1.4 *Biodiversity*

The biodiversity of the region contains some of Viet Nam's most notable forests with high biodiversity value and lies within four of WWF's 200 Globally Important Ecoregions and contains five Endemic Bird Areas (EBA) and 63 Important Bird Areas (IBA) as identified by BirdLife International. The capacity of these forests to provide various environmental services continues to decline. Forest degradation and fragmentation is destroying valuable habitats and putting a large number of already rare vertebrate species at risk of extinction. The landscape of the ER-P includes five internationally recognised conservation corridors (ranked with a 'high' or 'critical' global conservation priority see Figure 3.1), and includes 17 protected areas (see Table 3.5 and also Annex 1 Section 1.7 Tables 1.9 and 1.10) on endangered species) 19 important international biodiversity areas, the Western Nghe An UNESCO Man and Biosphere Reserve and the Phong Nha-Ke Bang National Park UNESCO World Heritage Site. The region supports significant populations of 14 globally endangered or critically endangered species (Critical Ecosystems Partnership Fund (CEPF) 2012; IUCN 2013).

In addition to the protected areas, the NCCs includes: 1) the Annamese Lowlands EBA, one of five in Viet Nam, covers the lowlands and foothills of north-central Vietnam (southern Ninh Binh, Thanh Hoa, Nghe Anh, Ha Tinh, Quang Binh, Quang Tri and Thua Thien Hue provinces) and part of adjacent central Lao; 2) about 14 IBA sites out of 59; and 3) number of Key Biodiversity Areas (KBA).

Table 3.5 List of protected area in ER-P region with biodiversity significance

Province	Protected Area	Area (ha)	Classification
Thanh Hoá (5)	Xuân Liên	23,475	Nature reserve
	Pù Luông	16,902	Nature reserve
	Pù Hu	23,028	Nature reserve
	Bến En	12,033	National park
Nghệ An (3)	Pù Mát	93,525	National park
	Pù Huống	40,128	Nature reserve
	Pù Hoạt	35,723	Nature reserve

Province	Protected Area	Area (ha)	Classification
Hà Tĩnh (2)	Vũ Quang	52,882	National park
	Ke Go	21,759	Nature reserve
Quảng Bình (3)	Phong Nha-Kẻ Bàng	125,362	National park
	Khe Núc Trong	19,000	Nature reserve
	Khe Net	26,800	Nature reserve
Quảng Trị (2)	Đăkrong	40,526	Nature reserve
	Bắc Hướng Hoá	23,456	Nature reserve
Thừa Thiên Huế (3)	Phong Điền	30,263	Nature reserve
	Bạch Mã (shared with Quang Nam)	37,487	National park
	Khu bảo tồn Sao La	12,153	Landscape and species conservation zone
		720,263	

Source: Extracted from Decision No. 45/QĐ-TTg dated 08 Jan. 2014 of the Prime Minister (MONRE list), and *extracted from Decision No. 1976/QĐ-TTg dated 30 Oct. 2014 of the Prime Minister (MARD list).

Figure 3.1 Protected areas and key biodiversity areas of the ER-P



3.1.5 Summary of the environmental issues in the ER-P area

- The NCC region is susceptible to climate change vulnerability, natural disasters and extreme weather events;

- The region has a number of large and small infrastructure project that have resulted in short and long term social and environmental impacts which can be locally quite severe;
- The region has a number of deforestation and forest degradation drivers work (including infrastructure), most are localised but the local impacts can be quite severe which impact on forest cover and include:
 - Encroachment on forest for agricultural purposes;
 - Illegal logging impact on protected area SUFs and protection forest; and
 - Fragmentation and degradation of remnant natural forest;
- Increasing threat matrix to protected area SUF and biodiversity in the region; and
- Forest governance (accountability, transparency, FLEGT trans-boundary) issues.

3.2 *Main drivers of deforestation and forest degradation*

Studies in the ER-Program area, have revealed the main drivers for deforestation and forest degradation to include: ¹⁹ unsustainable wood extraction (legal and illegal), shifting cultivation, agricultural land expansion, expansion of industrial tree plantations, infrastructure development associated with hydropower, roads and mining, and urban expansion.

- Deforestation results from: (i) Planned and unplanned conversion of forest land into agriculture land (for rubber, cassava, sugar cane, fodder for milk cows, shifting cultivation, conversion of poor natural forest to forest plantation of short term rotation species, - industrial tree plantation development), (ii) Planned forest conversion to non-agriculture land (infrastructure such as hydropower schemes, reservoirs (various sorts), roads, mining, economic and industrial zones, and urban expansion;
- Forest degradation is mainly the result of unsustainable wood extraction, shifting cultivation and encroachment for agricultural crops; and
- Natural deforestation degradation results from the impacts of typhoons and forest fires.

3.2.1 *Deforestation and degradation drivers and changes in land use in the ER-P region*

There is a clear need to address the drivers of deforestation and forest degradation and as outlined in the 2014 ER-PIN the two main priority drivers continue to be generally related to the expansion of agricultural land (and by area the agriculture has the largest influence due to the area and most of the agricultural statistics point to an increase in further forest conversion) and infrastructure principally roads and HPP. While the actual land and forest take for hydropower projects is relatively small, the development most often occurs in some of the best remaining forested areas upland areas and the follow on, edge and multiplier effects, of opening a previously underdeveloped area, on forest and particularly protected areas can be severe and particularly difficult to control. The clear priorities for countering deforestation and forest degradation are thus controlling the conversion of forest to agriculture and the expansion of roads and HPPs.

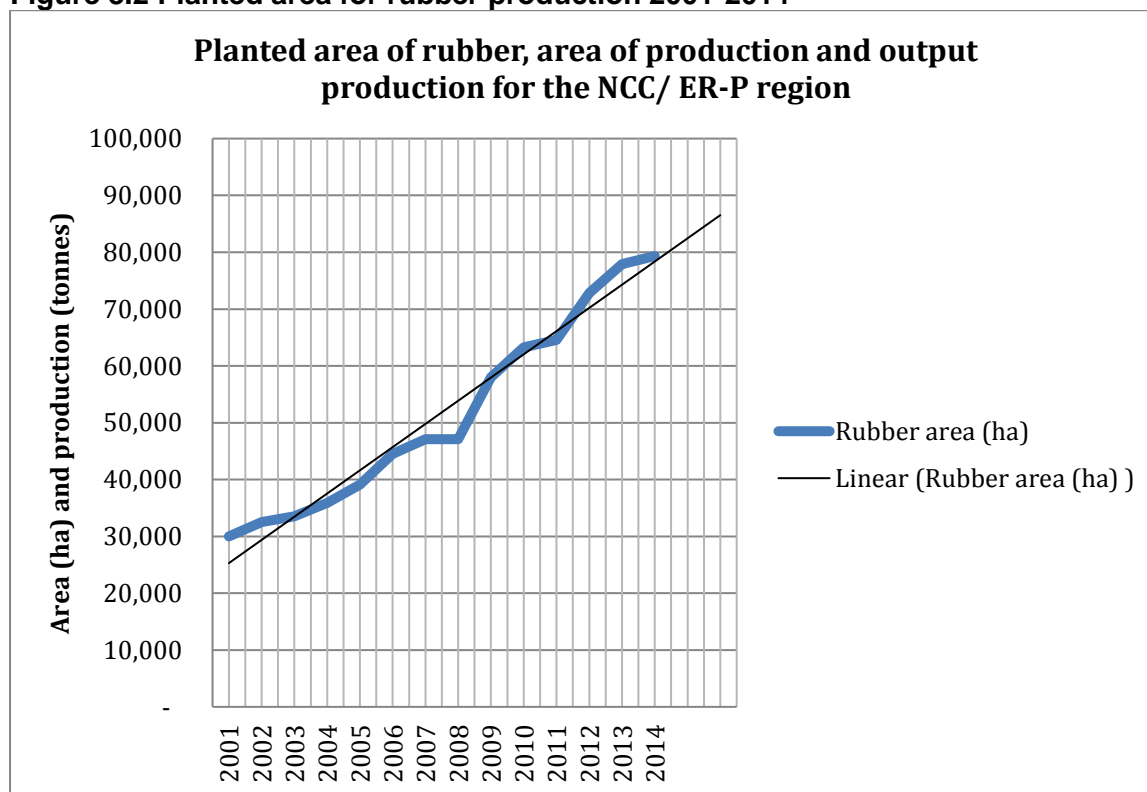
It is notable that the different drivers operate in quite localised areas and, for example, the impact of the agricultural crop drivers can change relatively rapidly with changes in local market demand and prices

¹⁹ Through PRAPs, systematic studies, literature review, including Government reports at national and provincial levels, international reports on Viet Nam forestry sector and consultations conducted in the last two years at all levels in the six provinces.

and can lead to quite rapid changes to land use for annual crops such as maize and particularly cassava.

Rubber continues as an important and widespread driver in the region (see Figures 3.2 and 3.3), as it was 2013/14 for the ER-PIN, even though the price has dropped and the area of production has dropped the expansion of the area under rubber has continued, although this may drop if the price does not increase.

Figure 3.2 Planted area for rubber production 2001-2014



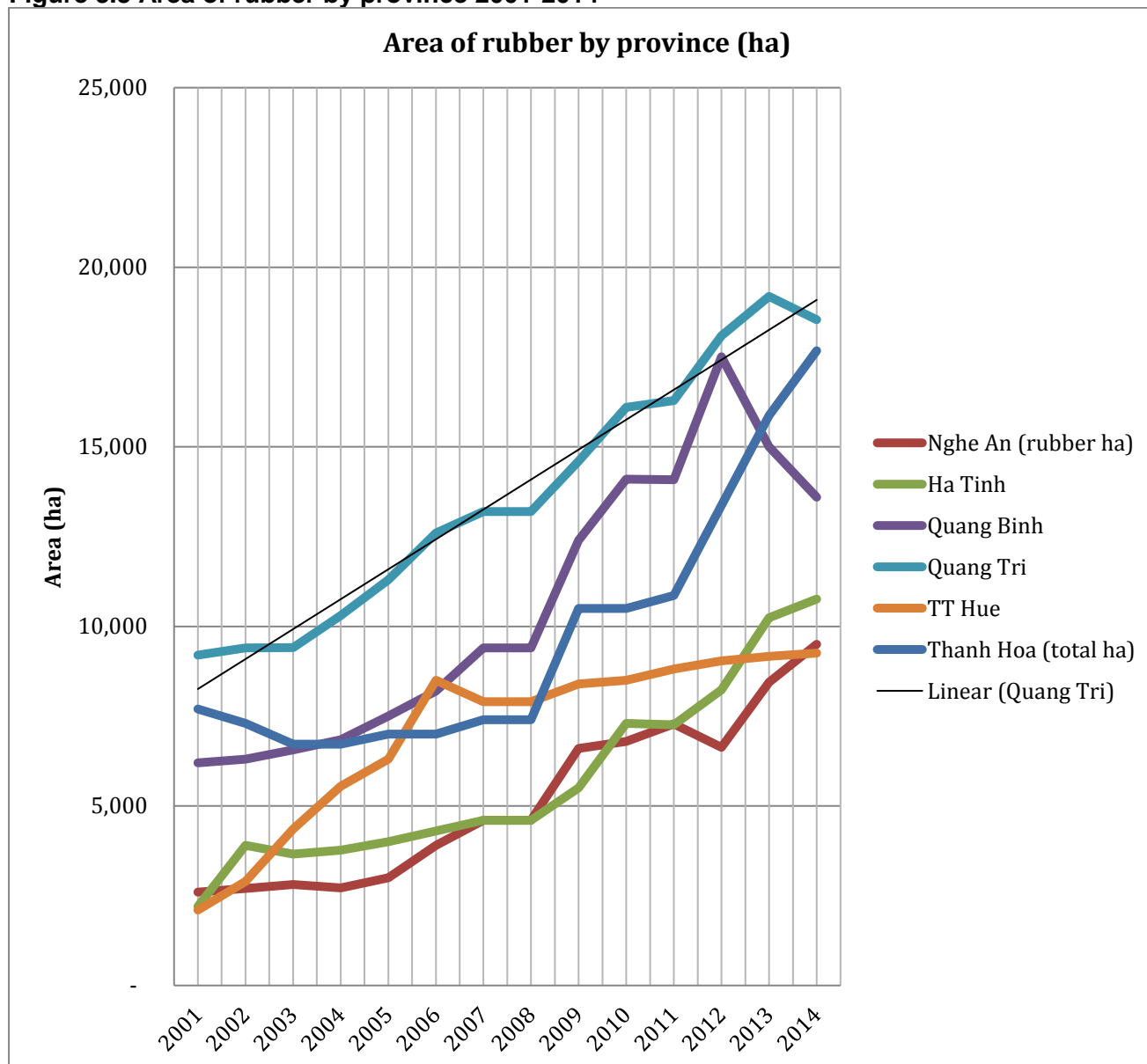
The growth rate in planted area has increased at an overall 7% for the whole NCC region, however the growth rate in particular provinces (Ha Tinh 11%, Nghe An 10% and TTHue 11%) has been much higher. The forecast trend for rubber based on historic performance shows a continuation in the area as shown in Table 3.6 below.

Table 3.6 Three year current and forecast increase in area planted to rubber NCC region

Year	Actual area of rubber (ha)	Forecast growth in the area of rubber (ha)
2012	72,870	
2013	77,911	
2014	79,335	
2015		82,454
2016		86,536
2017		90,619

Table note: This is based on analysis of the historical trend of rubber area from 2001-2014, there have been fluctuations in the price of rubber latex over that period and these are expected to continue; there has been a relatively rapid expansion of the area for rubber in some provinces notably Nghe An, Ha Tinh, and Thua Thien Hue, currently prices for rubber latex are at a low which may in the short term stall further investment in the crop. However, the overall trend and growth forecast remains high relatively high

Figure 3.3 Area of rubber by province 2001-2014



Plantation agriculture, mainly *Acacia*, has covered much of midland areas of the ER-P region and continues to penetrate into the upland areas, but in some areas it has not replaced native species, for example, *Melia sp.* in upland areas of Nghe An due to strong local prices, bamboo system still largely dominates in Thanh Hoa (but increasing areas of *Acacia* are apparent), but as noted in Quang Tri, market forces have seen a change from *Acacia* to cassava.

The following charts (Figures 3.4, 3.5) show the relative short term plantation growth in the NCC and show a decline in the rate of expansion of the *acacia* area (-1% for the overall NCC), however, as in other crops the expansion or reduction in area is localised i.e. in Nghe An the rate of growth is 2% in Quang Binh it is 6%, but in Thanh Hoa the area of plantation is recorded as declining (- 6% over the period) and in Thua Thien Hue the rate of growth is 1%.

Figure 3.4 Area of plantation forest mainly Acacia from 2010 to 2014

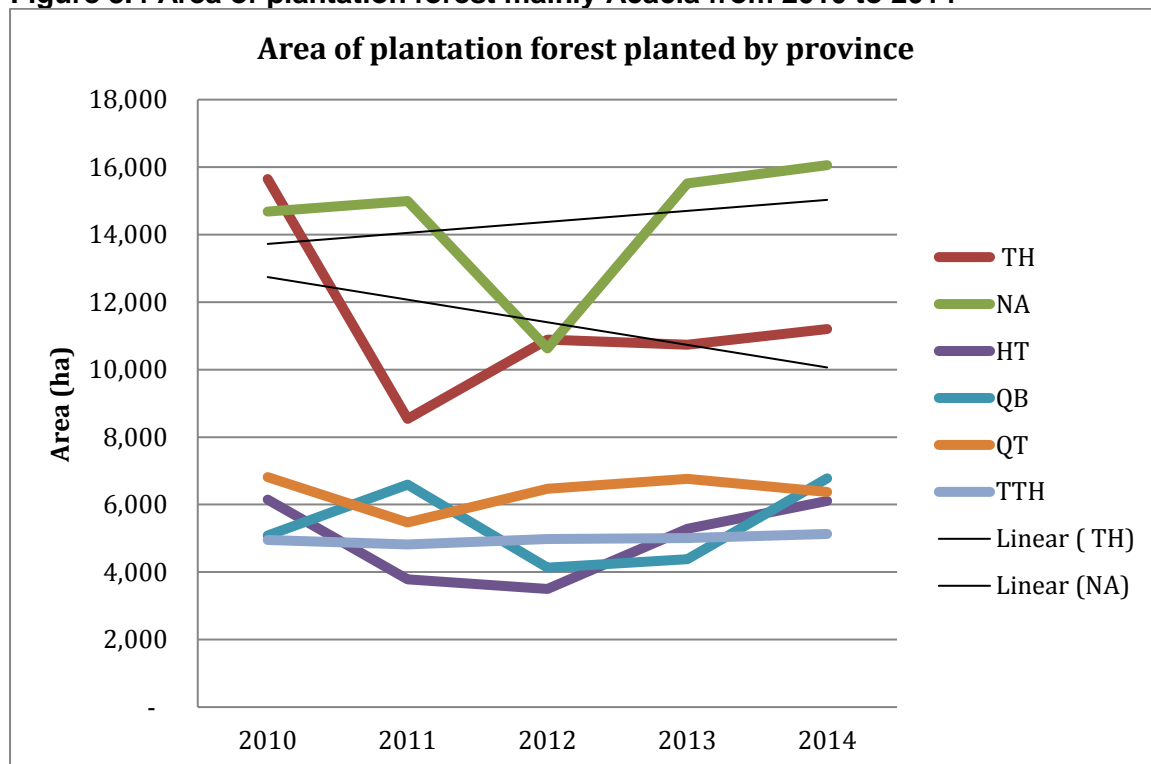
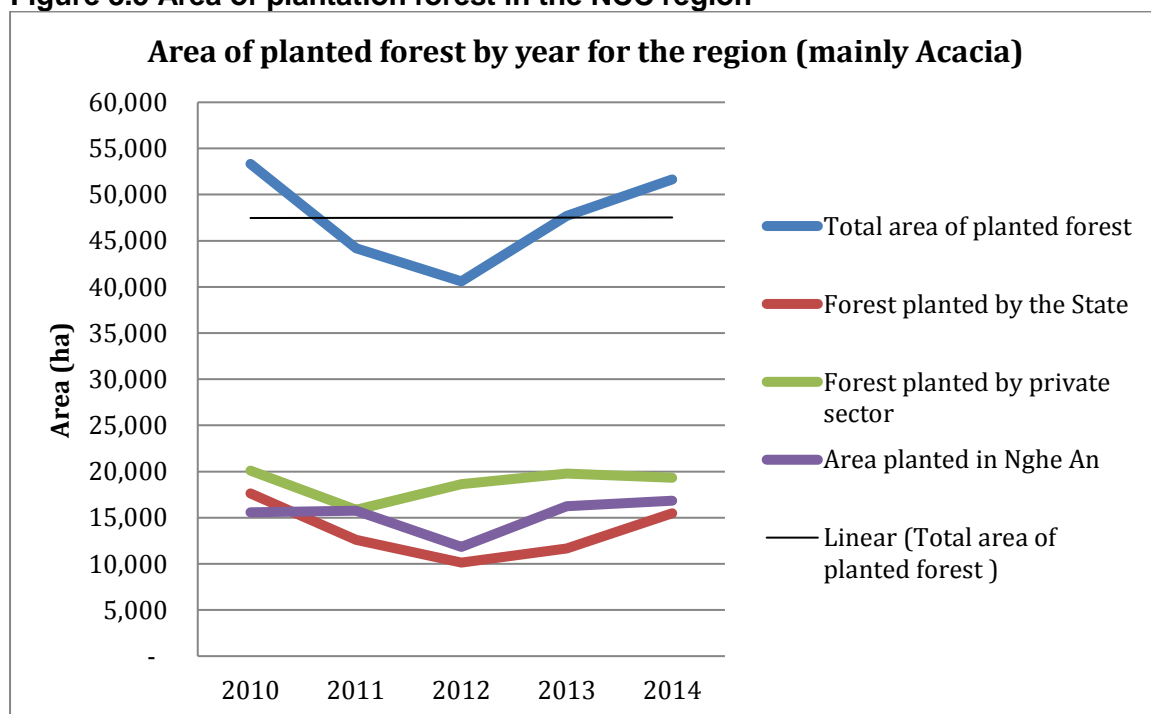


Figure 3.5 Area of plantation forest in the NCC region



In Quang Tri the State has been a steady investor, (Figure 3.6) but is now decreasing investments in plantation agriculture (1% growth over 2005 to 2014) where as the private sector has seen relatively rapidly growth (5% growth rate over the same period). Over the same period the investment in production forest has increased (Figure 3.7) at 7% but the investment in protection forest has a rapid decline (-3%).

Figure 3.6 Area of newly planted forest (mainly Acacia) by ownership Quang Tri

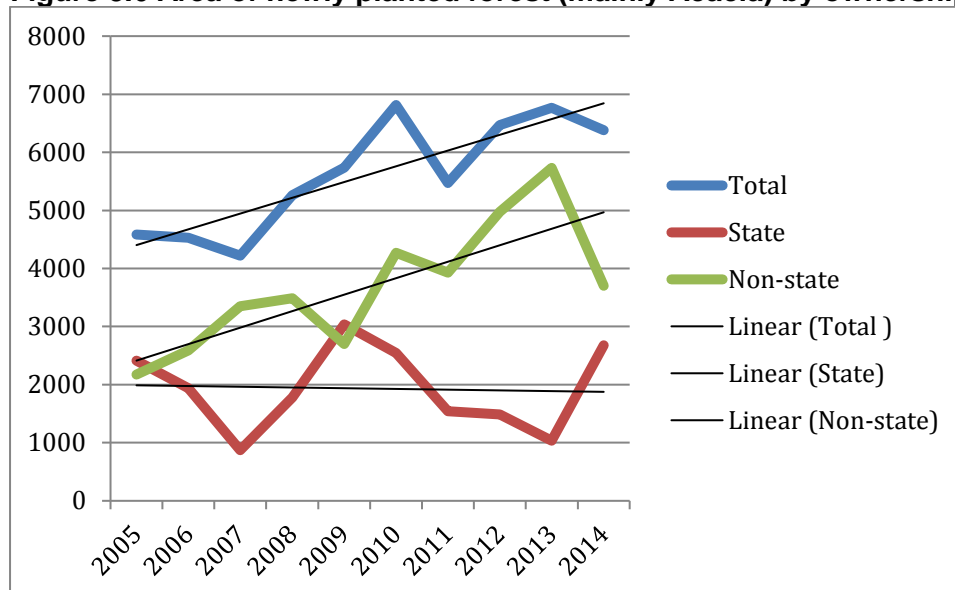
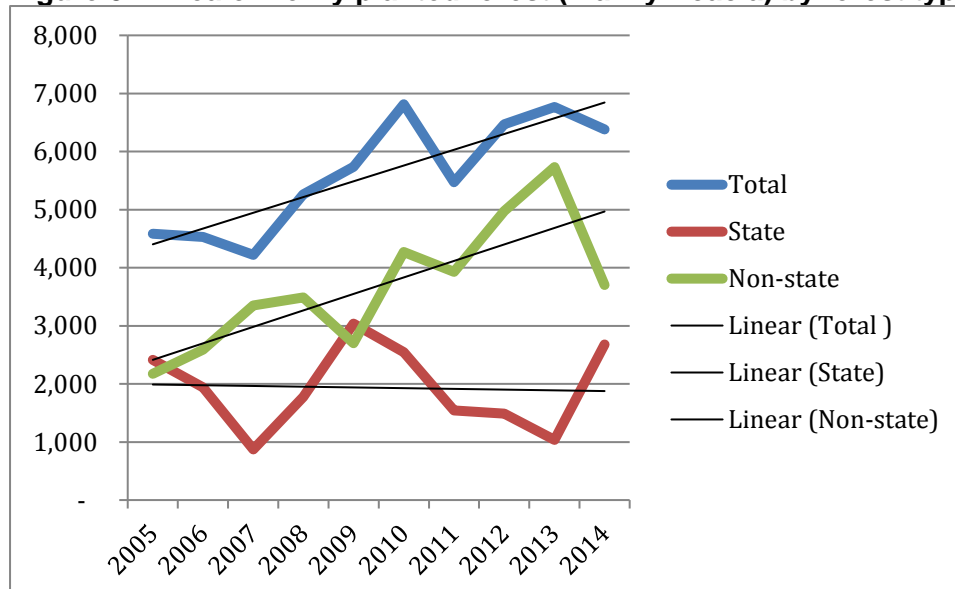


Figure 3.7 Area of newly planted forest (mainly Acacia) by forest type in Quang Tri



Infrastructure, and HPP are still most reported as having negative impacts on forest cover, as they were for the ER-PIN in 2014, in five out of the six ER-P provinces, while the initial direct impact as a driver of deforestation infrastructure development (all types) does appear to be a relative small driver in terms of area of forest lost, however, it is clearly locally important and the impacts can be quite severe and there are numerous cases of deforestation (illegal logging) occurring close to an area of planned legal logging, but the underlying trend, where clearance for infrastructure is granted is for forest degradation to continue long term particularly as economic development activities expand and follow after the initial infrastructure development has been completed and when most planning and social and environmental safeguards finish (even though the effectiveness of these is questionable in many cases).

Table 3.7 Summary of drivers of deforestation and forest degradation at work in the ER-P region

Direct drivers for deforestation								Direct drivers for forest degradation	
Agriculture		Infrastructure				Mining	Natural causes	Unsustainable legal logging	Illegal logging
Planned conversion of forest for agricultural and tree crops	Rubber plantation	Expanding road network	Irrigation/multipurpose schemes	Hydropower schemes	Urbanization	Rock quarries	Typhoons	Commercial logging by SFCs	Domestic use
	Cassava starch farming	National roads	Reservoirs	Reservoir	Expansion of urban area	Gold	Forest fire		Commercial purposes
	Other cash crops including tree fruit crops	Provincial road	Increases in irrigable area	HPP infrastructure	Water supply schemes	Titanium	Plantation forest diseases		
	Aquaculture farming	Rural access and feeder roads			Landfill	Others			
	Acacia plantation								
Unplanned conversion	Shifting cultivation and encroachment on protection and production special use forests								

Underlying causes

Demographic factors	Economic factors	Institutional factors	Cultural factors
Population increase	Unemployment	Lack of coordination in sectorial and land use planning of land use and sectorial)	Producer shorter-term needs
	Improved market access (national & global)	Promotion of rubber plantation	
		Acacia plantations	
		Dairy/ cattle ranching	
Migration		Weak law and policy enforcement	Preference for wooden houses
		Defence of national borders	

3.2.2 *Planned forest conversion to agriculture – direct drivers of deforestation*

As noted most forest conversion in the NCC region is related to the expansion of agricultural purposes, including for rubber, cassava, annual and perennial crops and has occurred at rates of 4,500-10,000 ha/year over 2000-2010, depending on the province. For example, in Ha Tinh, spatial analysis shows that conversion of forestland into agriculture was high in the period 1995-2005 (3,364ha) and decreased 2005-2014 (1,042ha)²⁰.

High latex prices (VND 60 million/tonne in 2011, equivalent to US\$ 2,850/tonne) and more lately falling yields from cassava have driven the expansion of rubber in the ER-P region. In Ha Tinh, for example, conversion of forestland into rubber plantation 2005-2014 was nearly 4,465ha²¹ and provinces continue to plan for further rubber expansion, despite increasing losses from typhoon damage and current low prices²² with many farmers continuing to plant rubber because of expected future high profits, (even though the price of fresh latex was down from VND 40,000/kg to 9,000/kg on 16 Oct. 2015²³), and rubber is expected to continue to be a localised driver of deforestation in this region in the future to 2020 unless provincial sectoral planning follows provincial land use planning more strictly as required by the law²⁴.

The case for cassava acting as a major driver of conversion of forest after rubber is somewhat less clear, however, it is clearly an important localised driver (see Table 3.8), the table shows the forecast area of cassava based on historical trend based on the analysis of the period 2001 to 21014, during that period there were demand and price fluctuations which contribute to a rapid increase or decrease in the area of cassava planted year on year. The analysis of the overall growth of cassava in the NCC region is estimated to be 4%, however, in Quang Tri the growth in cassava area over the same period was 10%. The rate of forest conversion for agriculture in the region is for cassava (for starch production and more recently biofuel, but demand for starch biofuel has already fallen). It is widely grown in communes, and smaller amounts in shifting cultivation areas, this places commodity price based risk for natural forests if the demand and price of cassava is high, in 2014/15 in Quang Tri there was localised conversion from Acacia plantation to cassava to meet the market and production requirements from a new cassava processing factory and due to opportunity of a greater return from cassava.

Table 3.8 Three year actual and forecast area of cassava in the NCC region

Year	Actual area of cassava (ha)	Forecast growth in area of cassava (ha)
2012	64,019	
2013	61,869	
2014	63,146	
2015		70,870
2016		72,954
2017		75,059

²⁰ UN-REDD report at Ha Tinh workshop, Oct. 2015.

²¹ UN-REDD report at Ha Tinh workshop, Oct. 2015.

²² China's economy concerns about it has driven prices to seven year lows mid 2011 European Rubber prices was peaking about €425 per tonne and by mid 2015 it had dropped to €110 per tonne, world production peaked in 2011-2012 at about 90,000 tonnes (12 month sum) and since then has dropped to about 60,000 tonnes in 2014 and 58,000 tonnes (12 month sum) in 2015 Reuters and FT March/April 2016. Vietnam is due to join the International Tripartite Rubber Organization (ITRO), which controls 70% of the world supply of natural rubber agreed to cut exports by 615,000 t from March to August. With Vietnam joining the cartel the price of natural rubber is expected to rise in international market, Rubber News April 5 2016

²³ <http://thitruongcaosu.net/2015/10/16/gia-cao-su-trong-nuoc-ngay-16102015/>.

²⁴ For example, the land use plan of Ha Tinh province towards 2020²⁴ approved by the Government identified 5,178 ha of forestland being converted into other land use purposes, of which 4,198 ha was for non-agriculture land, while the rubber development planning for 2010-2020 for Ha Tinh²⁴ as approved by the Ha Tinh Provincial People's Committee has stated that total forestland of 32,383 ha of which 17,854 ha is planted forest and 2,643 ha of natural forest are to be converted into rubber plantations, approximately four times higher than the total converted forestland in the provincial land use plan.

a) Other crops and agricultural productions approaches operating as drivers

In Nghe An as a result of a large scale dairy unit (with 3,000+ head of cattle) 12,600 ha of forestland has been allocated to plant fodder crops for milk cows.²⁵

There is also conversion of degraded natural forest to hybrid *Acacia* and *Acacia mangium* plantations,

In Thanh Hoa, poor natural forest was converted into *Dendrocalamus membranaceus* forest (Lang Chanh district), *Melia azedarach* forest (Muong Lat district).

Mangrove areas in this region are relatively small, but provide important non-carbon benefits, including biodiversity and coastal protection in the face of increasing frequency and intensity of typhoons as a result of climate change. Mangroves are threatened by shrimp farms, which have increased extensively since the 1990's. Many of these farms tend to short-lived due to poor farm hygiene or poor construction leading to polluted water this can lead to the destruction of large areas of mangroves as the farmers move and create new ponds, aquaculture expansion continues into the remaining existing mangrove areas.

3.2.3 *Unplanned forest conversion to agriculture (shifting cultivation and encroachment for longer term cropping) – direct driver*

Shifting cultivation occurs through the region, but is limited to the upland and mountainous western parts of the region, and little or no swidden is recorded in the central part of the landscape (Ha Tinh and Quang Binh provinces), but up to 12,800 ha in the north (Nghe An province) and 14,500 ha in the south (Quang Tri and Thua Thien-Hue provinces) of the landscape (FPD 2011). Shifting cultivation is a cultural practice of ethnic minority communities, and is most often found in the absence of viable alternatives²⁶, lack of supporting extension services, lack of good agricultural land (particularly for young couples) and adequate market access.

Through a review of documents from provinces sector planning Decisions issued by the Provincial People's Committee many do not mention the provincial LUPs approved by the Government.

As mentioned in Section 3.2 Drivers of deforestation and forest degradation, planned forest conversion to agriculture, rubber development planning in Ha Tinh for 2010-2020 is approximately four times higher than the total allowable converted forestland in the provincial land use planning. In Nghe An, only within two years from 2009 to 2011, the Provincial People's Committee issued five decisions on rubber development planning, allowing the adjustment and expansion of rubber plantation areas (two Decisions in 2009 and three Decisions in 2011)²⁷.

Land for rubber plantations is classified as agriculture land. To illustrate this issue, Table 3.9 below shows the area of forest converted into other land use purposes and area of barren land being converted into forest area toward 2020 in all six provinces. Toward 2020 Nghe An has planned to put the largest area of barren land into forestland (67.3% of the total converted land in the ER-P area). Quang Binh and Quang Tri planned to convert barren land into forest areas but the forest area being converted into other land use purposes is still larger as shown on the last row of Table 3.9.

Nghe An and Quang Tri have the largest forest area being converted into agriculture land while Thanh Hoa, Ha Tinh and Thua Thien Hue have a few areas converted into agriculture land; almost all converted land of these province and particular of Quang Binh is used for non-agriculture purposes. Since forest being converted would be poor natural or planted forest, especially in Quang Tri where soil

²⁵ Decision 23/QĐ-SNN-KHTC 23 Jan. 2015.

²⁶ Reports from provinces and FPD from 2007 to 2014 show small area of forest lost due to shifting cultivation and through interviews of local people it revealed that the Government regularly supports poor households, particularly HHs of ethnic minority with rice.

²⁷ Decision 1708/QĐ-UBND.NN of 29/4/2009, decision 5990/QĐ-UBND.NN of 11/11/2009, decision 1866/QĐ-UBND of 27/5/2011, decision 4865/QĐ-UBND of 10/11/2011, and decision 5334/QĐ-UBND of 06/12/2011.

had been heavily degraded in the wartime, much more investment would be required if forest is replaced by other agriculture plants. Therefore, if poor local people cut trees for agriculture crops, it might not help them out of poverty.

Table 3.9 Total area of converted forest into other land use purposes toward 2020 by provinces (ha)

Province	Thanh Hoa	Nghe An	Ha Tinh	Quang Binh	Quang Tri	TT Hue	Total
A. Conversion of forest land into non-agriculture land in which land was taken from:	3,957	11,908	4,198	13,627	6,049	7,362	47,101
Special use forest	20	58	455	0	70	142	745
Protection forest	11	3,075	767	448	2,167	1,051	7,519
Production forest	3,926	8,775	2,976	13,179	3,812	6,169	38,837
B. Conversion of forest land into agriculture land in which land was taken from:	799	26,394	980	617	24,543	0	53,333
Special use forest	0		0		324		324
Protection forest	0	879	0	557	2,878		4,314
Production forest	799	25,515	980	60	21,341		48,695
Total area of converted forest into other land use purposes (A+B)	4,756	38,302	5,178	14,244	30,592	7,362	100,434
C. Conversion of barren land into forest land in which land was taken from:	21,200	211,754	16,114	20,766	35,029	19,000	323,863
Special use forest	20	768	384	675	0	8,847	10,694
Protection forest	0	90,438	4,008	2,900	0	3,006	100,352
Production forest	21,180	120,548	11,722	17,191	35,029	7,147	212,817
Summary of differences (C-(A+B))	16,444	173,452	10,936	6,522	4,437	11,638	223,429

Source: Figures extracted from the LUP of the six ER-P provinces.

3.2.4 *Planned forest conversion to forest plantation – indirect driver*

According to spatial analysis of the ER-P region the conversion of all types of forest to forest plantation during 2000-2010 is about 36,137 ha. This was achieved through a mixture of private investment and government projects. In some of the ER-Program provinces it was reported that there have also been some changes to land tenure with the previous state forest enterprise (SFE) being converted into private companies and the land and forest area held by the company rationalised (e.g. in Thua Thien Hue) and part of the land has been made over to communes for smallholder plantations. The farmers are then expected to follow the forest model introduced by the company and grow Acacia plantations.

Plantations have played a crucial role in Viet Nam's forest transition²⁸, and while it is acknowledged that they reduce the pressure on natural forests, remnants of natural forest and remaining logged over poor natural forest has been replaced by plantation forest, areas of natural forest are difficult to estimate, mono-culture Acacia plantations a poor replacement in terms of biodiversity however, VNFOREST is committed to improve the economic and environmental performance of Acacia plantations.

²⁸ Plantation forest cover more than 3.5 million ha and by 2020, it is expected that plantations will cover more than 4.1 million ha (MARD 2015).

3.2.5 *Planned forest conversion to infrastructure (direct and indirect drivers)*

All infrastructure projects including hydropower projects and mining projects that result in deforestation of the forest must replant the same area of forest lost. However, due to lack of funds and or available land for reforestation and other reasons, most developers prefer to compensate by cash and thereby avoid the extra work of identifying and then managing potentially challenging small reforestation programs.²⁹

a) Hydropower and mixed purpose irrigation and hydropower

About 14 hydroelectric and multipurpose irrigation and hydroelectric plants have been built during the reference period with at least two more starting initial construction phase at the end of the reference period. Forest conversion as a result of hydropower in the region during the Reference Period, has been relatively high, estimated³⁰ to be in the range of 13,600-21,700 ha. One of the important indirect drivers is the creation of improvements of access to areas that have good natural forest including SUFs which can lead to illegal logging and encroachment. However, concerns over environmental and social impacts during and after construction and poor safety, including sudden release of water, caused the Ministry of Industry and Trade to review all pending hydropower projects in the national hydropower master plan part of the National Plan for Power Development³¹, and resulted in cancelling 424 projects nationwide³² and requesting an investigation into safety and environmental impacts of hydropower projects to be concluded by March 2014. Currently, only the Prime Minister can approve new hydropower projects³³. However, taking Ha Tinh as an example in 2013³⁴ Ha Tinh had ten small hydropower plants planned, two have been constructed (Huong Son and Ho Ho) to date and the total forest area directly lost due to the construction of these two plants is 477.3 ha (Huong Son: 93.3 ha and Ho Ho: 384 ha), the remaining eight are still in the already approved provincial plan which could be re-introduced³⁵.

In the ER-P region, arguably the largest infrastructure impact is in Thanh Hoa where a cascade of four HPPs schemes is under construction on the Ma river, (see Figures 3.8 and 3.9 below) show the possible impacts of the schemes in the ER-P area in Thanh Hoa) while the overall deforestation is currently not large the impact and in particular the continued and difficult to control forest degradation resulting from large influxes of followers and much increased local economic activity can be expected to have much longer lasting wider impacts and cumulative impacts particularly on the two nature reserves with international levels of biodiversity Pu Hu and Pu Luong³⁶. The cumulative impacts of the cascade are

²⁹ For example, the compensation for forest lost in Nghe An was VND15 millions/ha and DARD Nghe An used this money for the general improvement for the forestry sector in the province.

³⁰ Based on an estimate of 10-16 ha natural forest cleared per MW for a HEP scheme; ICEM figures quote a 10km zone of influence in Strategic Environmental Assessment in the Hydropower Sub-sector, ICEM, 2007 Vietnam

³¹ Decision 1208/QĐ-TTg of 21 Jul. 2011 on Approval of the National Master Plan for Power Development for the 2011-2020 period with vision to 2030.

³² The projects that are currently cancelled are mainly small hydro scheme, however, small hydro forms an important contributions to the national master plan for power development.

³³ Resolution No. 11/NQ-CP of Government, February 18th 2014 on the Action Program of Government to Implement Resolution No. 62/2013 of the National Assembly (on strengthening the management of planning of Hydropower projects).

³⁴ DOIT Ha Tinh's report, 2014.

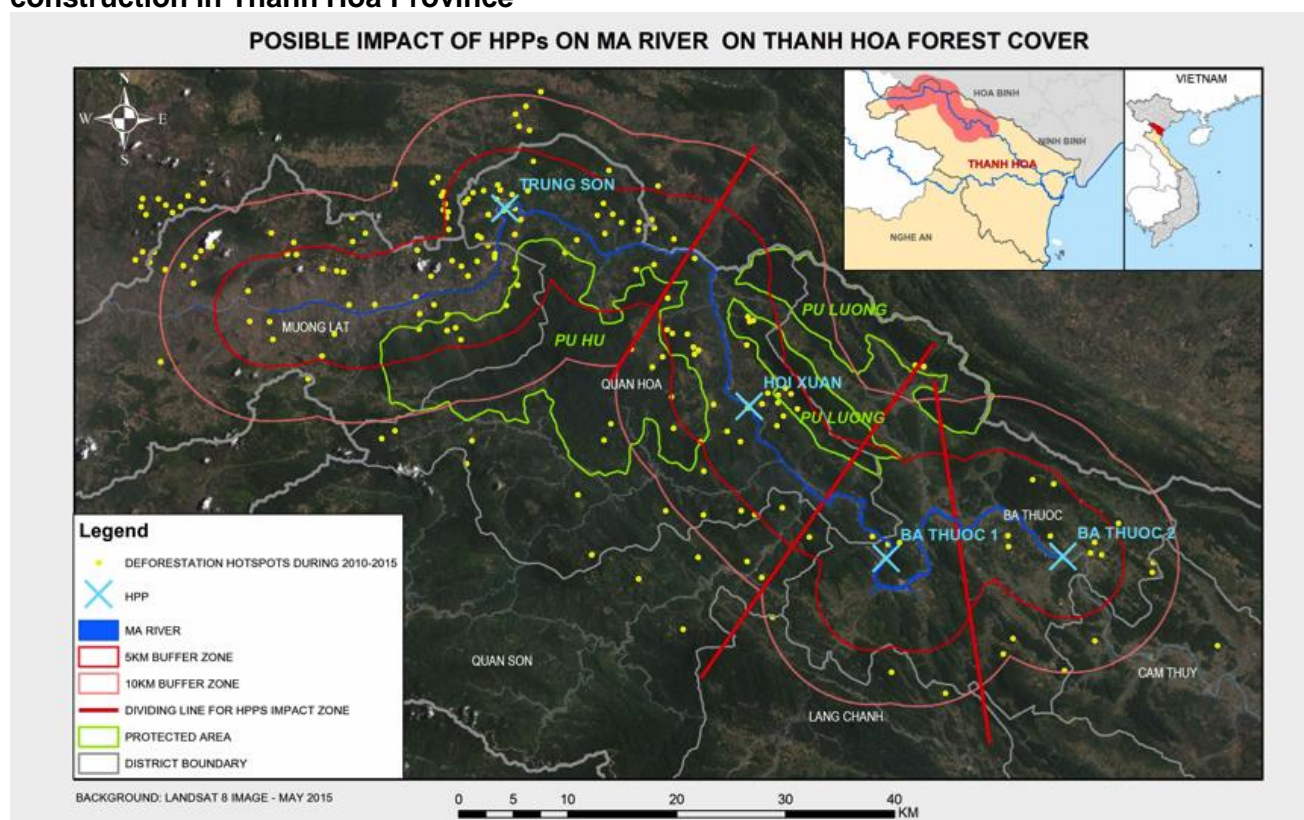
³⁵ A further case, while outside the ER-P is of concern as an example, is the small hydro project (26MW) planned in Yok Don NP which takes 24 ha from the core zone (the total land take is 308ha) which was approved by the PPC in 2007, but construction is now finally due to start later this year (2016). Viet Nam News April 21 2016

³⁶ The impacts on these two nature reserves was estimated by WB commissioned studies to be severe, however, the WB noted "...an important negative issue for the project arose at the end of the project period and related to inconsistent World Bank policy and the role of the OMP [Operational Management Plan], and relates to a lack of support for OMPs in two important Nature Reserves (Pu Hu and Na Hau NRs) which are set to have "substantial impact" from the World Bank funded Trung Son HEP project. The detailed EMP for the Trung Son HEP Project has a separate 'biodiversity and protected area management plan' which at best duplicates activities and role of the OMP, and at worse undermines and deflects the SUF MB from the OMP and generally the SUF MBs have reported difficulties in understanding the EMP. The EMP should have included updates and support for the OMP. This is a considerable change in World Bank policy, and is a very negative setback in the

only now in the process of being assessed after construction has begun and is nearing completion on two.

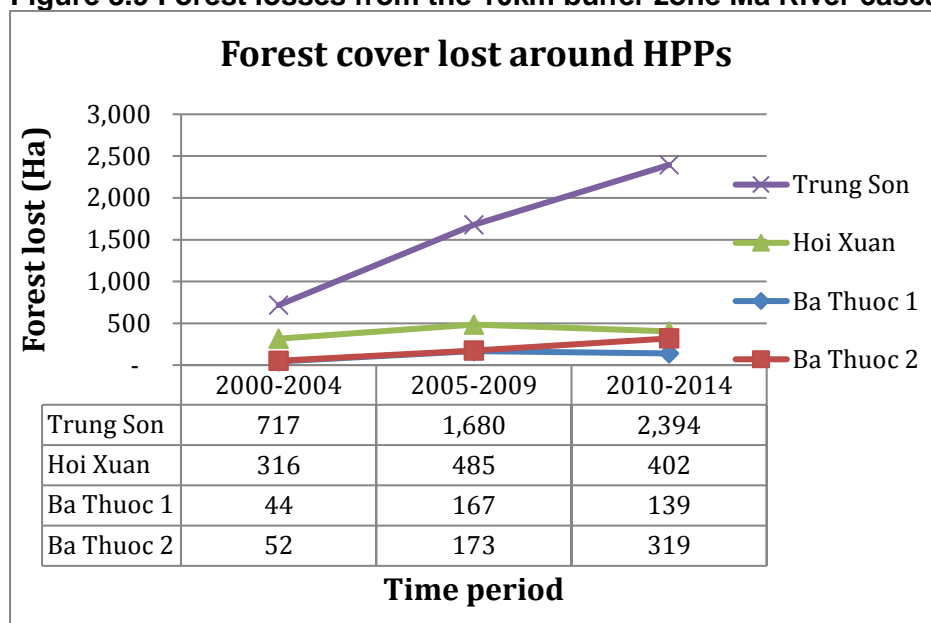
The following Figure 3.8 of the Ma river HPP cascade shows the deforestation hotspot impact following the construction of the hydropower schemes along the river, the map shows clusters of deforestation hotspots around and near to the construction sites and on the edges of and even inside the nature reserves which will probably lead to future degradation of the local forest cover and nature reserve forest. The map and graph Figure 3.9 below also shows the relatively limited area of deforestation, however the clusters of hotspots suggest that degradation of the forest in those areas will continue and lead to further forest loss particularly from increased forest exploitation and or conversion of the forest to land for Acacia plantations which are beginning to feature as a land use, or cassava already an important local cash crop.

Figure 3.8 Possible impacts from a cascade of four HPPs on the Ma River currently under construction in Thanh Hoa Province



use of OMPs and in particular for SUF MBs facing infrastructure investments close to or inside the SUF”; quote from the World Bank FSDP GEF ICR March 2013.

Figure 3.9 Forest losses from the 10km buffer zone Ma River cascade (from map above)



Improvements to the design and construction implementation process include the need for more realistic and longer term planning for social-economic issues and land use planning (and particularly how to deal with the expected (and realised) influx of economic followers) improvements to the resourcing, independence and the transparency of the management of social and environmental management mitigation plans and consistent donor policy on best practices on and making best of local planning and management processes. The environmental impact assessment of HPPs and particularly cascades are challenging, however, the lack of consistent approach and the missed opportunity to integrated the Operational Management Plans (OMP) for the SUFs with the various Environmental Management Plan (EMPs) and the lack of a cumulative impact assessment would be viewed as a clear oversights by most observers.

In immediate practical terms for the ER-P, where the program works with SUFs and PFMBs the management planning process of forest management plans and OMPs will include assessments of the likelihood and direct potential impacts of any HPPs (and other infrastructure) in the vicinity of the MBs including assessments of potential forest lost and the inclusion of reforestation plans.

b) Transport infrastructure

Major roads built in the program area in the reference period include the HCMC Highway 14 and ribbon development has taken place along this road (and similarly for most other new roads), and the route went through areas of natural forest including some protected areas³⁷. Future highway development includes a number of four lane Express Ways including: Thanh Hoa to Vinh (underway 170km); Dong Ha to Lao Bao (55km) and eventually Hanoi to Da Nang (approximately 368km total length). An important relatively new impact has been the construction of new border access roads; while these are only small feeder type roads they tend to be put through some of the best remaining forest and close to the border with Lao.

³⁷ The impact of HW14 on Cuc Phuong NP, although initially relatively minor in terms of actual direct forest, loss, was to isolate one small part, however, over time further deforestation and forest degradation has taken place as a direct result of radically improved opportunities for economic activities along the road including additional feeder roads, restaurants, improved access to markets leading to more cultivation, and the arrival of economic migrants etc.

c) Rapid urbanisation

Rapid population growth and expanding urbanisation has been a feature in many areas of Viet Nam including the NCC and for this region has included the designation and development of some major special economic zones³⁸, however, these are normally located on the coast and based around the development of deep water ports.

3.2.6 *Drivers of forest degradation*

The main drivers of degradation are a combination of legal and illegal logging often coupled with shifting cultivation and low-key small scale but continual encroachment into forest areas with a view to convert the forest to some form of agriculture and this has been a serious problem for SUFs³⁹ PFMBs, areas of protection forest for many years. This type forest degradation is often difficult to spot particularly if communities are located inside the SUF (or PFMB) as it can take place some distance inside a forest or on the leeward side of a hill, and can be difficult to resolve as a household (and even communities) will often claim lack of boundary markers, a lack of an agreed boundary, increasing land pressures due to economic migrants, resettlement, food security problems, lack FPD or forest ranger patrols, re-planting poor regrowth protection forest with a plantation (so no net forest loss) etc.

Often a negotiated outcome is that the community is allowed to harvest the crops already planted and then must withdraw or if the encroachment is more widespread part of the SUF is excised for the local community and many SUFs have constantly had to adjust and then re-adjust the boundaries or in the case of more general protection forest as long as the forest cover is maintained the issue is overlooked.

Localised harvest of timber, NTFPs and firewood from natural forests for household uses, in addition to illegal sale, are an existing and future driver of forest degradation, which needs to be monitored closely. An important factor in illegal logging is the willingness of local communities to engage in the protection of natural forest (protection and production forest) and to engage in forest planting without improvements in the arrangements for forest land tenure. Currently in many natural forest (i.e. state owned and managed forest under the management of SFCs or Protection Forest Management Boards and SUF Management Boards) the forest and NTFP resources is looked upon as “free goods” and a particular, but growing problem for many communities who are dependent on the forest is influx of “outsiders” who come to an area and undertake illegal logging and mass collection of NTFPs, for the Chinese market. Many forest dependent communities would like to see some form of legal right use the forest and in return they are prepared to work more closely with the Management Boards and work to protect the forest they are dependent on.

The solutions to these problems tend to be longer term and include forest land allocation along the boundaries, developing collaborative forest management approaches to improve local forest understanding of sustainable forest use and local use rights to provide more local “ownership” of the forest and carefully orientated livelihood improvement activities.

Logging of plantations is not looked upon as a driver of deforestation or forest degradation as after the plantations are harvested they, are normally rapidly replanted by landowners (companies or households) to meet the market demands for domestic and foreign wood chip and timber.

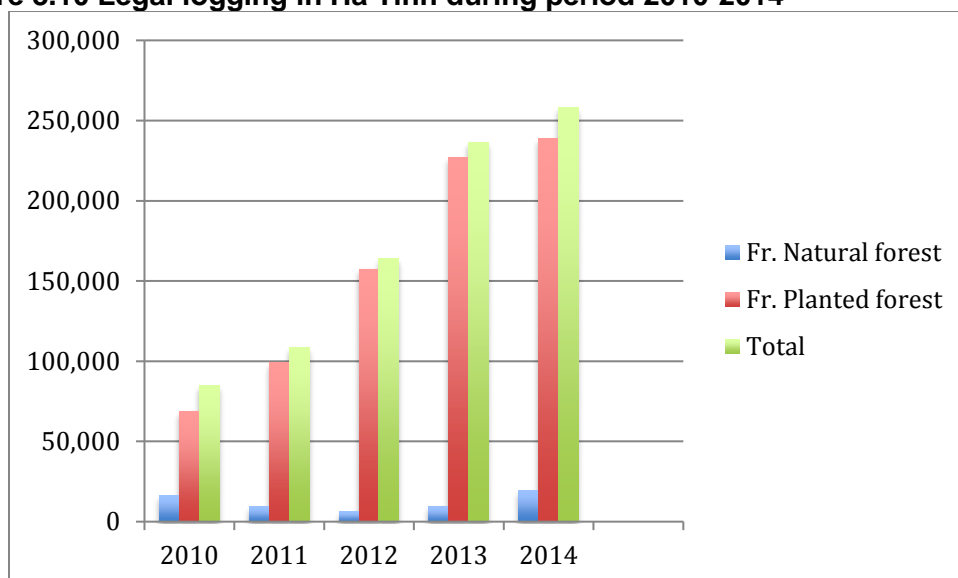
³⁸ There are six known economic zones the largest and most important are ports located on the coast and include Nghi Son, Thanh Hoa 160,000 ha, South-East Nghe An-Nghe An 18,826 ha, Vung Ang-Ha Tinh, 22,781ha, Hon La Quang Binh 10,000ha, Chan May-Lang Co- TT Hue 27, 108ha; Quang Tri My Thuy deep water port the Government added Quang Tri's southeast ocean economic zone to the Master Plan on Vietnam's coastal economic zones in 2020. The ocean economic zone expects to cover a total area of 237.71 sq. km.

³⁹ The VCF Conservation Needs Assessment reports, which include threat analysis and METT reports and social assessment reports from 2007 to 2013 and most identify encroachment as a serious priority issue.

a) Unsustainable legal logging

The unsustainable timber harvest in the region is conducted by commercial legal SFCs or as a response to infrastructure projects.

Figure 3.10 Legal logging in Ha Tinh during period 2010-2014



Source: Ha Tinh Statistical Year book 2014

To restore natural forest quality, 2014 saw the introduction of a logging ban on natural production forests and aimed to cease all extraction from natural production forests that are not certified to an international SFM standard, and couple this with an increase in supervision of logging of natural forest by households and individuals who manage the contracted forest. The households and individuals are only allowed to cut timber for domestic use and not for sale. In the ER-PA only Long Dai SFC in Quang Binh⁴⁰ is eligible to log natural forest (Trung Son is a “sub-SFC” to Long Dai SFC).

b) Unsustainable illegal logging

Illegal organized logging operations are known to occur in SUFs and PFMBs in the ER-P region but are consistently difficult to identify and halt and will often rely on local Kinh and ethnic minority households to undertake the work in the forest, in addition village households will carry out logging for traditional house construction and improvement, however, sometimes permission is granted for this activity. Data on the number of unsustainable legal logging in Ha Tinh, for example, has fluctuated for logging from natural forest and rapidly increased for logging from plantation as shown in Figure 3.10 above. The data on the number of Forest Protection and Development Law violations has decreased markedly during the period 2007 to Q1/2014 as shown in the Figure 3.11 below.

⁴⁰ Decision No. 2242/QĐ-TTg of 11 Dec. 2014.

Figure 3.11 Yearly total number of forest law violations⁴¹ (2007 to Q1 of 2014) for the ER-P region



Sources: Extracted from FPD website <http://www.kiemlam.org.vn/Desktop.aspx/List/Hanh-vi-vi-pham-Luat-BV-va-PT-rung/>.

The ban on legal timber harvest has most probably created conditions increased illegal logging as it has proved difficult (often due to funding constraints) to strengthen forest protection and law enforcement measures. Localised harvest of timber, NTFPs and firewood from natural forests for household uses, in addition to illegal sale, are an existing and future driver of forest degradation, which requires close and consistent provincial monitoring.

An important factor in illegal logging is the willingness or otherwise of local communities to engage in the protection of natural forest (protection and production forest) and to engage in forest planting without improvements in the arrangements for forest land tenure a number of different models and combinations have been tried including various types of forest protection contracts, village forest protection and development funds, including village protection patrols with collaborative management approaches, an important factor has been to try to improve the level of local involvement and ownership.

Currently in many natural forests (i.e. state owned and managed forest under the management of SFCs, PFMBs and SUFMBs) the forest and NTFP resources are looked upon as “free goods” and a particular, but growing, problem for many communities who are dependent on the forest, is the influx of “outsiders” who come to an area and undertake illegal logging and mass collection of NTFPs, particularly medicinal herbs and orchids etc. for the Chinese market. Many forest dependent communities would like to see a form of legal right of use for what they perceive as their forest and in return they are prepared to work more closely with the PFMB and SUF MBs and work to protect the forest they are dependent on⁴². With the successful examples from previous and on-going projects and programs⁴³, including within the region, the possibility of a consistent medium-long term (5 years+) approach across six closely linked provinces, the ER-P would provide an ideal opportunity together with the proposed improvements to the PFMS system (and MRV) to consistently apply the approaches across six provinces.

In previous and even on-going projects, a problem has been that the “project approach” is a limited intervention only, for example, in a limited area that could be the core zone or around the buffer zone of one SUF, or an area of high value conservation forest, and typically only for a three year period

⁴¹ These include: forest encroachment including shifting cultivation, forest product harvesting violation of forest fire regulations, numbers of forest fires, violations of forest land use, violation of wildlife protection regulations, forest product trade and transportation, forest product processing and other violations.

⁴² Example of pilot Decision 126 implemented in several SUFs and recent KfW projects.

⁴³ The larger project examples that have include elements of community based forest protection include the WB’s FSDP, various KfW projects, WWF Carbie and the ADB’s BCC project, in addition there are a number of small NGO funded projects and programs that also include or have included community orientated sustainable forest protection and management with support from international NGOs including WWF, BirdLife International, SNV, RECOFTC, etc.

(sometimes extended) and not across a contiguous region where all MBs and significant forest areas as would be included as is the case with the ER-P. Coupled with the defined limited area a project approach, typically a project will only have one owner/ implementer, which may or may not be the significant implementer for the sector, so often an additional challenge is that the project does not have the full commitment and accountability of the provincial departments and there is poor interaction between the various departments.

The challenges are obviously great, but all six provinces have established a multi-sector Provincial REDD+ Steering Committee, and the PRAPs have all consistently supported and included a multi-sector and stakeholder approach for the design and investment for improved forest protection, forest land allocation and focused support for working with village communities in forested areas.

The following Figure 3.12 shows the importance of the protected areas for the conservation of remaining evergreen broadleaf forest and the adjacent forest areas where many forest dependent communities live.

Figure 3.12 Deforestation and degradation during the reference period



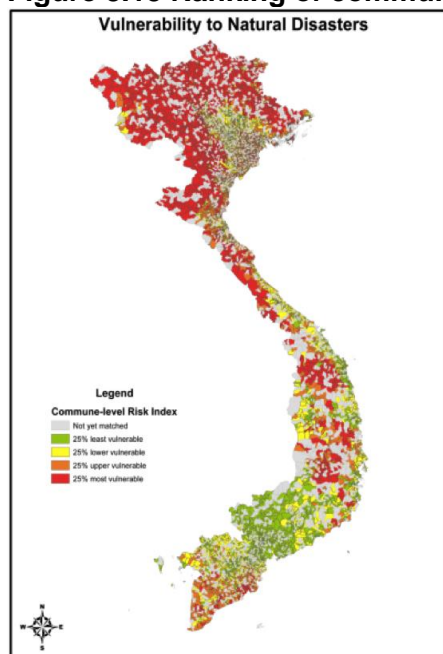
3.2.7 *Socio-economic drivers of deforestation and degradation*

- Forestlands are mostly designated to be on degraded land with poor soil conditions, (land with more fertile soils are reserved for agricultural production), this can result in low productivity of plantations;
- Forestland areas is normally located in remote areas, with difficult access which can result in lower prices of forest products;
- Poor households can face shortage of capital and difficulties to access credit resulting low levels of investment in any type of plantation forestry;
- Limited alternative income opportunities –, although rural per capita incomes have increased in recent years, the NCC region remains one of the lowest incomes per capita areas of Viet Nam – VND 900,000/month (USD 43/month).⁴⁴
- Spontaneous economic migration can be considerable but localised problem in many areas and include: (i) large numbers of economic followers arriving at large construction sites, for example, even at the medium scale Trung Son hydropower project in Thanh Hoa, that project anticipated (and realised) at least 2-3,000 economic followers into a relatively remote rural setting with very basic services; and (ii) general job and land seeking movement from rural to semi-urban areas.

3.2.8 *Natural drivers – hazard mapping*

The NCC region is the most typhoon prone region in Viet Nam. Without implementing climate change adaptation measures, the expected sea level rises by 100cm, more than 2.5% of the area of central coastal provinces may be at risk of being inundated, directly affecting nearly 9% of population⁴⁵. Figure 3.13 below shows ranking of communities by vulnerability to disasters.

Figure 3.13 Ranking of communes by vulnerability to disasters



Source: Lê Đặng Trung, Indochina Research and Consulting June 2012

⁴⁴ The lowest per capita incomes being in the Northwest region (VND 740,000/month or USD 35/month), and highest in the Southeast region (VND 2,610,000 or USD 103/month) - according to the nationwide Viet Nam Household Living Standard Survey (VHLSS) 2012 of the General Department of Statistics (GSO).

⁴⁵ Intended nationally determined contribution of Viet Nam, 2015.

3.3 *Summary of the program interventions and the interventions included in the PRAPs*

The SESA needs to evaluate the two sets of potential interventions: 1) those that are included in the PRAPs which are quite broad; and 2) the interventions included in the ER-PD which although based on the findings of the PRAPs are designed with more emphasis on given to REDD+ economics. The overall approach is achieved through three components:

Component 1 Province level cross cutting activities and investments: Component 1 relates to institutional and implementation costs and includes the investment readiness packages for the implementation entities, as well as other investment that were budgeted in the PRAPs, but are not attributable to land based activities (planning REDD+ Needs Assessment, Social Screening Report and management and business plans in PFMBs, SUF MBs and SFCs) and support actions for the Provincial REDD+ Steering Committee.

Component 2 Reducing deforestation/ forest degradation: Component 2 includes land based initiatives and linked to the 1 ha models and the implementing entity models - Improved Forest Protection, Improved land use planning; Natural Regeneration linked to Emission Reductions, and Sustainable Forest Management, (with some potential for Community Forest Management based on cooperative approaches in some provinces). Activities focus on work between local forest-dependent communities that have been identified as hotspots for deforestation and degradation, forest management entities (PFMBs, SUFMBs FSCs), district and local commune authorities and mass organizations via the processes embedded in Adaptive Collaborative Management Approaches. This will be linked to poverty reduction interventions targeted at the poorest and most vulnerable households in targeted forest-dependent communities.

Component 3 Forest carbon stock enhancement: Component 3 includes land based initiatives linked to the 1 ha models and the implementing entity models - planting mixed Acacia and native species (including offsetting of forest lost to infrastructure) PFMBs, SFC and smallholders; Transformation of existing plantations (long rotations and large timber) work with SFC, PFMBs, smallholders; Natural regeneration and enrichment including i) silviculture techniques, work with all stakeholders; and ii) enhancement planting work with PFMBs and SUF MB.

The six PRAPs were developed for each of the six provinces during the period of October 2015 to May 2016. Local consultant teams worked together with provincial DARDs to identify key drivers of deforestation and forest degradation, update all forest-related data, and make detailed five year plans. The PRAPs may be understood as fairly broad forest sector plans although some of them have also considered livelihood support measures for local communities. The PRAPs will continue a process of adjustment throughout 2016.

Another challenge will be to mobilise adequate funds to carry out the activities foreseen in some of the PRAPs, for example, in the draft PRAP for Ha Tinh, the planners have included that a significant part of the funding for forest investment is to be raised from local communities. The PRAPs have activities related to and as summarized in the following Table 3.10 and include:

- Forest Land Allocation;
- Forest Planting and Management;
- Forest-Related Regulations;
- Forest-Related Capacity Building, Awareness Creation and Funding;
- Plantation Product Marketing;
- PFES and Forest Protection Contracts; and

- Livelihood and Living Conditions Improvement.

The ER-PD supports most of these approach and includes eight different economics models and the expected impacts and mitigations of theses are summarised in Table 3.11.

The Ha Tinh PRAP (UN-REDD Programme PRAP) is unique in that it includes contributions from local communities towards, considering that many of the local communities living close to forest suffer from higher rates of poverty than the rest of the province, this concept of “community contribution” should certainly be considered very carefully for activities that may not necessarily bring them a major benefit or for example when benefits are delayed.

Table 3.10 Major activities identified in the PRAPs

Main activities in the PRAPs	Main likely “beneficiary” and/or who involved	Remark	Socio-economic		Environmental	
			Potential impact	Mitigation	Potential impact	Mitigation
Forest Land						
Forest Land Allocation	Households and much lesser extent, communities and forest protection groups	Most provinces include this as a major activity, but progress tends to be sporadic and extremely slow. The established processes need to be followed. Thanh Hoa suggested to allocate forest protection and SUF in vulnerable areas as well as areas managed by CPC to local communities.	Social aspects can be quite vary with the circumstances of the community main potential issue related to exclusion and proper procedures not being followed leading to disputes and non-interest in the FLA; Possible access to forest resources issues	There are grievance mechanisms under the Land Law, Mediation Law and through the FGRM and ESMF	If vulnerable areas of PF and SUF allocated to communities, forest loss and consequently soil erosion, ... might happen depending on community capacity, accessibility and log the quality.	Mitigation may be required on a case by case basis
Forest Planting and Management						
Sustainable Forest Management	Mainly large forest owners, and much lesser extent, households – involved in collaborative management approaches	Most PRAPs focus on large forest owners	Possible access to forest resources issues	There are grievance mechanisms under the Land Law, Mediation Law and through the FGRM and ESMF	None expected	
Improved Forest Plantation, including smallholder scale	Eventually households.	Model-oriented; smallholder model - critical to have a LURC	Possible access to forest resources issues;	Mediation Law and through the FGRM and ESMF	Possible loss of remnant natural forest	Awareness raising improved land use planning
Develop and intensify “large timber” production forests	Mainly large forest owners, and lesser extent, households	All provinces e.g. Quang Binh; some emphasise on additional goal of FSC. Model-oriented; smallholder model - critical to have a LURC	Possible access to forest resources issues;	Mediation Law and through the FGRM and ESMF	Possible loss of remnant natural forest, possible loss of biodiversity	Awareness raising improved land use planning
Forest “regrowth” with enrichment planting	Large forest owners, households, infrastructure projects		Most provinces; emphasis on native tree species.	Mediation Law and through the FGRM and ESMF	No negative impacts expected	

Main activities in the PRAPs	Main likely “beneficiary” and/or who involved	Remark	Socio-economic		Environmental	
			Potential impact	Mitigation	Potential impact	Mitigation
Afforestation	Large forest owners		Possible access to forest resources issues	Mediation Law and through the FGRM and ESMF	Possible loss of remnant natural forest	Awareness raising improved land use planning
Plant Protection Forest	Unspecified, expect PFMB and contracted hhs		Possible access to forest resources issues	Mediation Law and through the FGRM and ESMF	Possible loss of remnant natural forest	Awareness raising improved land use planning
NTFP development and replication including medicinal plants	Households (eventually)	Models included in most PRAPs e.g. Thanh Hoa	None expected		None expected	
Maintain and rehabilitate natural forest (natural regrowth)	Large forest owners SUFs and PFMBs, (hhs already allocated w/ natural forest)	All PRAPs; combined with afforestation as suggested in TH and NA	None expected		None expected	
Establish or Upgrade Nurseries	Unspecified; large forest owners likely	Three provinces; would include native tree species	None expected		Possible loss of remnant natural forest	Careful land use planning
Establish bio-fuel plantations/ plants	Unspecified; large forest owners and/or state-owned enterprises, but could include households	One province	Possible access to forest resources issues	Mediation Law and through the FGRM and ESMF	Possible loss of remnant natural forest	Awareness raising improved land use planning
Assess/Survey forest biodiversity	DARD	Two provinces	None		None	
Forest Related Regulations						
Improved coordination in implementation of regulations	Level not specified assumed at grassroots level. Coordination with neighbouring provinces to Lao	For example Quang Binh; Ha Tinh, capacity building for FPD	Possible access to forest resources issues	Mediation Law and through the FGRM and ESMF	Possible loss or reduction of access to forest land	Collaborative management approaches with hhs
Review Planning and Land Use Planning	DARD, Sub-FPD and DPCs; reviewing projects and programs (beneficiaries from those projects)	For example Nghe An plans for forest conversion	Possible access to forest resources issues	Mediation Law and through the FGRM and ESMF	Possible loss of remnant natural forest and/ or loss of access	Collaborative management approaches with hhs
Review Forest	DARD, Sub-FPD and		Possible access to	Mediation Law and	Possible loss of	

Main activities in the PRAPs	Main likely “beneficiary” and/or who involved	Remark	Socio-economic		Environmental	
			Potential impact	Mitigation	Potential impact	Mitigation
Protection and Development Plan	DPCs		forest resources issues	through the FGRM and ESMF	remnant natural forest	
Review Three Forest Types (including demarcation)	DARD, Sub-FPD and DPCs	For example Thanh Hoa, Quang Tri and TT Hue	Possible access to forest resources issues	Mediation Law and through the FGRM and ESMF	Possible loss of remnant natural forest	
Develop Forest Insurance for large timber plantations	Unspecified expect SFCs	For example Quang Binh	None		None expected	
Forest Related Capacity Building, Awareness Creation, and Funding		Hydropower reservoirs flooding areas (Thanh Hoa)				
Awareness Creation on need to protect forests	Directed at households, communities.	Most provinces.	None		None expected	
Capacity Building for Forest Protection	For all concerned		Possible access to forest resources issues	Mediation Law and through the FGRM and ESMF	None expected	
Equipping forest protection patrollers	Local rangers and village forest protection groups		Possible access to forest resources issues	Mediation Law and through the FGRM and ESMF	None expected	
Improving forest monitoring, including training on same	DARD, forest rangers	Includes establishment of Forest Management Information System-one province	Possible access to forest resources issues	Mediation Law and through the FGRM and ESMF	None expected	
Awareness raising on PRAP and on Sustainable Forest Management	For all relevant government agencies first.		None expected		None expected	
Strengthen Forest Protection Boards	Unspecified as to which level.		Possible access to forest resources issues	Mediation Law and through the FGRM and ESMF	None expected	
Funding for natural forest management	For large forest owners		None expected		None expected	
Funding for “Forest Protection	For government organisations and large		Possible access to forest resources issues	Mediation Law and through the FGRM	None expected	

Main activities in the PRAPs	Main likely “beneficiary” and/or who involved	Remark	Socio-economic		Environmental	
			Potential impact	Mitigation	Potential impact	Mitigation
and Development”	forest owners			and ESMF		
Timber Plantation Marketing						
Plantation wood value chain improvement	Presume for state-owned enterprises		None expected		None expected	
Agro-Forestry economic development	Presumably aimed at households, but could be SFCs				Possible loss of remnant natural forest	
PFES and Forest Protection Contracts						
Promote PFES	Unspecified, assume that eventually for households to benefit		None expected		None expected	
Forest Protection Contracts	SUFs and local people Not specified		None expected		None expected	
Livelihood and Living Conditions Improvement (not necessarily forest-related)						
Agricultural Credit Funds	Households		None expected		None expected	
Livestock Support	Households	Models, but not specified for what type of livestock.	Possible increase in exposure to some livestock diseases	Awareness raising and training; reliable source of livestock	Possible increase in pressure on grazing areas	Can introduce livelihood models to support grazing
Community Tourism	Households					
Fish Cages	Households					
Fruit Tree Intensification	Households		None expected		Possible loss of remnant natural forest	Awareness raising and improved land use planning
Improved woodstoves and Biogas Fuel Use	Households, presumably women.		None expected		None expected	
Subsidise Rice	For poor households planting forest.		None expected		None expected	

Table 3.11 Main ER-Program interventions

ER-P intervention to address drivers and enhance carbon stocks (ha)	Drivers addressed	Socio-economic		Environmental	
		Potential impact	Mitigation	Potential impact	Mitigation
Model 1. Forest protection of existing natural forest through contracts; around SUFs, PFMBs, and SFC <hr/> Activities to implement the model include: 1.Improvements to forest governance and would done with attention to RNA and SSR and setting up the collaborative management approach. 2. Village forest patrolling and boundary marking/ participatory approaches for making the FPCs to help stop curb encroachment	Encroachment, agricultural expansion; illegal logging	Possible exclusion and potential for gender exclusion issues	Socio-economic screening; collaborative management helps resolve any boundary issues and ensure access to forest; helps resolve the potential exclusion and gender issues	Positive	None expected
Model 2. Natural assisted regeneration of medium quality forest / avoiding degradation (no planting); Located mainly in SUFs, i.e. normally uninhabited <hr/> Activities to implement the model include: 1.Improvements to forest governance and would done with attention to RNA and SSR and setting up the collaborative management approach. 2. Updates to the management plans. 3. Village forest patrolling and boundary marking/ participatory approaches for marking areas of the regeneration i.e. to stop/ curb encroachment	Encroachment, agricultural expansion; illegal logging	Possible gender and poverty issues related to access to forest; Possible change or impact on livelihood issues:	Socio-economic screening; collaborative management helps resolve any boundary issues and ensure access to forest; helps resolve the potential exclusion, gender and livelihood issues	Possible initial minor habitat damage; general longer term benefits due to habitat improvements leading to improved biodiversity	None expected
Model 3. Natural regeneration and enrichment planting of poor natural forest. Located mainly in SUFs, i.e. normally uninhabited <hr/> Activities to implement the model include: 1. Improvements to forest governance and would done with attention to RNA and SSR and setting up the collaborative management approach. 2. Updates to the management plans. 3. Village forest patrolling and boundary marking/ participatory approaches for marking areas of the planting and regeneration i.e. to stop/ curb	Encroachment, agricultural expansion; illegal logging	Possible gender and poverty issues related to access to forest; Livelihood issues	Socio-economic screening; collaborative management helps resolve any boundary issues and ensure access to forest	Possible initial minor habitat damage; general longer term benefits due to habitat improvements leading to improved biodiversity; potential for short term erosion if area too exposed; Possible exotic species planted in	None expected; Should plant native species in SUFs

ER-P intervention to address drivers and enhance carbon stocks (ha)	Drivers addressed	Socio-economic		Environmental	
		Potential impact	Mitigation	Potential impact	Mitigation
encroachment				SUFs	
Model 6,7. Transformation of Acacia plantation Activities to implement the model include: 1.Improvements to forest governance and would done with attention to RNA and SSR and setting up the collaborative management approach. 2. Development of management plan and area suitable for transformation. 3. Smallholder plantation activities	1) Reduction in encroachment; 2) reduction in agricultural expansion from i) smallholders; ii) economically successful models should reduce the pressures to convert to rubber; 3) should also illegal logging;	Possible boundary demarcation issues; Limited impact expected as related to area already planted to plantations mainly Acacia;	Socio-economic screening; collaborative management helps to help resolve any boundary issues and ensure access to forest	None expected as area already planted to Acacia; but possible loss of remnant natural forest	Careful plantation design to avoid loss of natural forest None expected
Models 4,5,8. Afforestation Reforestation with pure Acacia and mixed species and offsetting of infrastructure and development Activities to implement the model include: 1.Improvements to forest governance and would done with attention to RNA and SSR and setting up the collaborative management approach. 2. Development of management plan and area suitable for transformation. 3. Identification of possible areas for offsetting long rotation mixed Acacia and native species; 4. Smallholder plantation activities Note that smallholder participation in Model 8 (Afforestation/ Reforestation - <i>Melia azedarach</i> 8 year rotation) is only in TTHue	1) Reduction in encroachment; 2) reduction in agricultural expansion from i) smallholders; ii) economically successful models should reduce the pressures to convert to rubber; 3) should also illegal logging; 4. Offsetting for infrastructure drivers	1) None expected in areas already having plantations; 2) Offsetting of infrastructure in theory could involve some acquisition of land; however, most offsetting would be expected to occur in a SUFs or PFMBs as watershed protection rehabilitation of poor forest in high risk areas and would generally be expected to be supported by local communities Unlikely event that other economic activities – people	Socio-economic screening; collaborative management helps to help resolve any boundary issues, and ensure access to forest. In the unlikely event of acquisition of land people may need to be compensated i.e. resettlement plan	Possible loss of remnant natural forest;	For offsetting careful plantation design to avoid loss of natural forest; careful design of any new plantations

ER-P intervention to address drivers and enhance carbon stocks (ha)	Drivers addressed	Socio-economic		Environmental	
		Potential impact	Mitigation	Potential impact	Mitigation
		may need to be compensated			
Institutional and capacity building activities This will include: 1) improved forest governance, and capacity building for SUFs, PFMBs and SFCs; 2) Capacity building support for the Provincial REDD+ Steering committee to improve LUP and cross sectoral planning;	1) Reduction in encroachment; 2) reduction in agricultural expansion from i) smallholders; ii) reduce the pressures to convert to rubber; 3) contributes to stopping illegal logging; 4. Contributes to improvements in local LUP, conversion of forest policy	Potential for reduced access to forest and NTFP resources to forest dependent communities through improvements to forest governance	Include a social screening report that requires the forest management entity to engage local communities; Reviews the potential impacts on the communities and suggests mitigations including livelihood support to contribute to reducing forest dependency; Collaborative management helps resolve any boundary issues and ensure access to forest Formalise access to agreed forest and NTFP resources, i.e. would not include wildlife hunting or mining; Introduce collaborative management approaches to improve the sustainability and management of forest resources	1.Improved forest governance should contribute to protection and maintenance of biodiversity; 2. Improved LUP; 3.Possible loss of remnant natural forest	None expected; careful plantation design is required to avoid loss of natural forest
Activities to implement capacity building include: 1. Training on RNA and SSR and setting up the collaborative management approach. 2. Training on Improvements/ updating of management plans in SUF; 3. Training on Improvements/ updating of management plans in PFMBs and SFCs including forest certification (FSC or similar training); 4. Training on forest governance; 5. Rationalisation of PFMBs and SFCs land holding, i.e. excise heavily encroached land; 6. Participating SUFs, PFMBs and SFCs; 7. Training/ updating on smallholder plantation models i.e. focus on long rotations and mixed species; 8. MMR/MRV PFMS; 9. Coordination on change of custody, transport of forest goods with police, FPD etc.					
Livelihood support This includes livelihood support models that would be targeted for forest dependent communities and designed to contribute to reducing the dependence on forest resources and forest encroachment	1) Reduction in encroachment; 2) reduction in agricultural expansion from smallholders; 3) should also contribute to reduction in illegal logging;	Possible gender and poverty issues; Selection of the livelihood support should be targeted to contribute to reduce forest dependency; Possible access to forest;	Include a social screening report that reviews the potential impacts on the communities and suggests mitigations and helps identify livelihood support models that meet the need of the communities; Collaborative management helps resolve any boundary	Limited possibility of negative environmental impacts if models chosen by communities and forest management entities are not forest or biodiversity conservation	Identification and selection of activities that can be supported by the Program that are not likely to have detrimental environmental impacts
Activities to implement the model include: 1. RNA and SSR and setting up the collaborative management approach identification of villages					

ER-P intervention to address drivers and enhance carbon stocks (ha)	Drivers addressed	Socio-economic		Environmental	
		Potential impact	Mitigation	Potential impact	Mitigation
involved in forest encroachment expansion of agriculture etc. 2. Identification of conservation orientated livelihood models designed not to impact on natural forest in SUFs, PFMBs and SFCs 3. Improvements/ updating of management plans in SUF, PFMBs and SFCs;			issues and ensure access to forest	supportive	
Carbon titles The type of carbon title has not been decided yet but could be attached to land, and conditions (or a covenant) could be attached to the land use which may place a restriction on the activities or access	n/a	This may restrict access (to land or change land use)	? either a payment in the BSM/BSP or similar; inclusion in the EMPF and Process Framework	None expected	Inclusion in the EMPF and Process Framework
The draft revised NRAP There is a new draft National REDD+ Action Program currently being developed and this is expected be finalized next year. Once the NRAP Decision is issued by the Prime Minister, the national SESA Phase 2 /ESMF will be prepared/finalized, and as necessary, the ER-PD and the associated safeguard documents will be updated/supplemented with additional policies and measures and the resulting potential environmental/social impacts and mitigation measures and as part of the national SESA Phase 2.	Attempts to address all drivers particularly through improved land use planning	Unclear at this stage	Unclear at this stage	Unclear at this stage	Unclear at this stage
Plantation development and the protection of natural forests An environmental concern is the perceived risk of plantation development leading to the clearing of natural forests.				Risk is believed to be moderate and will be limited to a small area	The ER Program will work through the ACMA to ensure that plantation establishment follows SFM practices, and does not replace natural forests. This will include support for mapping of remaining forest areas, awareness and capacity building, linking plantation development to FSC certification, and tying benefit sharing to the protection of natural forests.

ER-P intervention to address drivers and enhance carbon stocks (ha)	Drivers addressed	Socio-economic		Environmental	
		Potential impact	Mitigation	Potential impact	Mitigation
					Codes-of-practice will contribute towards ensuring viable, sustainable and environmentally compatible plantation management among plantation owners, particularly when linked to FSC certification. The ER Program will build on the Environmental Protection Guidelines for Plantation Management that were developed as part of the EIA for the FSDP. These guidelines prescribe environmental impact management measures in nine main areas: site selection, species selection; management regime, plantation establishment; plantation tending; integrated pest control; fire prevention and control; access and harvesting; and monitoring and evaluation

3.4 Overview of the socio-economic conditions in the ER-P area

The six ER-P provinces present a varied set of socio-economic conditions. Nonetheless, the mountainous regions of the six provinces which will comprise the largest part of the ER-P area and have a number of general characteristics in common, although they do vary in detail. One of the early findings confirmed that there is an overlap between communes with higher forest cover (irrespective of areas of bare land) and communes with higher percentages of ethnic minority populations (See Table 3.12 below) and higher poverty rates.

Table 3.12 Summary of ethnic minority population, poverty and forest area by province and district

Admin Unit	Total area	Forest Area (ha)	% Forest Cover	Non_Forest Area (ha)	No. of households	No. of poor households	% Poor hhs	No. of EM households	No. of poor EM households
Ha Tinh	595,360	318,866	54	276,494	295,153	69,123		556	233
Cam Xuyen	63,444	30,858	49	32,587	37,720	9,741	26	5	2
Can Loc	30,051	5,799	19	24,252	31,685	6,501	21	15	7
Duc Tho	20,257	2,795	14	17,462	29,431	3,452	12	14	2
Ha Tinh	5,624	43	1	5,580	7,107	804	11	2	-
Hong Linh	6,032	1,297	22	4,734	1,103	146	13	-	-
Huong Khe	125,567	88,531	71	37,036	25,033	11,182	45	220	143
Huong Son	109,391	75,820	69	33,571	30,006	7,170	24	124	32
Ky Anh	103,162	55,538	54	47,624	46,807	13,246	28	41	15
Loc Ha	11,491	1,542	13	9,949	21,541	4,121	19	5	-
Nghi Xuan	21,808	3,598	16	18,210	23,183	3,917	17	12	5
Thach Ha	34,975	6,953	20	28,021	33,263	5,196	16	27	6
Vu Quang	63,560	46,092	73	17,467	8,274	3,647	44	91	21
Nghe An	1,645,038	762,291	46	882,747	633,825	141,968		95,398	55,464
Anh Son	59,922	27,634	46	32,287	26,286	6,125	23	1,696	907
Con Cuong	174,214	126,555	73	47,659	14,809	7,181	48	11,617	6,396
Dien Chau	30,432	5,561	18	24,871	67,755	11,728	17	84	15
Do Luong	35,324	8,524	24	26,800	47,120	6,878	15	69	10
Hung Nguyen	15,683	1,334	9	14,349	26,319	5,100	19	50	15
Ky Son	208,058	70,558	34	137,501	13,391	10,388	78	13,094	10,349
Nam Dan	29,251	6,504	22	22,746	37,115	4,818	13	33	7
Nghi Loc	34,784	8,199	24	26,585	44,930	6,932	15	58	10
Nghia Dan	61,232	14,587	24	46,645	30,656	6,358	21	8,376	3,357
Que Phong	187,947	131,615	70	56,332	13,241	7,327	55	12,269	7,112
Quy Chau	105,691	68,764	65	36,927	11,857	6,247	53	9,430	5,313
Quy Hop	94,208	34,512	37	59,696	26,322	7,884	30	14,575	5,870
Quynh Luu	61,169	12,393	20	48,775	79,053	11,285	14	613	343
Tan Ky	72,900	19,892	27	53,009	30,141	7,722	26	6,369	3,022
Thai Hoa	13,488	2,686	20	10,802	9,316	883	9	407	70
Thanh Chuong	112,206	60,419	54	51,787	54,022	12,814	24	2,466	2,127
Tuong Duong	280,377	149,441	53	130,936	15,234	10,746	71	14,061	10,530
Vinh	10,535	100	1	10,436	20,558	921	4	32	1
Yen Thanh	55,083	12,740	23	42,343	65,700	10,631	16	99	10
Quang Binh	796,940	567,050	71	229,890	181,165	47,381		4,389	3,855
Bo Trach	210,565	162,364	77	48,201	38,620	8,458	22	549	536
Dong Hoi	15,369	6,362	41	9,007	8,755	299	3	-	-
Le Thuy	139,535	96,135	69	43,400	33,495	6,640	20	1,106	996
Minh Hoa	139,024	104,010	75	35,014	9,940	6,715	68	1,867	1,612
Quang Ninh	119,232	89,532	75	29,700	22,557	4,986	22	714	562
Quang Trach	60,315	22,765	38	37,550	49,425	12,786	26	1	1
Tuyen Hoa	112,899	85,880	76	27,019	18,373	7,497	41	152	148

Table cont.

Admin Unit	Total area	Forest Area (ha)	% Forest Cover	Non_Forest Area (ha)	No. of households	No. of poor households	% Poor hhs	No. of EM households	No. of poor EM households
Quang Tri	458,449	238,241	52	220,208	107,850	23,525		13,428	7,328
Cam Lo	34,414	19,541	57	14,873	10,160	1,862	18	65	64
Da Krong	107,862	74,978	70	32,884	7,163	3,289	46	5,656	3,096
Gio Linh	47,260	16,100	34	31,160	15,071	3,076		458	267
Hai Lang	42,220	16,930	40	25,290	21,566	3,949	18	3	-
Huong Hoa	114,715	56,454	49	58,261	12,112	3,932	32	6,646	3,451
Quang Tri	7,422	4,437	60	2,985	1,029	92	9	1	-
Trieu Phong	35,340	15,782	45	19,558	22,792	4,340	19	3	-
Vinh Linh	61,935	31,718	51	30,217	17,957	2,985	17	596	450
Thanh Hoa	1,107,110	494,036	45	613,075	783,360	197,681		138,075	72,073
Ba Thuoc	77,699	47,120	61	30,579	23,955	12,075	50	20,520	11,163
Bim Son	6,348	1,223	19	5,125	2,073	212	10	3	-
Cam Thuy	42,395	14,095	33	28,300	24,477	6,655	27	13,594	4,912
Dong Son	10,691	194	2	10,497	27,374	5,374	20	39	3
Ha Trung	24,459	4,620	19	19,839	28,643	5,749	20	430	105
Hau Loc	13,839	1,075	8	12,764	41,180	6,656	16	51	17
Hoang Hoa	22,369	1,269	6	21,100	59,624	9,730	16	45	7
Lang Chanh	58,477	41,589	71	16,887	9,573	5,690	59	9,252	5,636
Muong Lat	81,196	43,651	54	37,546	6,648	4,532	68	6,482	4,515
Nga Son	14,780	365	2	14,415	35,431	8,269	23	32	6
Ngoc Lac	49,645	17,854	36	31,790	29,967	13,265	44	22,096	11,456
Nhu Thanh	59,829	23,302	39	36,527	19,398	7,287	38	8,129	4,402
Nhu Xuan	71,212	40,308	57	30,903	14,090	7,127	51	9,087	5,376
Nong Cong	28,467	2,440	9	26,027	44,552	8,889	20	126	30
Quan Hoa	98,155	75,334	77	22,821	9,599	5,069	53	9,179	5,012
Quan Son	92,654	72,400	78	20,254	7,373	3,743	51	6,981	3,685
Quang Xuong	22,833	261	1	22,572	65,362	12,523	19	72	9
Sam Son	1,701	266	16	1,435	2,386	367	15	3	-
Thach Thanh	55,813	19,445	35	36,368	31,354	9,923	32	16,145	7,145
Thanh Hoa	5,720	240	4	5,480	15,008	816	5	35	3
Thieu Hoa	17,454	134	1	17,320	46,785	9,511	20	46	12
Tho Xuan	29,841	1,618	5	28,223	51,307	9,428		1,678	822
Thuong Xuan	110,533	66,302	60	44,231	19,075	8,390	44	11,571	6,547
Tinh Gia	44,709	12,887	29	31,822	56,413	12,681	22	237	181
Trieu Son	28,926	3,036	10	25,890	51,093	12,147	24	1,442	766
Vinh Loc	15,699	1,917	12	13,782	21,623	4,939	23	347	148
Yen Dinh	21,665	1,090	5	20,575	38,997	6,634	17	453	115
Thua Thien Hue	504,940	305,371	60	199,569	149,661	20,192		10,233	3,206
A Luoi	125,273	97,406	78	27,867	8,710	2,552	29	7,387	2,455
Huong Thuy	45,551	30,567	67	14,985	10,319	860	8	1	-
Huong Tra	51,890	31,201	60	20,689	24,358	2,385	10	261	83
Nam Dong	64,872	52,038	80	12,833	4,556	641	14	2,302	524
Phong Dien	95,016	51,525	54	43,491	21,168	2,803	13	137	48
Phu Loc	71,371	38,921	55	32,450	27,727	3,864	14	142	94
Phu Vang	27,584	1,629	6	25,954	33,743	4,149	12	2	1
Quang Dien	16,258	1,695	10	14,563	19,080	2,938	15	1	1
Grand Total	5,107,838	2,685,854	53	2,421,984	#####	499,870	23	262,079	142,159

High poverty rates tied with cash poverty and vulnerable livelihoods with few alternatives in the remoter highland areas have several implications for local communities' participation in REDD+ activities and the type of activities that will be most suitable for them to participate in. Many ethnic minority groups still experience higher to much higher rates of poverty than the Kinh population.⁴⁶ This is also a reflection of the difficult nature of the areas as this is also true when Kinh families settle in mountainous areas. See Table 3.12, and Figure 3.17 below (a map showing the distribution of the ethnic minorities and poor households in REDD+ potential communes).

⁴⁶ When talking about "the poor" in Vietnam, most references in the provinces, districts and communes are to the income poverty levels established every five years, but poverty in a given commune is updated every year by the Ministry of Labour, Invalids and Social Affairs (MOLISA); these poverty lines are to assist local and regional authorities in their poverty targeting programs such as Program 30a and many others. World Bank reports on poverty in Vietnam always use consumption data as collected in regular household surveys by the GSO.

Table 3.13 Demographic data of communes surveyed: poor and near-poor households (88 communes)

Province (Communes with complete HH data in sample)	Total Population HHs	Poor HHs		Near-Poor HHs		Poor and Near-Poor
		No.	%	No.	%	%
Thanh Hoa (20)	19,938	5,822	29.2	2,855	14.3	43.5
Nghe An (25)	34,645	11,741	33.9	7,417	21.4	55.3
Ha Tinh (7)	10,019	706	7.0	622	6.2	13.3
Quang Binh (11)	11,794	3,071	26.0	2,204	18.7	44.7
Quang Tri (16)	12,558	3,814	30.4	1,377	10.9	41.3
TT Hue (12)	13,467	1,290	9.6	747	5.5	15.1
Total (88)	102,421	26,444	25.8	15,222	14.9	40.7

Table notes: Source: MDRI Quantitative Survey Data. Not all 102 CPCs were able to provide data as requested by the survey team; of 96 communes that did provide data, eight were incomplete and therefore omitted. All data refer to 2014. The “total population” refers to “permanently registered” HHs as it is not sure how “temporarily registered” HHs are considered for poverty calculations. No data is available as to EM versus Kinh poverty in the communes surveyed.

Another means by which to judge if a population is likely to be “poor” or not is to consider its food security. The MDRI survey questionnaire included a question on whether the household had suffered any “hungry period” within the past 12 months (also defined as having to reduce meals significantly). This is discussed further in Section 3.6 Livelihoods, 3.6.1, a) Food Security.

In Tuong Duong District (Nghe An Province), for example, the District Forest Protection officer informed the team that the district has some 80% forestland of its total area.⁴⁷ The ethnic minority population (Thai, Kho Mu, Hmong, O’du, Pong) comprises 90% of the total population (only 1,679 Kinh HHs among 17,246 total HHs). Some of the major commonalities are as follows:

- Higher to much higher rates of poverty than in lower lying communes and districts;
- When both ethnic minority and Kinh people live in the same mountainous areas, the poverty rate among the Kinh people tends to be lower than that of the ethnic minority people;⁴⁸
- Higher ethnic group populations (indeed, in many districts with higher forest cover the “minorities” may actually be the majority see Table 3.12 above);
- Social exclusion (lower levels of education, limited Kinh language skills), especially experienced by ethnic minority women;
- Lower market integration and disadvantaged in most agricultural and agro-forestry value chains with remoter areas facing lower prices for a limited number of products;
- Reliance on upland, rotational cultivation with limited amounts of flat areas for paddy or more intensive cultivation, EMs have a demand for paddy/ wet rice, but may lack technology and capital this is area dependent as it is difficult to open more land for paddy;
- Overall high dependence on land-based activities for livelihoods among EM communities (cropping, forestry, livestock), and continuing semi-subsistence farming systems;
- Major non-land-based income earning through unskilled labour for EM people;

⁴⁷ According to data received by the SESA Team from the Nghe An DARD, the three Program 30a districts of Tuong Duong, Ky Son and Que Phong have a total of 592,816 ha of forest land which adds up to 51% of Nghe An’s total forest land.

⁴⁸ This may be largely explained by the Kinh people’s greater off-farm income earning possibilities such as from shops and small businesses, trading, teaching, other government services, etc.

- Low capacity for investments, especially long term investments although credit is mainly available from VBSP (a section on access to credit is found at Section 3.6.1, d) Availability of credit);
- Variable land tenure security for both upland agricultural and forest land;
- Few viable alternatives to the combination of low yield upland annual cropping (rotational cropping) and reliance on forest products in highland areas as opposed to midland areas which include a greater opportunity for cash crops;
- Traditional and/or customary agricultural and forest management practices of the different ethnic groups, especially those related to communal land management practices, neither accepted nor promoted;
- Difficulties to benefit from allocated production forest land in remoter areas for various reasons (PLRs/quality of land allocated/markets)⁴⁹;
- Unresolved long term disputes between local communities and large, state-owned forest entities create greater uncertainties for local people and may deny them access to resources they consider crucial for their livelihoods; and
- Poorer ethnic minority households rely to a greater extent on forest products to supplement their incomes, and especially women may spend much time to gather such NTFPs, (a section on NTFPs is found at Section 3.6.1 f) Access to NTFPs).

As already discussed above the section on deforestation and degradation drivers mountainous regions are a major focus for infrastructure projects such as hydropower, road construction. While these projects bring economic development to the ER-P provinces, they also have social and environmental costs that negatively affect the lives and livelihoods of ethnic minority people. This is particularly true of hydropower. The highland agricultural areas are generally characterised by limitations related to soil suitability and capability and topography with flat land being quite scarce. Thus, when such land is lost to an investment project i.e. already scarce paddy is flooded by a reservoir or flood recession agriculture is no longer possible or safe, it may be virtually impossible to replace or appropriately compensate for.⁵⁰ Project-induced resettlement of villagers also causes disruption to their lives and livelihoods. Hydropower projects are especially evident in Thanh Hoa and Nghe An in the ER-P area. This issue is mentioned here because: 1) it has the potential to impact on people's ability to participate in REDD+, if they have already been negatively affected by an infrastructure project, they would then be even less in a position to manage further livelihood changes that may come about as a result of REDD+ activities; and 2) the deforestation and forest degradation associated with the infrastructure and general increased levels of economic activity due to the often large influx of followers has the potential to impact on the reference level.

Improved road networks will result in much improved market integration for the remoter highland areas, and it continue to be a priority in the mountainous regions under various government poverty relief Programs such as 135 and 30a.⁵¹ Various border security objectives have also spurred road construction. On the other hand, however, the improved road and communications networks also open

⁴⁹ Even with forest land tenure, people still do not necessarily have rights to the trees on the land except for those planted themselves on production (plantation, not natural) forest land.

⁵⁰ Other negative impact for local populations occurs during the construction phase of hydropower or other larger scale projects: the construction companies often import labour and there are also large numbers of economic followers from elsewhere who then also exploit forest resources around the construction site camps.

⁵¹ Program 135 was established in 1998 to implement government policies targeting communes with the most difficult living conditions, often without road access; much of the 135 Program spending has been dedicated to improving basic infrastructure, including roads, small scale irrigation, schools and health stations. Program 30a focuses on 64 designated poor districts in Vietnam, providing much of its funding for infrastructure improvement, but also other activities such as labour export and forest protection.

up forest areas to outsiders for exploitation, thus resulting in possible negative impacts: increased illegal logging for timber and wildlife hunting by outsiders (or by local people for outsiders), and in the case of valuable non-timber forest products (NTFPs), the increased possibility of unsustainable harvesting owing to higher market integration.

3.4.1 *Summary socio-economic conditions*

The socio-economic conditions presented in this section are based on the quantitative survey conducted by MDRI. In any case, as mentioned, the data were collected in 204 villages of 102 communes. This represents approximately 25 – 30% of the total communes included under the six PRAPs, and around 5 – 10% of the total number of villages. With the exception of Ha Tinh which has only a small EM population (see Tables 3.12 above and 14 below) shows that the communes surveyed have much higher EM populations in comparison with their presence in the respective provinces as a whole.

Table 3.14 Demographic data of communes surveyed: kinh and ethnic minority households (83 communes)

Province (Communes with complete HH data in sample)	Total population HHs	Ethnic minority population HHs		Kinh population HHs	
		No.	%	No.	%
Thanh Hoa (17)	18,930	14,176	74.9	4,754	25.2
Nghe An (24)	33,980	21,876	64.4	12,104	35.6
Ha Tinh (7)	10,311	483	4.7	9,828	95.3
Quang Binh (11)	11,896	2,572	21.6	9,324	78.4
Quang Tri (16)	10,827	8,479	78.3	2,348	21.7
TT Hue (12)	10,990	4,219	38.4	6,771	61.6
Total (83)	96,934	51,805	53.4	45,129	46.6

Table notes: Source: MDRI Quantitative Survey Data. These data should be seen as not exact, as they do not tally in all cases with the numbers of permanently registered HHs given in Table 3.12 above; there are difficulties for the CPCs to maintain different data sets so that they are all consistent; they are not official census data.

The general livelihood structure of the sample population is overwhelmingly land-based. Especially for the ethnic minority respondents, their land-based activities account for 53.3% of income without taking into account activities such as collecting wood and/or NTFPs for domestic use (see Tables 3.15 and 3.16 below). Most respondents also earn income from wages, but the bulk of this is expected to be agricultural or forest-related daily wages that do not necessarily account for many days of work per month. In this respect, wage income is also primarily related to land-based activities and not public or private services. In this respect, the Kinh are more likely to have service type employment.

Table 3.15 Major occupations (time spent in the last 12months) by ethnicity, poverty status and gender (n=7806 persons)

Most time consuming job in past 12 months	Wage employment (%)	Self-employment in agriculture (%)	Self-employment in forestry (%)	Self-employment in aquaculture (%)	Non-farm self employment (%)
All (n=13398)	18.7	67.2	7.5	0.6	6.0
Ethnicity of individual					
Kinh (n=3547)	23.5	60.6	5.4	0.7	9.8
Thai (n=3448)	15.0	71.5	9.7	0.7	3.1
Bru-Van Kieu (n=2328)	8.0	79.8	10.6	0.4	1.2
Muong (n=1163)	21.9	66.2	8.7	0.7	2.6
Ta Oi- Pa Co (n=1210)	17.4	74.2	4.4	0.2	3.8
Co Tu (n=507)	11.9	73.9	11.5	0.3	2.4
H' Mong (n=662)	1.9	91.9	2.7	0.0	3.5
Other EM (n=533)	11.0	72.7	14.8	0.0	1.5
Ethnicity (Kinh-EM)					
1. Kinh (n=3547)	23.5	60.6	5.4	0.7	9.8
2. EM (n=9851)	14.7	72.7	9.3	0.6	2.8
Status					
1. Poor (n=4239)	13.6	72.9	9.7	0.6	3.3
2. Near poor (n=2711)	13.9	74.3	7.2	0.3	4.3
3. Non-poor (n=6448)	23.4	61.1	6.6	0.8	8.1
Province name					
Ha Tinh (n=736)	21.1	66.4	5.4	0.2	6.9
Nghe An (n=3519)	15.0	74.3	5.0	0.4	5.3
Quang Binh (n=1601)	22.8	58.3	11.2	0.5	7.1
Quang Tri (n=2331)	15.2	75.4	2.8	0.1	6.5
Thanh Hoa (n=3236)	19.5	64.3	11.2	0.6	4.3
Thua Thien Hue (n=1975)	32.1	41.4	8.0	4.3	14.1
Gender of individual					
1. Male (n=6703)	25.8	59.1	9.3	0.8	4.9
2. Female (n=6695)	11.3	75.4	5.7	0.5	7.0

Table notes: Source: Adapted from MDRI Quantitative Survey Data. N=7,806 denotes the active labour force out of the total HH sample survey population of 13,398. The % given should be taken as an indication only of how this rural labour force spends its time. There is no implication that the most time-consuming activity contributes the most to HH cash income.

Regarding the most time consuming employment, Table 3.15 above shows that self-employment in agriculture is the most time consuming job for the majority of households (67.2%), followed by wage employment, forestry, nonfarm, and aquaculture self-employment. A higher proportion of individuals spending most of their time on nonfarm self-employment is recorded for the majority Kinh (9.8%), the non-poor (8.1%) and female respondents (7%), as compared to ethnic minorities (2.8%), the poor (3.3%), and male respondents (4.9%). Thua Thien Hue has the highest proportion of respondents whose most time consuming job is nonfarm self-employment. Both Quang Binh and Thanh Hoa have higher percentages of self-employment in forestry, as do Bru-Van Kieu and Co Tu ethnic groups. With regard to their employer, the majority of respondents (81.4%) reported that their most time consuming job is self-employed; notably, non-poor individuals are less likely to be self-employed than near poor and

poor, and have a greater tendency to work for individuals or households and state enterprises or organizations.

Table 3.16 Major sources of employment by ethnicity and poverty status

Employer (% employed by employer type)	Self-employed (%)	Collective (%)	Individuals, households (%)	Private enterprises (%)	State enterprises, organizations (%)	Foreign enterprises (%)	% of individuals working in SMEs
All (n=13398)	81.4	0.5	9.8	2.4	5.5	0.4	4.1
Ethnicity (Kinh-EM)							
1. Kinh (n=3547)	76.6	0.8	13.1	2.4	6.7	0.3	4.5
2. EM (n=9851)	85.3	0.3	7.0	2.4	4.4	0.5	3.8
Status							
1. Poor (n=4239)	86.4	0.1	9.5	2.1	1.6	0.2	2.7
2. Near poor (n=2711)	86.1	0.6	8.5	2.1	2.4	0.3	2.7
3. Non-poor (n=6448)	76.6	0.8	10.5	2.7	8.9	0.6	5.5

In terms of salary, on average each wageworker earned just under 19 million Vietnam Dong (VND) per annum, with considerable disparities between ethnic groups, economic conditions, provinces, and gender see Table 3.17 below. The lowest wage was reported for H' Mong, at 6.5 million VND, followed by Bru-Van Kieu, at 7.9 million VND, nearly three times less than the majority Kinh (22.3 million VND). The provinces with the highest average wage per worker are Ha Tinh and Thua Thien Hue.

Table 3.17 Household income unit: 000 VND/year

	Total income	Income per capita
All (n=3060)	47482.5	11614.5
Ethnicity of household head		
1. Kinh (n=948)	58902.8	15604.7
2. EM (n=2112)	35963.3	8165.3
Status		
1. Poor (n=921)	30084.8	7140.2
2. Near poor (n=615)	38826.0	9437.2
3. Non-poor (n=1524)	61106.6	15249.0
Province name		
Ha Tinh (n=210)	59557.5	17508.9
Thanh Hoa (n=750)	42894.7	10176.8

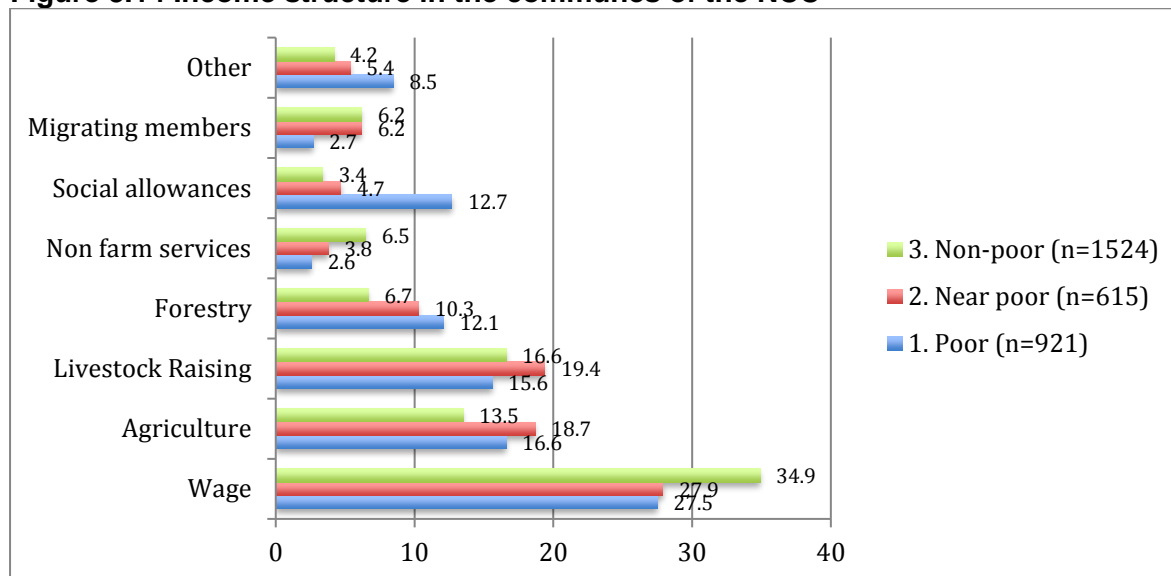
Looking at the income and income structure of groups in the ER-P areas shows the activities that these groups depend on, and illustrates their financial status relative to the rest of the country. Not surprisingly, at over 15 million VND per capita annual income, both the Kinh ethnic group and the non-poor group fare much better than their ethnic minority and poor/near poor counterparts. However, their income makes up just half of the GSO 2014 national average income (31680),⁵² and less than 40% of the 2014

⁵² GSO 2014,

<https://www.gso.gov.vn/SLTKE/pxweb/en/11.%20Health,%20Culture,%20Sport%20and%20Living%20standard/-/E11.19.px/table/tableViewLayout1/?rxid=5a7f4db4-634a-4023-a3dd-c018a7cf951d>

World Bank Reported GNI per capita (US\$1,890),⁵³ illustrating the extent to which the ER-P areas are behind the rest of the country in terms of income.

Figure 3.14 Income structure in the communes of the NCC



With regard to income structure, the largest proportion of income for most groups comes from wage (31.2%), with agriculture and livestock raising each making up about one sixth of income. The H'mong are a notable exception, earning the majority of their income from agriculture (41.6%) and livestock raising (25.9%). While there is some consistency among ethnic groups when it comes to livestock raising, Co Tu derive just 7.5% of their wage from this, with a greater proportion coming from agriculture and forestry. In general, the poor benefit more from social allowances and forestry, but little from migrating household members. Further, while pensions are insignificant to the poor and near poor, they constitute nearly 5% of non-poor income.

As the Tables 3.14, 3.15 and Figure 3.14 above show, the small holder families of the ER-P provinces spend a significant portion of their time on agriculture even if it does not give rise to the highest income.

An emerging trend in the ER-P area is labour out-migration although the quantitative data do not reveal it as a major trend as yet among ethnic minority households. As to be expected, the Kinh tend to send household labour out of the village to a much greater extent than the other ethnic groups (except for the Muong who are the most similar to the Kinh in language and culture). This may be partly a factor of language, level of education, social networks and greater connection to the locality. The following Table 3.18 shows the differences between ethnic groups.

In some of the areas visited by the SESA team, villagers and commune leaders observed that the only way to improve their living conditions is by hiring out their labour and migrating if possible. Increasing numbers of young and middle aged people are leaving their villages for unskilled labour opportunities elsewhere.⁵⁴ Some of the labour migration is seasonal, confined to some three or four months of the year. In Tan Phuc Commune (Lang Chanh District, Thanh Hoa Province), the commune leaders told the team, "Our main 'export' income is from our labour."⁵⁵

⁵³ <http://data.worldbank.org/country/vietnam?display=default>

⁵⁴ This trend seemed stronger in Thanh Hoa and parts of Nghe An than in other areas visited by the SESA Team.

⁵⁵ See PM Decision 71/QĐ-TTg: Approval of the project supporting poor districts [30a] to promote labour export for sustainable poverty reduction in the period 2009 – 2020. Although anecdotal, most commune officials interviewed indicated that this project has been a failure with most workers returning from overseas with major debts and thus worse off than before they left.

Table 3.18 Labour out-migration by ethnicity, poverty status and gender of HH head (n=3060)

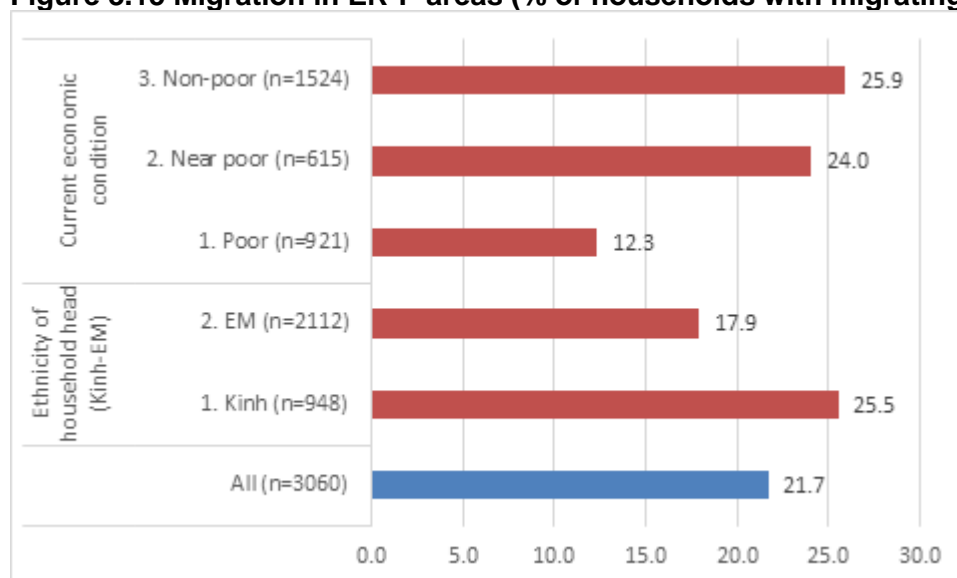
Main employment of migrants	Wage employment (%)	Self-employed in agriculture, forestry, and aquaculture (%)	Household businesses in services in non-agriculture, non-forestry, and non-aquaculture (%)	Unemployed/looking for a job (%)	Other (%)
All (n=744)	90.0	0.2	0.5	0.9	8.4
Ethnicity of household head					
Kinh (n=354)	90.0	0.3	0.7	1.4	7.7
Thai (n=206)	89.6	0.0	0.1	0.0	10.3
Bru-Van Kieu (n=24)	50.2	0.0	0.0	0.0	49.8
Muong (n=94)	90.8	0.0	1.0	0.9	7.3
Ta Oi- Pa Co (n=17)	96.9	0.0	0.0	0.0	3.1
Co Tu (n=10)	100.0	0.0	0.0	0.0	0.0
H Mong (n=6)	85.1	0.0	0.0	0.0	14.9
Other EM (n=33)	97.7	0.0	0.0	0.0	2.3

Table notes: Source: MDRI Quantitative Survey Data.

Migration is a fairly prevalent phenomenon in the area, especially among the more economically advantaged groups, i.e. Kinh/Muong/Thai and the non-poor. As demonstrated in Figure 3.15 below, on average, 21.7% of the household sample reported having migrating members in the past 12 months. This proportion is much higher for the majority Kinh (25.5%) than for ethnic minorities (17.9%). This figure also varies substantially among ethnic minority groups. Specifically, Thai and Muong have a much higher share of households with migrating members than other ethnic minorities, comparable to their Kinh counterparts, at 19.2% and 25.9%, respectively. A much higher proportion of households with migrating members is also recorded for the near and non-poor than for the poor. The proportion of households that had migrating members is also different across provinces, ranging from 16.8% in Quang Tri and 17.3% in Ha Tinh, to 23.3% in Nghe An and Quang Binh. In such households, on average, about every 1 of 3 household members are migrants in another location, with more than 50% chance they are female, and 85% chance they are the children of the household heads.

As demonstrated by Table 3.18 above, the majority of the migrants were involved in wage employment. Among the small number of Bru-Van Kieu households with migrating members, half of the cases are students who study away from home.

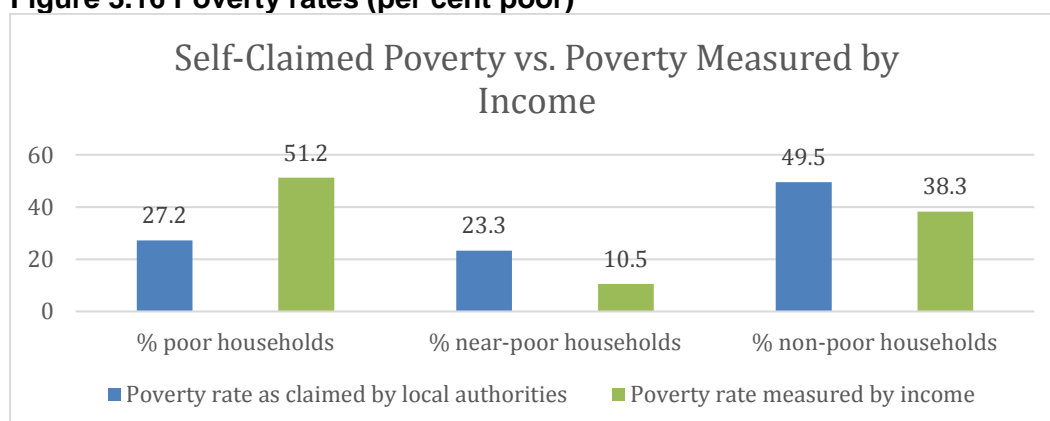
Figure 3.15 Migration in ER-P areas (% of households with migrating members)



a) Poverty

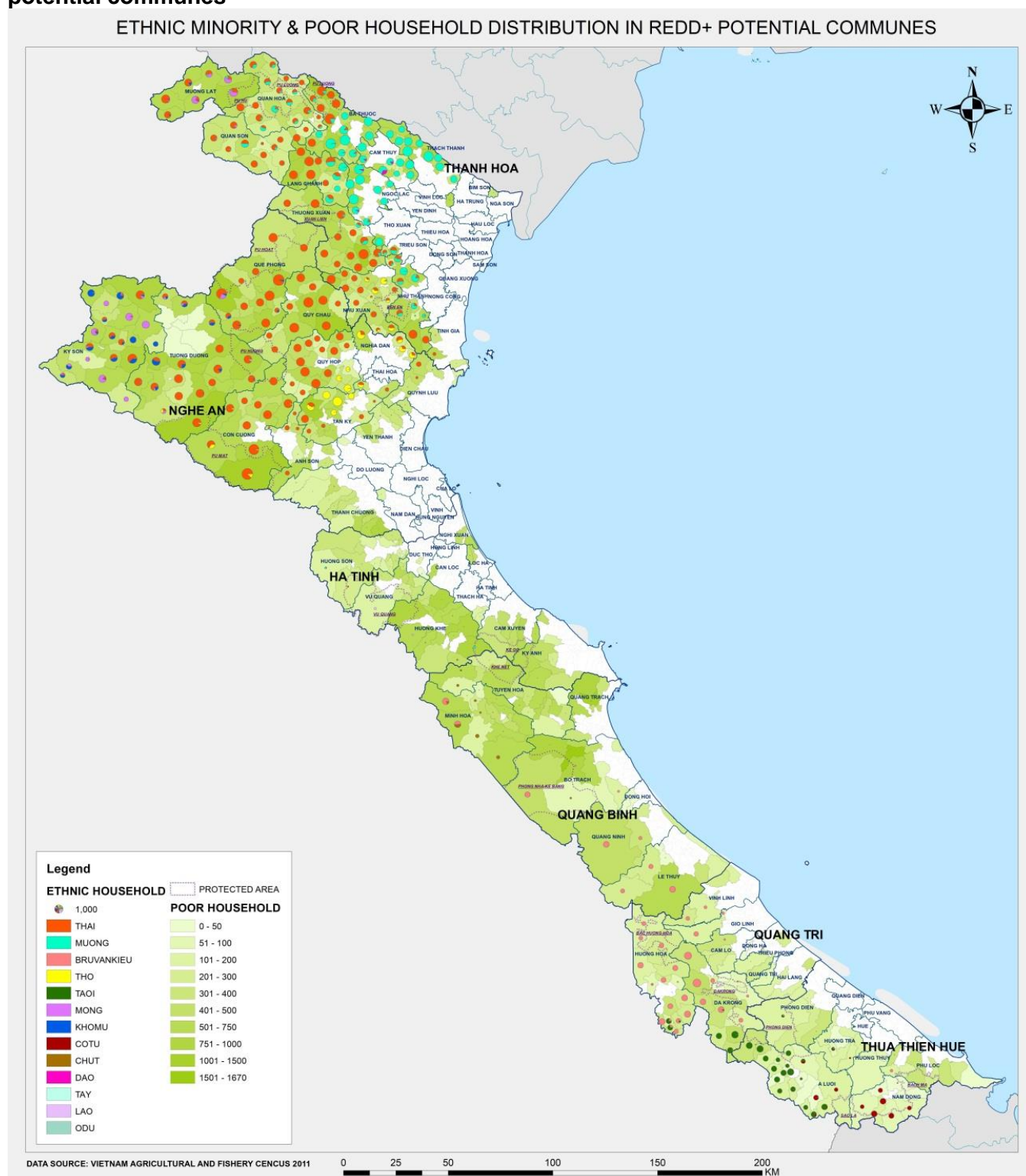
The survey calculates the poverty rates of the area by two indicators: official poverty status given by the local authorities and the income poverty calculated according to the national standards.

Figure 3.16 Poverty rates (per cent poor)



Poor households make up a significant proportion of households in the ER-P target areas. Figure 3.16 above illustrates the difference between self-claimed and income based poverty rates, showing a disparity between poverty as reported by the local authorities and poverty as measured through income. While just over a quarter of households were designated poor by the authorities, the poverty rate as measured by income places over 50% of the households in the program areas in this category. This reiterates the common phenomenon that the local classification of poverty may take other criteria (e.g. widowhood) into consideration, and that the households, especially those with high level of self-subsistence, often fail to fully account for all their income sources. On average, 64.2% of ethnic minorities in the area are considered poor, while a lesser 38.3% of the majority Kinh group are deemed the same. The ethnicities with the highest proportions of poor are Bru-Van Kieu and H'mong, who have over 80% living under the poverty rate, as measured by income. Not surprisingly, the majority Kinh group has the greatest percentage of non-poor households, at nearly 50%. With regard to provinces, Ha Tinh has the greatest proportion of non-poor households, while Thanh Hoa has the greatest proportion of poor households. See Figure 3.17 below showing the distribution of ethnic minorities and poverty in the ER-P.

Figure 3.17 Map showing the distribution of the ethnic minorities and poor households in REDD+ potential communes



Both of these poverty measures are subject to several drawbacks. As households have a high tendency to underreport their incomes, the income poverty status in most cases is not very accurate. The following analyses in this report use the nominative status of poverty, as this entitles the poor to official support that affect their welfare.

While ethnic minority poverty remained high especially in the northern provinces of the ER-P area during 2015, it will likely rise in 2016. The reason for this is that MOLISA has updated the poverty indicators for

the period 2016 – 2020. The new rural per capita income rate has been raised from VND 400,000 per month to VND 700,000, while the near-poor income line has gone up to VND 1,000,000. In addition, the GoV now also defines people as “poor” if they have a near-poor income between VND 700,000 and 1,000,000 per month and they lack three of ten services/infrastructure items listed in the Decision; the new definition aims at a more multi-dimensional characterisation of poverty in Vietnam.⁵⁶ The major poverty measurements in use in Vietnam, however, do not capture dimensions related to social exclusion and vulnerability which may be important factors in ethnic minority poverty, especially women’s, children’s and the elderly.

The poorer living conditions and overall poverty of the districts and communes in the mountainous areas of the ER-P are also reflected in the number of communes that belong to “Category III” according to the definition of the Committee for Ethnic Minority Affairs (CEMA) – these are the communes with “exceptionally difficult circumstances” (see Table 3.19 below). The high forest area districts, both Program 30a and non-30a, in the six provinces tend to be those with larger numbers of Category III communes, where there are also higher poverty rates and larger numbers of ethnic minority people. The Category III classification provides a good proxy for higher poverty rates and high dependence on agricultural and forestry. Examples of Category III communes visited by the SESA team are Tam Hop and Luong Minh in Nghe An (Tuong Duong District) (see Table 3.20 below) where poor households remain at 61% and 72% respectively (2015).

Poverty and insecure livelihoods also figure strongly in the high forest area districts. Of the four provinces that have Program 30a districts, eight of 14 also belong to the districts with the highest amount of forest and poverty.

Table 3.19 Number of Communes categorised with “Exceptionally Difficult Circumstances” in high forest cover Districts

Province	Highest forest cover Districts in the ER-P Area	Total number of Communes by District	Communes classified I – III by CEMA	Category III Communes
Thanh Hoa	Thuong Xuan/30a	17	17	9
	Quan Hoa/30a	18	18	16
	Quan So’n/30a	13	13	10
Nghe An	Tuong Duong/30a	18	18	15
	Con Cuong	13	13	6
	Que Phong/30a	14	14	11
	Ky So’n/30a	21	21	19
	Quy Chau	12	12	9
Ha Tinh	Huong Khe	22	22	10
	Huong So’n	32	32	15
	Ky Anh	33	19	7
Quang Binh	Bo Trach	30	11	6
	Minh Hoa/30a	16	16	14
	Le Thuy	28	7	4
Quang Tri	Dak Rong/30a	14	14	8
	Huong Hoa	22	22	11
	Vinh Linh	22	4	1
TT Hue	A Luoi	21	21	10
	Phong Dien	16	3	0
	Nam Dong	11	11	0
Total		393	308	181

⁵⁶ See Prime Minister Decision 59/2015/QĐ-TTg.

Table notes: Program 135 Commune Data are from CEMA (Decision 447/2013/QD-UBND), total number of communes are from the Provincial Statistical Yearbooks, 2014. Note that neither Ha Tinh nor Thua Tien Hue has 30a Districts.

Table 3.20 Poverty and ethnicity data for Tam Hop Commune (Category III), Tuong Duong District

Village	Total HHs	Households by ethnic group					Poor HHs	Near Poor HHs
		Kinh	Thai	Pong	Hmong	Khmu		
Xop Nam (Commune Centre)	80	6	64	10			29	NA
Vang Mon	81	1	77	1		2	49	NA
Ban Phong	150	1	10	139			107	NA
Huoi Son	58				58		31	NA
Pha Lom	106				106		72	NA
Total	475	8	151	150	164	2	288	42?

Table notes: Data as provided by the Tam Hop CPC pertaining to 2015. Pong is actually an unrecognised ethnic group in Vietnam but separately listed nonetheless by the Commune. NA = not available.

By comparison with Tam Hop commune, Luong Minh commune (also Category III) has ten villages and about 1,100 HHs (district and commune data differ by 35 HHs), almost all of which are either Khmu (about 575) or Thai (about 489) and the remainder Kinh (20). According to commune officials, the commune has a 72% poverty rate and another 17% of households which are near poor. The people of this commune have been negatively affected in recent years by the construction of two hydropower schemes: Ban Ve and Nam Non. This has included resettlement and loss of agricultural land without adequate compensation (the local people's opinion), pollution of river water resource including destruction of fish stocks, and increased landslides.

Recent poverty projections to 2020 by the World Bank⁵⁷ suggest that although there will certainly be further improvements, ethnic minority poverty in Vietnam is probably set to remain persistent and far deeper than for the Kinh with estimates of 38% head count poverty among ethnic minorities compared to Vietnam as a whole (8%).

3.5 *Indigenous/Ethnic minority people*

At present, the Census of Vietnam officially recognises 54 different ethnic groups, although there are actually more groups than this that have not been given official recognition. The ER-P area is home to some 13 of them, including the Kinh.⁵⁸ The largest EM populations are found in the two northern provinces of Thanh Hoa and Nghe An. According to the last population census,⁵⁹ these two northern provinces are home to 88% of the ER-P ethnic population.⁶⁰ The predominant groups in all six

⁵⁷ Gabriel Demombynes and Linh Hoang Vu (2015: 13), *Demystifying Poverty Measurement in Vietnam*. Their graph "Naive Poverty Headcount Projections for Vietnam" suggests that while the national poverty rate (using GSO data) would be 8% in 2020, for EMs it will remain at 38% (one assumes the national rate includes both Kinh and EM households).

⁵⁸ The SESA team found that several groups are not listed in the Census: Dan Lai, Pa Co and Pa Hy as they are not considered to be a distinct group by GOV.

⁵⁹ A new census of ethnic minority populations was carried out in 2015, but the official results are not yet available.

⁶⁰ In Nghe An there are, additionally, very small groups such as Phong and Dan Lai that have not been recognised in the 2009 Census. There is a group called Pa Co in the South (TT Hue and Quang Tri) that also does not have separate recognition and is generally classified under Ta Oi.

provinces ordered by population are Thai (45%), Muong (29%), Bru-Van Kieu (6%), Tho (6%), Hmong (4%), Ta Oi (4%) and Kho Mu (3%). The other groups present in the area (Co Tu and Chut in the South, Dao and O'Du in the North) have a still smaller share of the EM population. Only the Thai and Muong have populations over 100,000 persons. In Vietnam as a whole, the 53 EM groups comprise about 14% of the population. In the six ER-P provinces, the EM groups form some 11.5% of the total population of over 10 million in 2009. Figure 3.17 above shows the distribution by commune of the various ethnic minority groups in the ER-P region.

In ethno-linguistic terms, the Muong and Tho belong to the Viet-Muong group (along with the Kinh), Bru-Van Kieu and Ta Oi belong to the Mon-Khmer groups, the Thai are in the Tai-Kadai, the Hmong in the Hmong – Lu Mien, while the Kho Mu (also spelled Khmu) belong to the Austro-Asiatic (or Khmuic) ethno-linguistic group. Presented below is a Table 3.21 that is based on the population census published by the General Statistics Office (GSO) in 2009. While the numbers would have increased, it is unlikely that the proportions would have changed much on a provincial basis (there don't appear to have been any large, inter-provincial movements of people affecting the ER-P area).

Table 3.21 Ethnic minority population data by group and ER-P Province

Ethnic Group	Province						Total
	Thanh Hoa	Nghe An	Ha Tinh	Quang Binh	Quang Tri	TT Hue	
Thai	225,336	295,132	500	0	0	0	520,968
Muong	341,359		549				341,908
Bru-Van Kieu				14,631	55,079	720	70,430
Tho	9,652	59,579				0	69,231
Hmong	14,799	28,992				0	43,791
Ta Oi					13,961*	33,385**	0
Kho Mu	781	35,670				0	36,451
Co Tu						13,812	13,812
Dao	5,465					0	5,465
Chut				5,095		0	5,095
Tay	795					0	795
Lao			433			0	433
O'Du		340				0	340
Other						651^	0
Total EM Population	598,187	419,713	1,482	19,726	55,079	14,532	1,108,719
Total Population	3,400,595	2,912,041	1,227,038	844,893	598,324	1,115,523	10,098,414
% EM to Total Population by Province	17.6	14.4	0.1	2.3	9.2	1.3	11.0

Table notes: Source is GSO Census Data 2009 for all provinces except TT Hue where the data are from the provincial CEMA, 2015: *The Ta-Oi in Quang Tri are almost all Pa Co according to CEMA.**Ta-Oi in TTHue includes Pa Co (21,138); ^Pa Hy, another group not recognised by the Census 2009. According to CEMA Quang Tri, the ethnic minority population there has gone up to 76,951 Van Kieu and Pa Co people, but the total population of the province was not given.

In the ER-P area the ethnic minority groups are found in the largely mountainous districts and communes that also have higher percentages of land classified as forest. The partial exception to this is Thanh Hoa Province where, with its large Muong and Thai populations (essentially paddy cultivators often occupying the midlands rather than highlands); there, the EM people are not highly concentrated in a very few districts or even in just a few communes of a few districts (as is the case in Quang Binh, parts of Quang Tri and Thua Thien Hue).

Table 3.22 below shows the high correlation between forest cover and presence of EMs. In the four provinces where there are few ethnic minority people compared to the total provincial population, they are concentrated in the two to three districts per province with the highest forest cover. Despite their overall low to very low (Ha Tinh especially) populations in the four southern provinces of the ER-P area,

they still form a majority of the population in several target districts, and are represented to a greater degree in several more high forest districts compared to the province as a whole.

Table 3.22 Correlation between forest cover area and ethnic minority populations

Province	20 Districts with the greatest forest cover in the ER-P provinces	Total HHs	Total Kinh HHs	Total EM HHs	EM HHs to total District	EM HHs as % of total EM HHs in the province
		No.	No.	No.	Population	
					%	
Thanh Hoa	Quan Hoa/30a	10,000	800	9,200	92	20%
	Quan So'n/30a	7,373	392	6,981	95	
	Thuong Xuan/30a	19,075	7,504	11,571	61	
Nghe An	Tuong Duong/ 30a	17,246	1,679	15,567	90	63%
	Con Cuong	17,406	4,351	13,054	75	
	Que Phong/30a	15,321	1,662	13,659	89	
	Ky So'n/30a	15,200	765	14,435	95	
	Quy Chau	14,309	3,596	10,713	75	
Ha Tinh	Huong Khe	25,033	24,813	220	1	64%
	Huong So'n	30,006	29,882	124	0.4	
	Ky Anh	46,807	46,766	41	0.1	
Quang Binh	Bo Trach	38,620	38,071	549	1	80%
	Minh Hoa/30a	9,940	8,073	1,867	19	
	Le Thuy	33,495	32,389	1,106	3	
Quang Tri	Dak Rong/30a	9,023	2,195	6,828	76	97%
	Huong Hoa	13,462	3,484	9,978	74	
	Vinh Linh	17,957	17,361	596	3	
TT. Hue	A Luoi	11,888	2,783	9,105	77	96%
	Phong Dien	25,565	25,414	151	1	
	Nam Dong	6,015	3,459	2,556	42	
Grand total		383,741	255,439	128,301	33	
Total without Ha Tinh		281,895	153,978	127,916	45	

Table notes: This table has multiple sources for the data, so it should be taken as indicative of trends only. District-wise forest areas to determine districts with most forestland were taken from the Provincial Statistical Yearbooks 2014. Population data are either from the provinces visited in 2015, or taken from the Agricultural Census (2011) commune level database⁶¹.

3.6 *Livelihoods, food security forest use and dependency and agriculture*

3.6.1 *Livelihoods*

The persistence of higher poverty rates among ethnic minority groups shows that their livelihoods remain insecure or vulnerable. Ethnic minority people tend to be highly dependent on land-based activities to earn their livelihoods despite a major thrust of the government to encourage a reduced dependence on agriculture and forestry.⁶² Thus, when consulting different ethnic groups about their livelihoods and food security they nearly always mentioned land as the most important underpinning

⁶¹ For the sake of consistency these data are taken from the six provincial Statistical Yearbooks 2014. The area is only that defined as “forest land,” without any implication of actual forest cover or its quality.

⁶² See for example the National Target Programme on Building New Rural Areas based on Decision 491/QD-TTg (2009) setting out 19 criteria, and Decision 800/QD-TTg (2010) setting targets and responsibilities for the New Rural Areas (Decision 800 applies for 2010 – 2020). The labour force restructuring target for the North Central Coast is that only 35% remain dependent on agriculture, forestry and fisheries (491/QD-TTg, Criterion 12).

factor for secure livelihoods. The sentiment was that “We can do with fewer assets, but not with too little land,” was widely echoed.

The government policy of wanting to protect watersheds led to a ban on long rotation and pioneering shifting cultivation (sedentarisation policies),⁶³ upland communities have been required to give up annual cropping on their old fallows and reducing the area upland rice cultivation. Such fallows have generally been reclassified as either production or protection forest (usually “natural” forest). With little effective agricultural or forestry extension for upland areas, including few suitable “models” that are socio-economically viable,⁶⁴ small farming households in the ER-P uplands are now left with few alternatives to cassava and maize cultivation since both of these crops have in recent time (last three to five years) seen steady and increasing market demand but this has also been associated with fluctuations in the market price making the income even from this crops (and the area of production) variable and consequently not secure.

Other successful cash crops on a more limited scale in the uplands include job’s tears (*Coix lacryma jobi*, known *y di* in Vietnamese), pineapple, banana and sweet potato. Additionally, small farmers raise livestock (poultry, pigs, goats, cattle and buffalo) plant some tree plantations (dominated by acacia in the ER-P mid and upland areas, but including small amounts of rubber and melia (*xoan* in Vietnamese).

a) Food Security

Food security is an issue in the ER-P and the quantitative survey results on this issue show are that 26.1% of Kinh HHs and 55.4% of ethnic minority HHs had experienced hunger in the previous year (Figure 3.18 below shows the main hungry periods). Among the ethnic groups, there was quite a wide range from a low of 24.4% (Hmong) to highs of 60 – 66% (Muong, Bru-Van Kieu and Ta Oi-Pa Co). Female-headed households (both Kinh and EM) had 43.4% reporting a hunger period, while for male-headed HHs it was 34.6%. In terms of protein-rich food intake (any source), based on seven day recall the results were as follows in Table 3.23.

Table 3.23 Days without protein-rich foods

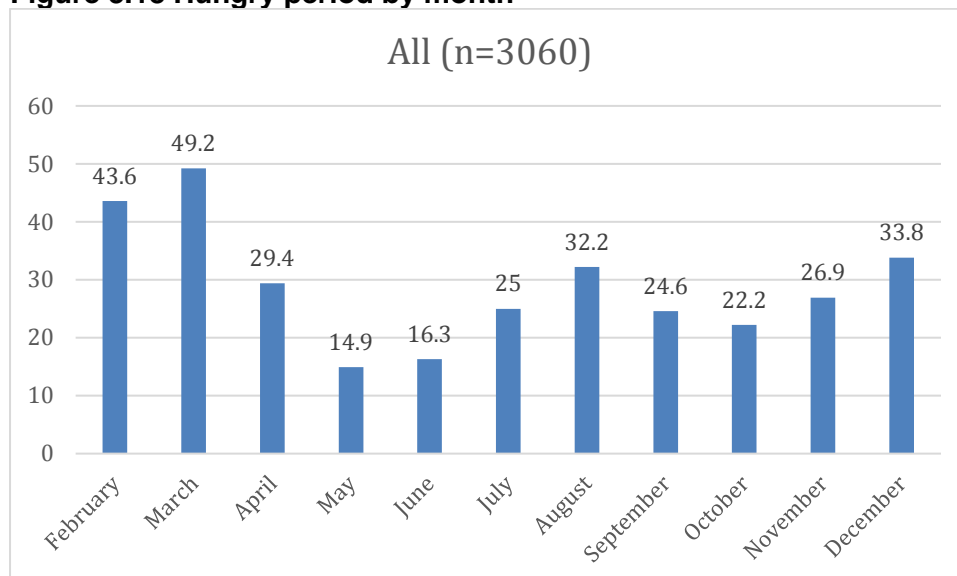
Ethnicity and poverty status of HHs	0 Days Without	1-3 Days Without	4-6 Days Without	7 Days Without
Kinh	59.6	20.5	16.0	3.9
Ethnic Minority	21.5	24.7	35.6	18.2
Poor	16	21.9	41.5	20.6
Near Poor	30.2	29.1	29.6	11.1
Non-Poor	45	22	22.3	10.7
Male-Headed HHs	33.4	23.6	29.9	13.1
Female-Headed HHs	32.5	22.3	27.3	18

Table notes: MDRI Quantitative Survey Data.

⁶³ The GoV had established, for example, the Department of Fixed Cultivation and Sedentarisation in 1968.

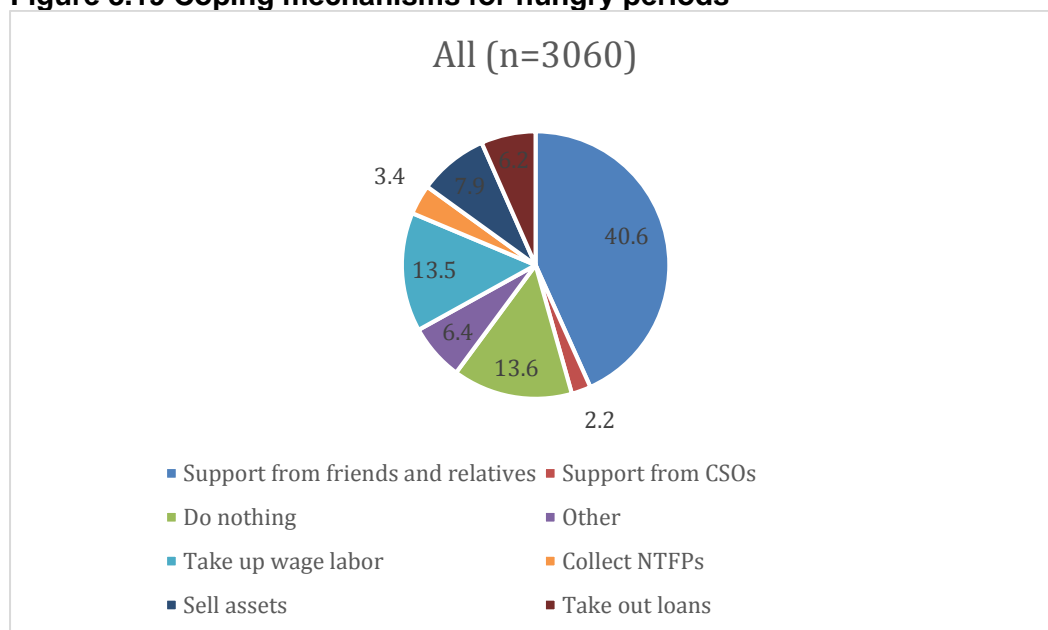
⁶⁴ This includes availability of household labour, investment capital and gender issues in earning livelihoods.

Figure 3.18 Hungry period by month



Despite the percentages of poor families and those suffering from hunger periods, the numbers actually receiving official food aid from the State are around 15% for ethnic minority respondents and 9.7% for Kinh. Among the poor it was about 22%.

Figure 3.19 Coping mechanisms for hungry periods



For most households, and the GoV, “food security” is measured in terms of rice sufficiency. Although from a nutritional point of view this is too narrow a definition, small farmers still strongly believe that if they do not produce enough rice for their own consumption they are food insecure. As mentioned, one of the biggest impacts of the ban on long rotation and pioneer shifting cultivation is that farmers have faced difficulties in upland rice cultivation. The combination of soil fertility losses and increasing weed pressure has made rice cultivation less tenable. Thus, in all the villages visited,⁶⁵ rice insufficiency is reported as an increasingly serious issue. In areas where paddy cultivation is minimal to non-existent, it

⁶⁵ With one exception in Tuong Duong District where the Hmong people apparently still have enough upland areas suitable for rice cultivation, and reported that they are still able to produce enough rice for their own needs if weather conditions are favourable.

was reported that all households defined as “poor” were receiving rice (15kg per capita per month for a maximum of six months from the government for three-six months per year, with additional allocations for Tet (also the main hungry period as this falls between crops). People in the upland area reported village rice shortages of three to nine months based on their own production, meaning that many families would have to buy rice for most of the year ⁶⁶.

When food security is more broadly defined to mean nutritional security (enough calories from all necessary food groups to ensure a healthy diet), then there may be additional food security difficulties faced by especially women of the ethnic groups. In the past, under the traditional upland cultivation systems, women were in charge of planting many different vegetables in the upland plots. Vegetables from the upland plots supplemented with forest fruits and vegetables meant that few food items needed to be purchased. More recently, women must have adequate, regular sources of income to ensure their families’ nutrition. Figure 3.19 above shows the main coping mechanisms for the hungry periods.

Figure 3.20 Local women buying vegetables, fish and other foodstuffs in the Phong Nha Ke Bang SUF buffer zone, Quang Binh



The increased need to purchase food and foodstuffs necessarily contributes to people’s livelihood choices and contributes to relatively rapid changes in land use. The popularity of plantation tree crops like acacia has dropped in the remoter, highland areas of places like Dak Rong District in Quang Tri. Indeed, not only did people there tend to harvest the trees within five years, there are many families who have now switched from acacia to cassava – following the market demand and price increases in cassava which also provides income in a far shorter time, and with a new cassava factory allowing easier market access.⁶⁷ In rural Quang Binh, acacia has been widely promoted, but farmers (both Kinh and ethnic minority) often cut at five years (the average was found to be 5.5 years⁶⁸) but some will cut even earlier, although longer rotation acacia would potentially bring in higher incomes up to about year seven. There are a number of livelihood factors behind these decisions; including risk averse due to the expectations of typhoons, peer pressure to cut early, early repayment of debt/ interest and simply that poorer farming households cannot wait so many years for the income from acacia if they do not have

⁶⁶ The annual dependency on food security by remote forest dependent communities also reported in the VCF Social Screening Reports (SSRs) during work with the SUF MBs and communities in the ER-P area e.g. Pu Hu, Pu Huang; Pu Mat NR Social Screening Reports of between 2007 and 2012.

⁶⁷ However, due to fluctuations in the market demand and price for cassava the factory virtually stopped buying cassava from Dak Rong farmers towards the end of 2015, additionally it is also appears that the local farmers’ production has begun to outstrip the plant’s daily processing capacity, and it is prioritising cassava purchases from traders above farmers. *Vietnam News*, 23 January, 2016.

⁶⁸ MDRI survey November/ December 2015.

enough other income sources to ensure their food security before the acacia is ready for harvest.⁶⁹ In a village visited in Lang Chanh District (Thanh Hoa), people planted acacia in 2007 because it had been supported under a government decision, but they have not harvested any of it.⁷⁰

Figure 3.21 Forest degradation issues cassava and acacia

	
<p>Dak Rong District, Quang Tri: Farmers have switched from acacia to cassava</p>	<p>In lower lying areas of Quang Tri, acacia is widely grown and harvested</p>

b) Agricultural crops

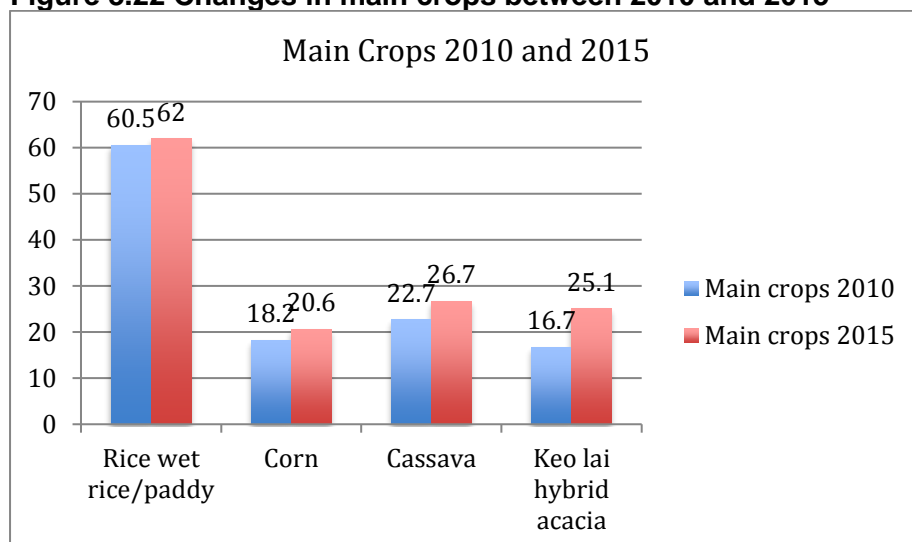
The agriculture of such a large region as the ER-P is quite diverse with some marked differences north to south as would be expected with the changing agro-climate across the region and this is also coupled some influence from the agricultural planning priorities of the individual provinces. For example, bamboo is a important crop in Thanh Hoa where 50% of the quantitative respondents reported being involved bamboo production (and mainly Thai and Muong), Sugar cane is a relatively important crop in Thanh Hoa and Nghe An partly as a result of local investment in sugar producing factories and the area has increased in those provinces since 2010. Maize is mainly winter northern upland crop is not grown to any great extent in the south in Thua Thien Hue and the perennial crops of tea and coffee are only important in limited upland areas of Ha Tinh and Quang Tri respectively and are mainly grown by the Kinh and Van Kieu (respectively for the crops) in those provinces. Plantation tree crops of xoan (*Melia sp.*); are found in the north in Nghe An and Thanh Hoa, and boi loi (*machilus sp.* used for incense) has more importance in Quang Tri and Thuan Thien Hue in the south.

To explore the changes in crop patterns of the communities over time, the survey asked respondents to report the crops grown in their land currently (2015) and 5 years ago (2010). Because of the considerable diversity in crop production between ethnicities, it is not useful for the purposes of this study to analyze each crop individually. Instead, the overarching trends in major crop production, and have more detailed information on individual crops available for reference in the appendix. Wet rice/paddy, corn, cassava, and hybrid acacia have consistently been the major crops during this period for the households in the area. As shown in the Figure 3.22, below the percentages of households growing these major crops rose over the 5-year period, with hybrid Acacia (keo lai) experiencing the most significant growth (from 16.7% to 25.1%). Another crop with significant growth is Acacia mangium (keo acacia), which was only planted by 7.3% of households in 2010 but 11.6% in 2015.

⁶⁹ Other factors relate to the structuring of local value chains for acacia.

⁷⁰ Decision 147/QĐ-TTg on Developing Production Forests (2007). According to villagers, the acacia grew poorly and with the remoteness of both their village and the sites for the acacia, no traders ever expressed interest in buying it. The promotion of acacia on essentially a poor site (possibly hybrid acacia which generally preforms best on better soils) is not an isolated incident in the ER-P area. Acacia hybrid were found to be more popular (40%) compare to *acacia mangium* 20% but the hybrid does not suit all locations. On poorer soils *mangium* can outperform the acacia hybrids.

Figure 3.22 Changes in main crops between 2010 and 2015



i) Important crops

However, there are several key crops found in all provinces and these are paddy wet rice (50%), cassava (34%) and hybrid acacia (30%) the latter both grown as cash crops and all three crops are widely grown by poor, near poor, non-poor except for acacia in Thanh Hoa which has made relatively little inroad to that province in the survey area, mainly due to the dominance of the bamboo forest and related market value chain. Overall Thua Thien Hue is important for tree plantation crops primarily hybrid Acacia, *Acacia mangium* and rubber, a probable factor here is the consequence of the early rationalisation of SFC land in that province with SFC being handed to communes for plantation production. A summary of the ranking of major crops grown by ethnicity, poverty status and province (3060 HHs in 102 communes) is shown in Table 3.24.

Maize is important from Thanh Hoa to Quang Tri with about 22% of households reported growing it and is locally important across all groups apart from the Co Tu found almost exclusively in the very southern part of Thua Thien Hue. Banana is another relatively important crop with 13% of household reported growing it and is spread across all groups, but relatively more important to Kinh and Ta Oi.

While the actual area of upland rice is expected to be difficult to define it is relatively important to ethnic minority households in upland areas of Thanh Hoa, Nghe An, Quang Tri and Thua Thien Hue and is particularly a crop of poor and near poor of the H'Mong, Van Kieu and Ta Oi respectively to the provinces. Peanuts are a relatively important crop to but only to Kinh and non-poor households.

Table 3.24 Ranking of major crops grown by ethnicity, poverty status and province (3060 HHs in 102 communes)

Ethnic group/ poverty status	Paddy wet rice	Upland rice	Cassava	Maize	Hybrid acacia	Bamboo	Non- hybrid acacia
Kinh	1		4	3	2		
Thai	1		5		3	2	
Bru-Van Kieu	3	4	1		2		
Muong	1			3		2	
Tao Oi – Pa Co	3	2	1	5	4		
Co Tu	2		3		5		4
H'mong		1	2	3			
Poor	1	4	2		3		
Near-Poor	1		3	4	2		
Non-Poor	1		3	4	2		
Than Hoa	1					2	3

Ethnic group/ poverty status	Paddy wet rice	Upland rice	Cassava	Maize	Hybrid acacia	Bamboo	Non- hybrid acacia
Nghe An	1		3		2		
Ha Tinh	1		4	3			
Quang Binh	1		2	4	3		
Quang Tri	2	3	1				
TT Hue	1		2		3		4

Table notes: Based on 2015 cropping data collected by MDRI. The reader is referred to the Provincial Statistical Yearbooks for details of crops grown district-wise (areas/yields). It is assumed that all respondents grow several crops. The top 5 means that at least 20% of respondents in the group have said they plant this crop, meaning some groups do not have five crops that reach this level. Some missing numbers are for crops/tree crops only grown on a larger scale by a certain group in the sample: Kinh: ranked 5 = Peanut; Thai: ranked 4 = Xoan (Melia); Co Tu: ranked 1 = Rubber. Ha Tinh: ranked 2 = Peanut. Quang Tri: ranked 4 = Coffee.

ii) The regional importance of cassava

As discussed cassava is an important crop in the region and production of cassava has rapidly increased from 2010 – 2011 and was viewed as an important driver of deforestation, however, as can be seen the area for cassava has fluctuated and in most provinces apart from Thanh Hoa and Quang Tri and has remained quite constant or even declined in the case of Nghe An (see Figures 3.23 and 3.24). Various studies (including VFD Program review of Drivers of Deforestation) and different stakeholders revealed that people were aware of the encroachment of cassava crop cultivation into forest land and this is a relatively easy way to increase agricultural land and is receiving increasing attention from policy makers since it puts more stress on already fragile ecosystems. The returns to labour are quite good for cassava and compare favourably with maize and other crops, but there is a significant risk of soil degradation without the addition of organic matter (See Table 3.25 below). Soil degradation has been especially high in the upland areas used for cassava production, where little fertilizer has been applied to maintain soil nutrients (especially in the central highlands where cassava production has been intensive and yield have been reported to have dropped). While the yield of cassava has steadily increased from 2010 with the introduction of new cultivars (see Figure 3.25) assuming that current farm practices are maintained, characterized by low to no use of organic and low use of inorganic fertilizers for the cassava crop, a drop in yield is very likely in the future.

Table 3.25 Advantages and disadvantages of cassava

Advantages of cassava	Disadvantages
Subsidiary crop with relatively reliable demand (starch, animal feed, ethanol) contribution to relatively stable incomes for upland household; Drastic increase of production from 2004 to 2012; Steady increase in yields; Adds value to upland areas; Relatively easy to transport; Community labour; In line with provincial/ government policies - agribusiness and export promotion	Environmental sustainability, rapidly exhausts soil nutrients Encroachment into forest land

Figure 3.23 Area of cassava in the ER-P region

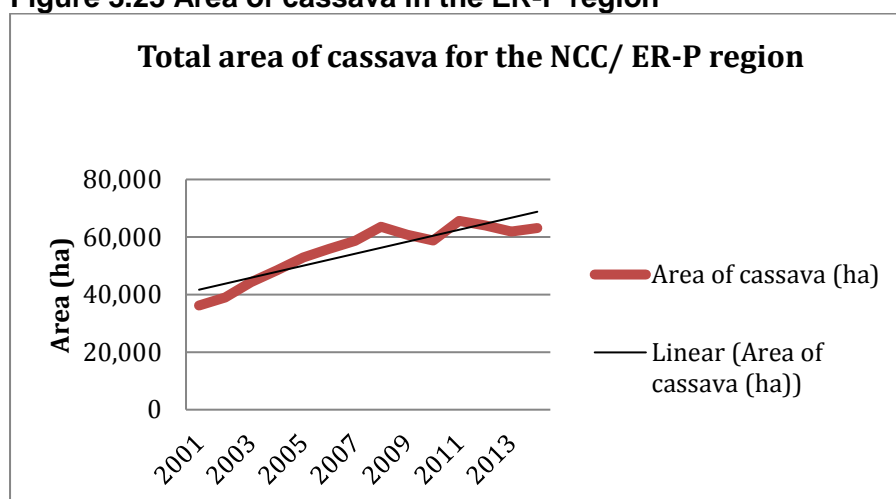


Figure 3.24 Area of cassava by province and average area

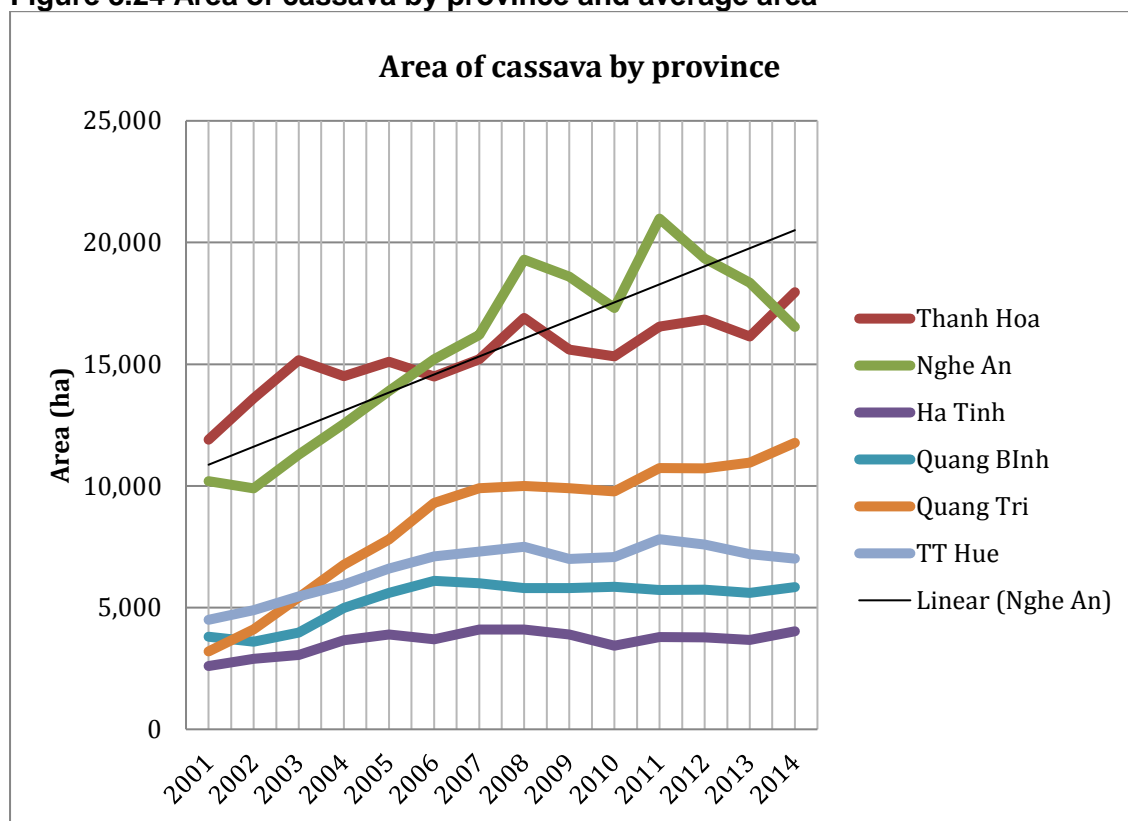
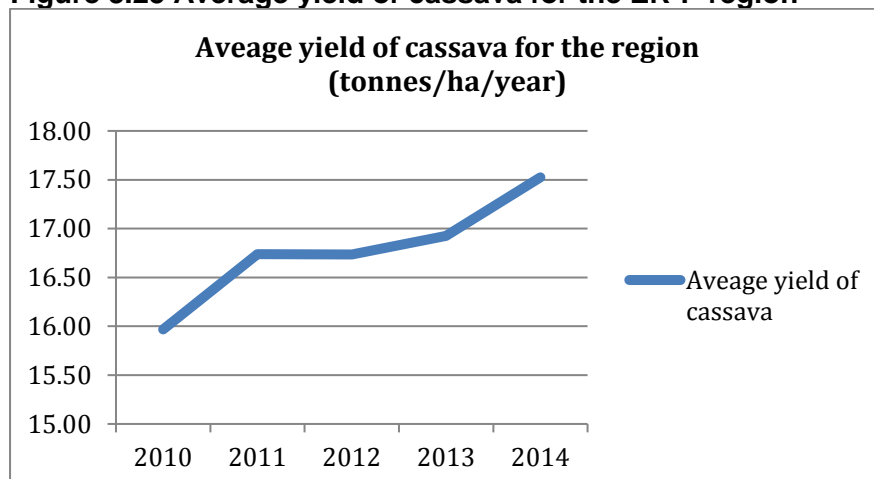


Figure 3.25 Average yield of cassava for the ER-P region



A small regional cassava project ⁷¹ found that the increase in household income was considerably different between the participant and non-participant groups with non-participant households, incomes among project participants in Quang Binh, Quang Tri and Thua Thien-Hue rapidly increased by 19.5%, 54.8% and 17.7% respectively. Cassava yields increased on average by 20% and farm gate prices were considerably higher after farmers groups directly sold their cassava to local factories. For example, the price of fresh cassava increased from around 1,200 VND/kg in 2008-2009 to 1,900 VND/kg in 2010-2011.

There are an estimated 60 cassava processing plants active in Vietnam with an installed processing capacity of about four million mt per year and Vietnam is the world's second largest exporter of cassava, with cassava exports in the first quarter of 2015 reaching 1.37 million tonnes, a year-on-year increase of 24%, earning the country 420 million USD, a 22.7% rise, according to the MARD. China is the largest importer of Vietnamese cassava products, accounting for between 87% to 89% of the country's total cassava exports volume. However, cassava exports to China have been under pressure due to the decreasing demand as a result of the global economy's slowdown and Chinese ethanol industry's standstill with nearly 70% of its factories being closed, however, the volume of exports to Japan and Taiwan grew 10 times and 64 times, respectively, posting the highest level of growth⁷².

i) Minor crops

Other minor, but locally important crops include pepper in Quang Binh and Quang Tri, citrus is a small but relatively important in Ha Tinh for the Kinh.

Relatively little rubber is reportedly grown by smallholders in the region (but is an important plantation crop for rubber production companies often on former SFC land) and is grown as a smallholder plantation tree crop by the Co Tu in Thua Thien Hue.

Of the NTFPs listed for consideration, only rattan and general medicinal herbs were reported to be of any agricultural importance and only to the Ta Oi in Thua Thien Hue and H'Mong in Nghe An respectively.

As a consequent agro-climatic factors and agricultural planning differences are also apparent with the agricultural practices of the different ethnic minorities and the Kinh for example, peanuts are mainly grown by the Kinh (and particularly by the non-poor).

⁷¹ Cassava in North-Central Vietnam: Improving Smallholder Incomes through inclusive business Author: Nico Janssen Organisation: SNV Vietnam August 2012.

⁷² Vietnam cassava association figure 2015.

ii) Different agricultural practices between the ethnic groups

As already discussed there are some marked differences in choice of the crops between the groups and the Table 3.26 below summarises some of the different cropping pattern that emerge in the ER-P area that relate to ethnic group. For all groups except the Bru-Van Kieu, either paddy or upland rice is ranked at one or two in terms of respondents saying they plant the crop (although the H'mong do not rank wet rice). Cassava has become an important cash crop especially in the provinces of Thanh Hoa and Quang Tri and to a lesser extent in Thua Thien Hue, and Quang Binh. Hybrid acacia also figures as an important crop in most provinces (in each of the three provinces mentioned some 36% – 40% of respondents report they plant it).

These agricultural cropping data, when seen with the discussion on land and forest land tenure issues under Section 3.7 below have implications for the potential of small holder farmers of any ethnicity to benefit significantly under REDD+ with the two main cash crops within the region being cassava and hybrid acacia. Clearly, special support measures for farmers will need to be made prior to “performance-based” payments as part of a REDD+ programme.

c) Availability of extension information

In terms of livelihood support, the survey data (Table 3.26 below) show that there are gender differences, in addition to ethnicity differences, that small holder farmers can expect to receive. The Kinh are more likely to receive cropping and livestock information compared to other ethnic groups. Women-headed HHs are disadvantaged on all front compared to their male-headed counterparts. In terms of information, provision of active extension services and subsidised agricultural inputs, the main service providers tend to be either commune level officials or the local mass (socio-political) organisations also based at commune level. On the other hand, however, subsidised inputs do seem to reach the “right” people in that 40% of poor households reported receiving a seeds/seedlings subsidy, while for the non-poor it was only 23.8%.

Similar to loans, it is revealed that certain groups – namely ethnic minorities, the poor, and female-headed households – have limited access to this support. Table 3.26 shows the proportion of households that received different support in the form of information and knowledge provision in the past 12 months. Looking at the overall percentages, there is a fairly even distribution of households who received information provision about forest management, livestock raising and care, pests and disease prevention for plants, and report on forest illegal logging or provision (around 30%). However, the proportion of households that received these supports seems to be higher for the majority Kinh than for ethnic minorities, higher for the non-poor than for the near poor and poor, and higher for male-headed households than female-headed households. This suggests that ethnic minorities, the poor, and women have more limited access to this type of support. Conversely, when looking at households receiving subsidies and price reductions for inputs as well as other services, the results are more mixed, with these groups faring nearly as well or even better than their more dominant counterparts.

Table 3.26 Access to information and subsidized inputs by ethnicity, poverty status and gender of HH

Information knowledge provision	Forest management	Livestock raising	Pests and disease prevention for plants	Report on forest illegal logging
All (n=3060)	30.5	37.4	31.3	32.9
Ethnicity of household head (Kinh-EM)				
1. Kinh (n=948)	28.5	43.2	37.0	33.3
2. EM (n=2112)	32.6	31.5	25.5	32.4
Current economic condition				
1. Poor (n=921)	23.6	27.8	22.2	24.7
2. Near poor (n=615)	31.4	44.1	34.0	31.2
3. Non-poor (n=1524)	33.9	39.5	35.0	38.2

Information knowledge provision	Forest management	Livestock raising	Pests and disease prevention for plants	Report on forest illegal logging
Gender of household head				
1. Male household head (n=2660)	32.3	38.1	32.1	33.7
2. Female household head (n=400)	20.7	33.0	26.4	28.3

Table notes: Source: MDRI Quantitative Survey Data.

d) Availability of credit

The VBSP provides credits of up to 30 million VND per household with differing interest rates depending on the loan purpose and whether the borrower is defined “poor” or “near-poor,” and whether living in one of the 64 30a districts. There are, additionally, special lending conditions for ethnic minority households with especially difficult circumstances (Decision 54/2012/QĐ-TTg for the period 2012-2015). Based on the consultations held by the SESA team, the majority of these credits are used to purchase livestock if for no other reason that people feel they will be able to repay their loans.⁷³ Some households do also earn supplemental income from Payment for Forest and Environmental Services (PFES), from forest protection contracts, providing labour to SFCs and unskilled agricultural wage labour.

Access to credit does not seem to pose a problem for many of the ER-P farmers, see Table 3.27 below, as about 59% of hhs reported having taken out a loan. Almost all the Kinh households (942/948 - 99.4%) in the sample have taken a loan, while 73.9% for the other ethnic groups (1560/2112). Regardless of ethnicity or poverty status, of those taking a loan, 59% have access to a formal credit source such as the VBSP or the Agribank. Women- and male-headed HHs apply for credit at about the same rate. The main difference in the groups comes with the average value of the loan: for the Kinh it is around 3.9 million VND, however, for ethnic minority HHs, it is only 2.2 million (with some groups such as Bru-Van Kieu and Co Tu getting just under 2 million VND). Loan sizes for women-headed HHs are also slightly smaller than male-headed HHs: 2.3 million VND compared to 2.8 million VND.

Table 3.27 Need for and access to credit and loans (%)

Need for and access to credit and loans	% of households with credit demand for production and consumption in past 12 months	% households who have taken out loans for production and consumption in last 12 months
All (n=3060)	59.3	56.5
Ethnicity of household head (Kinh-EM)		
1. Kinh (n=948)	57.9	57.5
2. EM (n=2112)	60.6	55.5
Current economic condition		
1. Poor (n=921)	63.2	58.7
2. Near poor (n=615)	62.3	65.5
3. Non-poor (n=1524)	55.6	51.1
Gender of household head		
1. Male (n=2660)	60.4	57.9
2. Female (n=400)	52.7	48.7

⁷³ For more details on lending terms of the VBSP see their website (accessed Feb. 2016): <http://vbbsp.org.vn/>

The differences by source of loans and gender is shown in the following Table 3.28 below.

Table 3.28 Loan source by gender of the household head %

Loan source	Formal	Agribank	Informal	Of the informal the following comes from friends or relatives
1. Male household head (n=2177)	79.7	24.7	20.3	15.9
2. Female household head (n=325)	70.2	19.7	29.8	25.3

For plantation or forest-related investments it is important to have access to affordable long term credit. The World Bank FSDP project was active in three Provinces Thua Thien Hue, Nghe An and Thanh Hoa and the included access to credit and the VBSP successfully demonstrated a new financial mechanism (700 billion VND of credits) that stimulated a changed culture for poor smallholder investors who borrowed funds at low interest rates to invest in plantation forests on lands for which they held a land-use right certificate, tied to the availability of extensions services, technical support and market access. VBSP has revolving fund to 2036 to allow poor smallholders to access low interest loans to invest in plantation forests to improve their livelihood conditions beyond the project⁷⁴.

As might be expected, poor households report taking less credit for this purpose than the non-poor and while credit availability has improved in recent times the difficulty is how to best use the loan and meet the challenges of what kind of crop to grow in the face of the possible local market down turns and natural disasters shocks typhoons and now longer term risks include climate change. The main reasons for taking loans is shown in Table 3.29 below.

Table 3.29 Main reasons to take a loan by ethnic group, poverty and gender of HH head

Ethnicity/ poverty status/ gender of HH head	Agriculture investments		House construction		Plantation investments		General consumption, including food		Schooling of children	
	No.	%	No.	%	No.	%	No.	%	No.	%
All (2,502)	1,123	44.9	470	18.8	281	11.2	216	8.6	210	8.4
Kinh (942)	363	38.5	167	17.7	95	10.1	45	4.8	114	12.1
Ethnic minority (1,560)	760	48.7	303	19.4	186	11.9	171	11.0	96	6.2
Poor (717)	370	51.6	141	19.7	58	8.1	81	11.3	37	5.2
Near poor (546)	285	52.2	101	18.5	46	8.4	32	5.9	54	9.9
Non-poor (1,239)	468	37.8	228	18.4	177	14.3	103	8.3	119	9.6
Male- headed HH (2,177)	1,010	46.4	400	18.4	252	11.5	175	8.0	173	7.9
Female- headed HH (325)	113	37.8	70	21.5	30	9.2	41	12.6	37	11.4

Table notes: Source: Adapted from MDRI Quantitative Survey Data. Some HHs have taken loans for more than one purpose at once. Other reasons to take loans are medical treatment, purchase of durable assets/consumer goods, land purchase, servicing other debts, ceremonies and festivals, etc.

⁷⁴ FSDP Implementation Completion Report December 2015.

e) Forest use and dependency

Forest dependency may normally be understood as the extent to which a household relies on timber and NTFPs for its overall food security and livelihood. Forest dependency of the sample population is somewhat difficult to calculate given the available data. Nonetheless, for ethnic minority people, 88% - 100% of them—depending on the group—are involved in forestry- or forest-related activities. For the Kinh it is about 63%.⁷⁵ Households were asked if they ‘harvest’ timber for self-consumption, and this resulted in 90.1% of all households replying “yes.” (See Tables 3.30, 3.31 and 3.32 below and Figure 3.26.)

Table 3.30 Timber for domestic use by ethnicity, poverty status and gender of HH head (n=1656 HHs)

	HHs reporting timber harvest for own use		Purpose of harvesting timber						HHs with female primarily responsible for wood harvest	
			Firewood		House building		Furniture			
	No.	%	No.	%	No.	%	No.	%		
Overall (3,060 HHs)	1,656	54.1	1,542	93.1	294	17.8	50	3.0	1,248	75.4
Kinh (948)	352	37.1	330	93.8	38	10.8	14	4.0	221	62.8
EM (2,112)	1,304	61.7	1,212	92.9	256	19.6	36	2.8	1,027	78.8
Poor (921)	621	67.4	584	94	121	19.5	12	1.9	492	79.2
Near-Poor (615)	344	55.9	313	91	62	18.0	9	2.6	248	72.1
Non-Poor (1,524)	691	45.3	645	93.3	111	16.1	29	4.2	508	73.5
Male-Headed HH (2,660)	1461	54.9	1354	92.7	271	18.5	46	3.1	1075	73.6
Female-Headed HH (400)	195	48.8	188	96.4	23	11.8	4	2.1	173	88.7

Table notes: Source: MDRI Quantitative Survey Data. Of the overall sample population (3,060 HHs), 1,656 report ‘harvesting’ timber for their own use (see commentary in footnote on firewood above). Respondents could give multiple answers for ‘purpose of harvesting timber.’

Although it is very much location dependent, some families do supplement their incomes through selective logging in SFCs, PFMBs and SUFs. This is, of course, an illegal activity, but with access to agricultural land-related problems, they feel there is little other choice. The local community people (mainly men) will not go to the forest for illegal logging timber if there is no market for it. Therefore, the functioning of illegal timber value chains—despite law enforcement measures—is the driver behind illegal logging. Valuable hardwoods will bring the families involved an income of several million VND when they successfully sell even just one cubic meter of timber. Working as porters for illegal loggers will also earn them much needed cash income. The risk of getting caught is not a major deterrent when people’s cash needs are high and the quality of the forest still good enough for them to find the wood required by lowland timber markets.⁷⁶

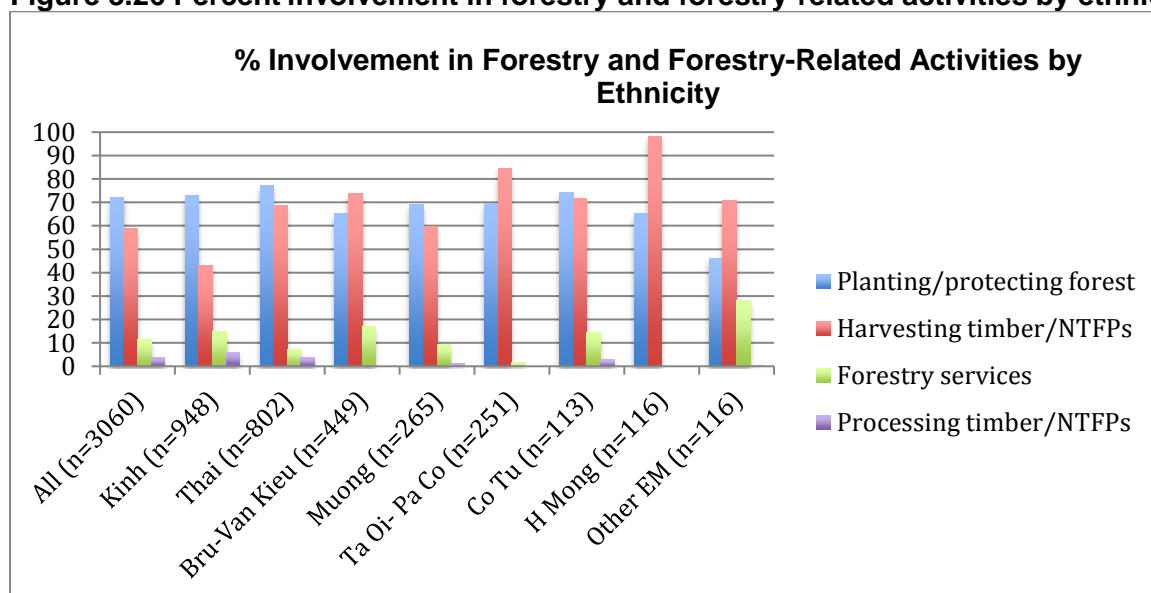
⁷⁵ This term is not well-defined, but could be understood to include such things as forest protection contracts (and data will be forthcoming show this separately in the dataset) and PFES (shown, but apparently generally little among the sample population).

⁷⁶ Information in this paragraph based largely on extensive interviews carried out in different districts of Quang Binh province in 2012.

Table 3.31 Household involvement in forestry and forestry-related activities

	% households involved in forestry and forest - related activities	% households with all members involved in forestry and forest - related activities	Planting/protecting forest	Harvesting firewood/NTFPs	Forestry services	Processing timber/NTFPs
All (n=3060)	76.3	9.3	72.3	59.0	11.4	3.9
Ethnicity of household head						
1. Kinh (n=948)	62.6	8.1	73.1	42.9	14.7	6.0
2. EM (n=2112)	90.1	10.4	71.8	70.2	9.0	2.5
Current economic condition						
1. Poor (n=921)	83.0	7.1	60.0	74.5	11.8	4.2
2. Near poor (n=615)	79.6	10.5	75.4	57.6	8.7	5.5
3. Non-poor (n=1524)	71.0	9.9	78.6	49.7	12.5	2.9

Figure 3.26 Percent involvement in forestry and forestry-related activities by ethnicity



From a community perspective, especially the ethnic minority people who do live closely connected to forest, the forest is crucial in underpinning their livelihoods (See Figure 3.26 above and Figure 3.27 below). Discussions with local communities showed that forest is indispensable for their livelihoods when forestland is also included. They make direct use of forests, especially natural forests, in the following ways:

- Land for cultivation (forest fallows under the shifting cultivation system);
- Wood for housing, firewood and other domestic purposes (making agricultural implements, boats, fencing);
- Wood for sale: both as timber and as firewood;
- NTFPs for domestic consumption (food, medicines, building materials such as roofing and walls, materials for baskets and implements, and also feed sources for animals (e.g. wild banana stalks for pigs);

- NTFPs for sale (broom grass and bamboo shoots are common in many areas; rattan, wild honey, medicinal plants and mushrooms in some areas);
- For animal grazing (where canopy not too dense); and
- For its spiritual value (home of important village spirits for some groups, where ancestors cremated).

Additionally, small farmers in the ER-P area may use their allocated forestland to plant commercial trees if it has not been categorised as “natural” forest. By far the most common commercial tree species in the ER-P area is *Acacia* (followed eucalyptus, rubber and pine). In Nghe An small plantations of the native timber species, *Meliaceae azedarach* (*xoan*) can be found. Generally speaking, poorer rural families, especially those of ethnic minorities, are more forest dependent than the non-poor. This finding was confirmed by the SESA team. The VHLSS results of 2012, showing income earning by sector and disaggregated by income quintile reveal that the lowest quintile (not disaggregated by urban/rural location, however) has forestry-based earnings roughly equivalent to 5.5% of their total earnings. For quintile two, this goes down to only 1.4% while for the other quintiles it drops far below 1% of total earnings (see GSO VHLSSS Report, Table 5.2).

There are also more indirect means by which local people may earn income from the forest. Large forest owners such as PFMBs or SFCs (and SUFs) do hire people from local communities as daily wage labour for tree planting and tending. They also enter into mainly short term forest protection contracts with villagers. PFES payments, mainly based on payments from hydropower schemes, are also managed largely by PFMBs and SUF MBs because of the watershed area is covered by the SUF or PFMB in the form of annual forest protection contracts. There is a difference between the two types of contracts. The former is largely regulated by the provincial governments based on central government decisions and guidelines, and results in uniform payments per hectare across the province. The latter is based on a combination of variable factors: the electricity production of the schemes, the size of the watershed for the scheme and the number of people in and around the watershed available to protect it. Thus, it is possible for villagers living near to each other (neighbouring villages and/or communes) to receive vastly different amounts per hectare depending on the scheme they fall under. It is also possible for payments to vary from year to year depending on the electricity output of the particular scheme. The SESA team learned of PFES payments in the ER-P provinces that ranged from a low of VND 5,000 per ha to a high of VND 640,000 per ha.⁷⁷

⁷⁷ Another PFES-related issue is that the provincial forest funds only directly receive payments from schemes fully within the borders of a single province; if two or more provinces are involved the scheme makes payments to the national forest fund, VNFF.

Figure 3.27 Percentage of households harvesting timber for self-consumption

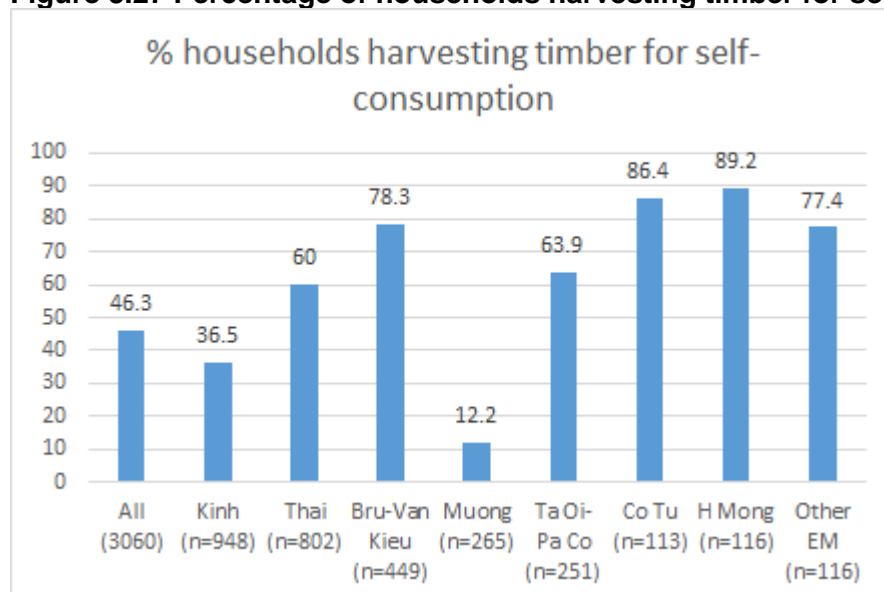


Table 3.32 Timber harvesting by gender in last 12 months

	% households harvesting timber	N	% households with person responsible for harvesting timber being female	% households with person responsible for harvesting timber being male
All (n=3060)	6.8	223	40.9	86.7
Ethnicity of household head				
Kinh (n=948)	7.8	73	53.8	83.6
Thai (n=802)	5.4	40	21.8	87.8
Bru-Van Kieu (n=449)	11.2	46	48.9	89.7
Muong (n=265)	6.7	15	15.1	100
Ta Oi- Pa Co (n=251)	7.2	18	34.7	72.4
Co Tu (n=113)	20.8	24	29.7	95.8
H Mong (n=116)	0.6	1	0	100
Other EM (n=116)	4.5	6	0	100

f) Access to non-timber forest products

NTFPs are a supplementary source of income for many families in the ER-P area, however, the presence of a particular NTFP does not necessarily mean that it has any commercial value. Villagers in some areas reported that they used to sell particular products such as rattan and broom grass, but then stopped again because the rattan-buying traders stopped coming to their area (this is often due to over harvesting and the rattan buyers tend now to only visit an area about every three years). Thanh Hoa province in particular is one of Vietnam's largest producers of bamboo (*Luong*), and thousands of villagers rely on it in districts such as Quan Hoa and Lang Chanh. Bamboo has the advantage of providing a steady, income year round while most other products are seasonal. Note that bamboo and bamboo products are currently in demand internationally. NTFPs remain, however, an important source of livelihood support even without sales since they have so many domestic purposes, from housing

materials (roofing for example), to fencing, food and herbal medicines, and animal food. See Table 3.33 below.

Table 3.33 NTFP collection and bamboo harvesting in the ER-Provinces, 2010 – 2014

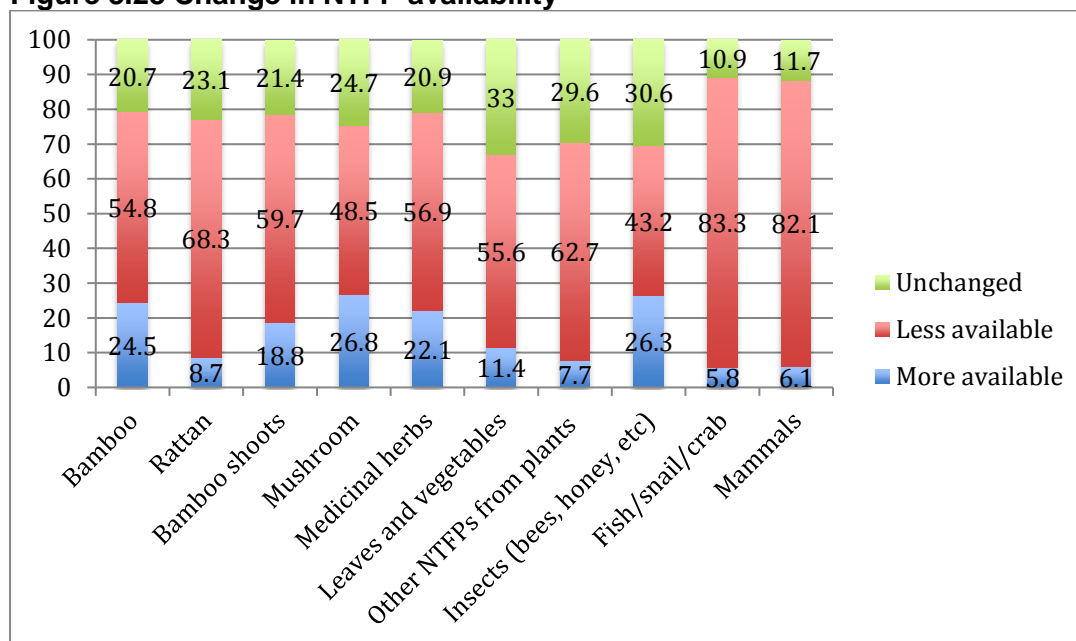
Product and unit	Thanh Hoa	Nghe An	Ha Tinh	Quang Binh	Quang Tri	TT Hue
Bamboo (<i>Dendrocalamus barbatus</i> ; <i>luong</i> in Vietnamese) in 1000 Stems	24,177 - 33,280	18,183 – 21,530	0	0	65 (projection for 2014)	0
Bamboo (<i>tre</i> in Vietnamese) in 1000 stems	155 - 407	2,532 – 5,530	2,450 – 2,656	309 - 393	433 – 902	3,801 -3,914
Bamboo (<i>nứa</i> in Vietnamese) in 1000 stems	6,375 – 12,382	29,240 – 34,470	25,490 – 27,069	0	12 -	456 - 485
Bamboo (<i>trúc</i> in Vietnamese) in 1000 stems	125 – 168	350 – 2,500	0	0	0	0
Bamboo (<i>giàng</i> in Vietnamese) in 1000 stems	127 - 195	0	3,150 -3,591	0	0	0
Bamboo Shoots in tons	463 - 955	7,392 -8,631	1,920 – 2,451	220 – 288	373 - 595	382 - 418
Rattan in tons	198 - 412	505 – 1,108	950 – 1,091	881 – 1,139	99 - 463	530 - 535
Resins in tons	184 - 246	2,215 – 3,128	729 – 1,245	2,700 – 4,868	481 - 1897	564 - 593
Palm Leaf in 1000 leaves	1,323 - 2,569	0	11,145 – 13,570	1,401 – 2,272	2.8 - 19	526 - 631
“Dong” Leaf (<i>Phrynium</i>) in 1000 leaves	1,538 – 1,730	7,147 – 12,900	26,231 – 28,949	108 – 144	67 – 82 (only 2013 and 14)	40 - 56
“Hat” Leaf in 1000 leaves	1,246 – 1,468	0	15,163 – 18,520	859 – 1,320	65 - 441	22,067 – 24,198
Paper Material	48,650 – 69,869	4,667 – 6,727	0	0	0	0
Wood ear mushroom in tons	10 - 26	50 - 75	7 - 8	5.1 – 6.3	0	3 – 4
Charcoal in Tons	0	200 - 300	0	0	0	0
“Other,” Broom Grass and <i>Imperata</i> Grass in tons.	0	1,530 – 1,915		0	0	636 – 740 (Broom) 20 – 39 (<i>Imperata</i>)

Source: Provincial Statistical Yearbooks, 2014 “Gross Output of Wood and NTFPs by Type of Forest Products.”. Only TT Hue includes broom grass and *imperata cylindrica* as NTFPs. In Nghe An there is a large amount of “other” which one assumes will largely be broom grass; the other four provinces do not record this grass although it has been mentioned in all villages visited as one of the major sources of NTFP cash income.

Based on the MDRI data, some NTFP collection trends are clear see Figure 3.28 with NTFPs generally becoming less available over time. First is that the Kinh are very much less likely to report NTFP collection compared with the ethnic minority groups. In the overall sample of 3,060 HHs, 49.4% report NTFP harvesting, but it is 64% of ethnic groups and only 16.8% of Kinh. Second, if the NTFP is for domestic use, then the Kinh drop to only 9.1% while it is 52.9% of the other ethnic groups. The third trend, confirmed by other studies is that the poor rely to a greater extent on NTFPs than do the non-

poor. Poor households are more likely to collect NTFPs for their own consumption than near- or non-poor.⁷⁸ As to be expected, women and girls are responsible for NTFP collection in a majority of households in all but two ethnic groups in the sample (Muong and Hmong), however, there is also labour disaggregation on some for example collection of rattan and honey is mainly seen as a male activity. Fourth, only a small minority of households (2-3%) are involved in NTFP processing, meaning they receive little to no value added for their labours, however, much of the collected NTFPs would be expected to go for home consumption.⁷⁹ For a provincial overview of NTFPs/bamboo harvested/collected, see Table 3.34 below.

Figure 3.28 Change in NTFP availability



In some areas it is inevitable that the forest MBs or SFCs on-going *de facto* control of the forest resource, particularly the best quality forests, cause resentment among local communities.⁸⁰ The SESA team found this was true especially in areas where historically (generally many decades ago) local communities' lands have been taken over by large state forest owners. They resent the fact that they can only get short term forest protection contracts that give them little control of the forest resource. In some locations (Con Cuong District, Nghe An for example), the PFMB, while allowing people to access the forest for NTFPs they restrict people from collecting commercial quantities of NTFPs within their areas.⁸¹ In some parts of the ER-P provinces, the resentments of local communities are reflected in their involvement in illegal logging networks (Quang Binh and Nghe An are examples but most provincial

⁷⁸ Another set of data from MDRI joining together "harvesting timber and NTFPs", shows that 79.3% of poor households are involved in such activities, while it drops to 57% for the non-poor. Again, the difference between Kinh and EM HHs is significant: some 41.7% of Kinh HHs engage in timber/NTFP harvesting, while it is 73.6% of EM HHs.

⁷⁹ Women who both collect broom grass and then make it into brooms for sale are an exception to this (observed by the SESA team in Quang Tri January 2016). The MDRI data show that although the Kinh are less involved in NTFP collection, over 7% are engaged in timber/NTFP processing compared to only 1.2% of EMs.

⁸⁰ See Phuc Xuan To et al (2014), 'A new landlord' (địa chủ mới)? Community, land conflict and State Forest Companies (SFCs) in Vietnam. *Forest Policy and Economics*, Vol. 58. The team also heard directly from villagers about their, at times, uneasy relations with SFCs.

⁸¹ Except for Special Use Forest where all logging and NTFP is normally prohibited, but there are many cases where there are informal agreements in place with the local people; other than laws of trespass the collection of NTFP or firewood collection for domestic purposes, from SFC and PFMBs would not normally be expected to be prohibited.

Forest Protection Departments and SUF MBs are aware of similar networks) that continue to degrade forests under large forest owner management.⁸²

Table 3.34 NTFP harvesting by ethnicity and poverty status (in 102 communes)

Ethnic group	HHS harvesting NTFPs %	NTFPs harvested for own use %	Bamboo shoots %	Bamboo %	Unspecified NTFPs from plants	Leaves and vegetables	Sample size n
All	49.4	39.3	27.0	18.2	15.1	9.1	3,060
Kinh	16.8	9.1	5.7	3.0	5.6	1.6	948
Thai	66.5	57.7	36.8	33.5	25.9	0.9	802
Bru-Van Kieu	65.5	59.0	60.6	12.7	3.3	41.0	449
Muong	62.6	35.8	2.3	57.4	7.5	0	265
Ta Oi- Pa Co	68.1	59.4	42.6	2.0	31.5	24.3	251
Co Tu	58.4	31.0	18.6	10.6	25.7	5.3	113
H Mong	56	53.4	18.1	8.6	19.0	1.7	116
Other EM	49.1	42.2	43.1	21.6	30.2	1.7	116
EM total	64.0	52.9	36.6	25.1	19.3	12.4	2,112
Poor	60.7	53.4	44	19.0	16.9	16.3	921
Near poor	54.3	40.8	27.5	21.3	17.6	7.8	615
Non-poor	40.6	30.2	16.5	16.5	12.9	5.2	1,524

Table notes: Source: MDRI Quantitative Survey Data. Bamboo is somewhat different to other NTFPs in this table in that it is far more likely to be planted and harvested on people's own land rather than to be collected.

One of the symptoms of forest degradation is when NTFP availability reduces, on availability of NTFPs, people have said whether this has increased, reduced or remained the same from 2010 to 2015. People have tended to say there is now less available than before. A significant minority has said the supply remains unchanged, while the smallest number (generally 10 – 15% of respondents) say the supply has increased. An unexpected finding from the quantitative survey is that the province of Nghe An has a higher percentage of households reporting “NTFP collecting restrictions” compared to other provinces. The SESA team also found this in Con Cuong District of Nghe An.

Overall, virtually all respondents (around 98% for both Kinh and ethnic minority groups) say that forest is “very important” to them. At the same time, however, a majority (all ethnic groups) also think that remuneration from forest and forest-related sources has become less reliable with time. Of interest is that a majority of people think that either households and/or the local community should be more involved in managing the forest and not external entities.

⁸² A report by PanNature (2015: 26) for VFD on co-management modalities between Pu Hoat SUF-MB and local communities revealed that “some villagers . . . are hired as labour to protect forest but they think they are not awarded an appropriate income [and] some villagers mentioned that “...if I cut down and sell one tree, I can earn around 30 million VND while [if] I participate in forest protection with Pu Hoat MB, I only get 7-8 million per year.” In Quang Tri, the SESA team heard that villagers planned to encroach on PFMB forestland for cassava plantation because they considered it theirs anyway. Commune officials were blunt: “If the PFMB can't manage its land, they have to accept people encroaching on it to meet their basic needs”.

Figure 3.29 Example and uses of NTFPs



g) Firewood

Firewood usage throughout the ER-P area⁸³ reported below Table 3.35 from provincial firewood statistics, shows that, most households harvest firewood (93%) and in Figure 3.30 shows that women are in particular involved in the collection of firewood. Most firewood is reported to come from production forest areas, with a small minority mentioning protection forest and special use forest⁸⁴.

⁸³ The figure is subject to revision, firewood may include tree cut down for timber, and the small branches may be used for firewood, but many households collect firewood by cutting dead branches from live trees, from dead trees and by picking up fallen branches.

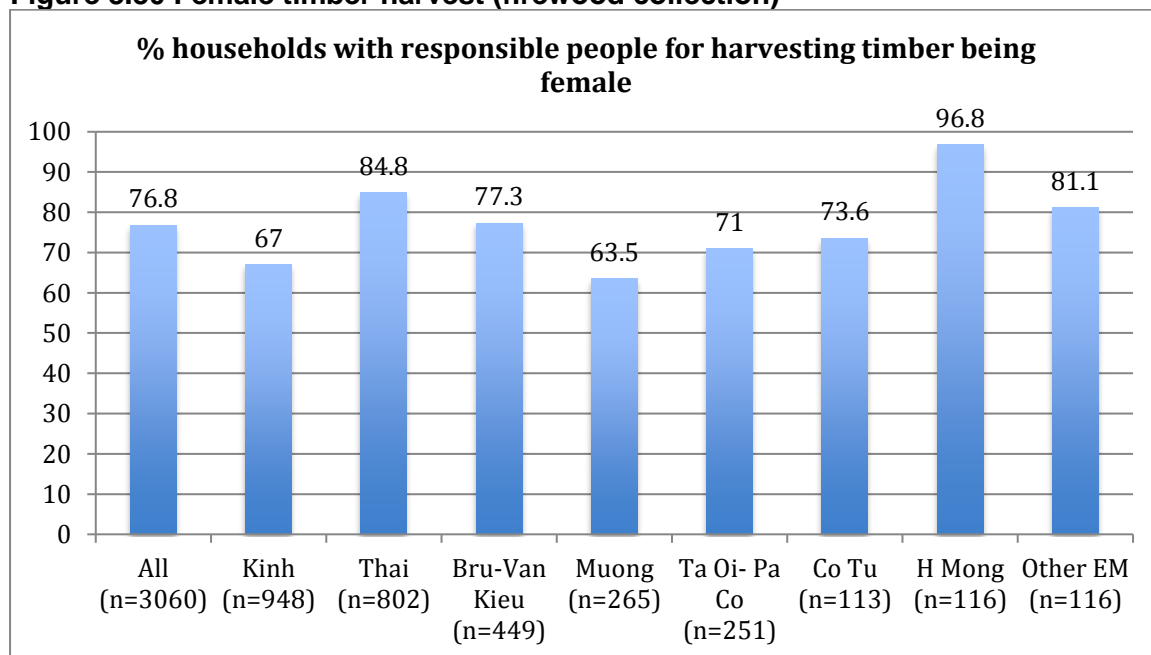
⁸⁴ This figure is most probably under reporting as under the Forest Protection and Development Law 2004 it is illegal to remove anything from SUFs, however, informal access is often allowed with the understanding that commercial quantities of NTFPs cannot be removed.

Table 3.35 Firewood collection in the ER-P provinces, 2010 – 2014 (1,000 stere⁸⁵)

Province	2010	2011	2012	2013	2014
Thanh Hoa	1,435.7	1,296.1	1397.2	1,693.1	1,478.3
Nghe An	2,495.2	2,500	2,609.6	2,117.5	2,130.5
Ha Tinh	735.1	762.6	821.6	860.6	906.0
Quang Binh	432.9	401.1	254.0	303.3	224.0
Quang Tri	328.4	324.7	307.6	329.2	280.5
TT. Hue	165.6	165.6	166.1	168.1	202.2
Total	5,593	5,450	5,556	5,471	5,222

Source: Provincial Statistical Yearbooks, 2014 “Gross Output of Wood and NTFPs by Type of Forest Products” (note that the amount for Nghe An in 2011 is a SESA team “low guesstimate 2800” since it was not shown in the Yearbook; amounts for 2014 are Yearbook projections).

Table 3.35 immediately above shows the large amounts of firewood that are used annually in the ER-P areas, with a somewhat declining trend overall (but not in all the six provinces). All rural households are major consumers of firewood, but so are small rural town based businesses such as restaurants, brick kilns and charcoal producers. While firewood is generally collected from fallen branches and dead trees, farmers may also ring bark (girdle) trees to kill them for future firewood purposes. Local people consulted by the SESA team did not generally complain of firewood scarcity, although some mentioned that preferred types of wood were less available than before, or that they had to go farther to find good wood. During fieldwork on REDD+ in Quang Binh (2012), it was found that in the midlands villages (more Kinh than ethnic minorities) were starting to feel they would have firewood shortages within the next few years. Women of all ethnic groups tend to be more involved in the collection of firewood, and its sale if necessary, but men also assist as required.

Figure 3.30 Female timber harvest (firewood collection)

⁸⁵ A measurement equal to 1m³ of stacked, cut wood; in Vietnamese shown as stere.

Figure 3.31 Collection and use of firewood



Firewood use and dependence in Vietnam is not confined to rural villages. Left, a small town restaurant in Quang Binh. Right, women bringing firewood for sale in Hoa Binh town, Nghe An.

3.6.2 *Summary of potential livelihood issues*

Based on the depth qualitative consultations, with the communities, the topics related to REDD+ were discussed and the communities raised many issues related to livelihoods, these are summarised below in Table 3.36:

Table 3.36 Summary of uplands livelihoods issues and forest dependency

Major topic	What is at issue?	Relevance to REDD+	Safeguards as applicable
Upland LIVELIHOODS			
Insecure livelihoods, especially of EMs.	EM Poverty – especially with the new income standards for 2016-2020 – remains much higher than Kinh. Rice subsidies were common in upland areas visited. People will “fill their stomachs first, then worry about the forest.”	Implications for local people’s active involvement in REDD+ which will reduce both their chances to benefit, and the increase in forest cover.	OP 4.10
Income from production forest.	Remoter areas: potential to earn more income from production forest (such as acacia) can be limited. Too little extension advice; people left to try on their own – too often ends in lower yields/prices. People may end up in the following progression: degraded natural production forest → commercial plantation → annual crops like maize or cassava.	Choice of plantation and long rotations	OP 4.10
Reliance on firewood	Most rural people (but also including at least some part of the populations of small rural towns) rely on firewood for heating/cooking. For the poor hhs, firewood can also be a source of cash income.	Excessive firewood collection from live trees may reduce regrowth of timber trees, thus reducing rate of natural regeneration. Implications for increasing forest cover.	OP 4.10
NTFPs, importance of for supplementary income and/or subsistence.	Large forest owners sometimes try to limit people’s access to forest products, including NTFPs. Where access not limited, overharvesting	If REDD+ programme works with large forest owners, they may want to further limit people’s access to forest.	OP 4.12 OP 4.10

Major topic	What is at issue?	Relevance to REDD+	Safeguards as applicable
	and/or forest degradation caused by conversion to monocultures reduce their availability. Poorer EM households' livelihoods made less secure by limiting presence of large forest owners.		
Insecure income from annual cash cropping	EMs able to make only limited investments in land and/or other agricultural inputs. Low yields and fluctuating market process and incomes (e.g. cassava/maize). Limited incomes/yields from upland cropping with poor market integration may mean that, people seek incomes from other sources including illegal timber harvest large livestock another.	Possible negative implications for increasing forest cover.	OP 4.10
Increase of annual cash cropping incomes through intensification ⁸⁶	Few locations in ER-P mountainous areas (remoter communes) where market integration exists at high enough level to promote intensification so that local communities would be convinced to use less land for agricultural production.	Considering poor market integration, limited extension services likelihood that this will not occur during the program implementation period	
Cash poverty of HHS in remoter communities / change in agricultural systems a)	Current rural income poverty line (plus other factors related to services) is now fixed at VND 700,000 per capita per month. Many HHS in proposed ER-P area are well below this, but because of sedentarization requiring a change from mixed upland rice vegetable cultivation, as a priority is to ensure food security. Purchased agricultural inputs (e.g.. fertiliser) are often avoided for upland production.	Potentially repercussions for success of REDD+. As local communities require cash on an immediate and regular basis. Their interest in long rotation tree crops will remain limited without financial support. (Quang Tri Case: switch from acacia to cassava.)	OP 4.10
b)	REDD+ performance-based payment system.	Poor HHS unlikely to want to participate in schemes whereby their labour is not rewarded fairly quickly. Their need for cash to maintain livelihoods is too great. Risk that they will not be able to participate at all in REDD+ unless ODA provides activity-based payments and provides extension advice	OP 4.10
c)	REDD+ investment requirements – <i>ex post facto</i> subsidies.	If it is required that HHS have to make their own major investments in, for example, enrichment planting it will most	OP 4.10

⁸⁶ ER-PIN suggests that intensified agricultural production will has the potential to reduce unplanned deforestation by 12,000 ha (20%).

Major topic	What is at issue?	Relevance to REDD+	Safeguards as applicable
		likely exclude all cash poor families.	
Livestock as pillar of upland livelihoods	Medium (pigs/goats) and large (cattle/buffalos) are often the only viable activity for which local people can get, and repay, credit (VBSP). Most EMs view livestock as one of means to earn income and increase savings legitimately. Goats and large livestock generally allowed to free graze, as pasture is too limited	Free grazing may have negative impacts on natural forest regeneration in the immediate area.	OP 4.10
Generally: market demand	With insecure livelihoods and limited alternatives people have no choice but to follow the agricultural product markets, especially when promoted by local authorities.	Some of the crops responding to market forces have negative impacts for forest cover, and biodiversity (cassava, maize and Acacia monocultures all cases in point).	OP 4.10 OP 4.36
Supplementary income from Forest Protection Contracts.	Theoretically, should be “win-win” for local people, MBs and quality of forest. There are sometime operationally difficult to implement due to the remoteness of communes or they have low amounts that few people implemented them seriously. Often confined to limited/ occasional patrolling. Best done on a community base.	Risk that if forest protection contracts in REDD+ areas done in BAU way, they will neither motivate local people nor result in expected forest cover increases/ERs.	OP 4.10 OP 4.36

3.7 *Land tenure*

In Viet Nam all land is constitutionally the property of the state, but exclusive use rights are given to individuals under a contractual arrangement with the state. These use rights are transferable with few limitations, and the contract is sufficiently long-term (for example, renewable 50 years), so for most of the contract's duration there is very little difference between possession of use rights and full property rights.

a) Constitutional provisions of Viet Nam

The 2013 Constitution of the Socialist Republic of Viet Nam in Article 32, Section 2, states: “The right (of all its citizens) to private ownership and the right to inheritance is protected by law”. In Article 54, Section 2, it states: “The State shall allocate or lease land to, and recognize land use rights of, organizations and individuals. Land users may transfer land use rights, exercise their rights, and perform their obligations in accordance with the law. Land use rights shall be protected by law”. In Section 3 of the same Article it states: “The State may recover land currently used by organizations or individuals (and this includes) for socio-economic development or in the national or public interest. Land recovery must be public and transparent and compensation must be paid in accordance with the Law”. It does not constitutionally recognize “indigenous” land title or customary land tenure.

b) Basic principles in the Land Law of Viet Nam

The 1993 Land Law (revised in 2003 and again in 2013) embodies the principle of state management of all land, while granting farming households Land User Rights Certificates (LURC) that can be transferred, leased, mortgaged and used as collateral. In 2013 the term for agricultural LURCs (includes forestry LURCs) was extended to 50 years. Due to its history and low supply of arable land per capita, the average agricultural land holding is 1,560 m²; and is slightly higher in the Mekong Delta of Southern

Viet Nam but lower in the Red River Delta of Northern Viet Nam. Relatively few households have LURCs for forest land, the typical LURC being issued are for housing attached garden area and sometimes orchard land and wet rice fields.

There are some areas of concern, notably the issuance of LURCs (even though more than 90% of agricultural but, not forestry land is covered by the issuance of these LURCs) and resale of land after compulsory acquisition, which the Government of Viet Nam is very cognizant of. In 2012 a random survey found that only 36% of LURCs were held jointly in the names of both husband and wife or in the case of female-only adult households (Land Law since 2003 requires all LURCs be issued conjointly) but among ethnic minority households joint ownership at 21% was even lower. In 2014 more than 90% of complaints received by the MONRE, were related to land disputes, especially investment projects such as hydropower projects, industrial parks and residential estates that provide commercial benefits. The local media, whether the print media, television or social media, regularly report on land disputes and these are widely debated and the Government of Viet Nam encourages the public airing of these disputes.

Articles 43 and 69 of the 2013 Land Law states citizens have the right to voice their opinions that should be documented and supervise and report breaches on land management use either themselves or through representative organizations although civil society organizations have raised the issue that there is no formal process for the facilitation of consultations or securing majority agreement. Nevertheless, these same CSOs argue that the new law enables better land governance through inclusions of the right to information and transparent decision-making and the recentralization of issuance of LURCs away from the Commune People's Council to the District People's Council. Article 133 of this law states that land used inefficiently or illegally by State Owned Enterprises (SOEs) should be allocated or leased to organizations, households or individuals, with priority given to ethnic minority households or individuals who do not have or have insufficient land for production.

c) Decisions of the Communist Party

The reformist intentions of the 2013 Land Law are also reflected in Resolution 30/2014 issued by the Communist Party Political Bureau on Reforming SOEs, which have seen numerous provinces re-allocating land to primarily ethnic minority households and communities in 2014-15. The Party supported campaign has targeted an increase in the issuance of LURCs to women, especially ethnic minority women. This indicates a political commitment by the Communist Party in tandem with the Government to progress forest land allocation and the proposed revision of the current Law on Forest Protection and Development that will be presented to the National Assembly in 2016/17 will provide further legislative measures in this area. Even since the passing of the 2013 Land Law compulsory land acquisitions have halved although this also relates to the fact that there are fewer public or private investment projects that require land acquisition.

d) Reality of access and use of forests

While much of the forest land is still owned by PFMBs, SUFs and SFCs, and legally they can restrict access to this forest land the reality on the ground is that in forest-dependent communities where there has been limited forest land allocated, individual households can still access these forests. This access includes for harvesting of NTFPs and tree felling for household construction purposes. Some individual households "over-exploit" this informal access by the over-harvesting of NTFPs for commercial purposes and quasi-commercial logging albeit on a small scale. The Government of Viet Nam recognizes that NTFPs are an important source of additional food security for forest dependent households that can also be converted into an exchange value for the acquisition of necessary goods and services. The Government also recognizes that high-value hardwoods realize significantly greater returns for the level of effort required than other upland livelihood activities but it will not condone this form of "illegal logging". Forest Protection Department staff are required to strenuously enforce forest protection regulations vis-à-vis "illegal logging" but to be more lenient with households that harvest NTFPs. In general while there is restricted access to and use of forest resources forest dependent households are not denied access on a "de facto" basis. Hence lack of tenure per se does not mean lack of access.

What lack of tenure means is that there is the possibility of restricted formal access to forest resources by forest-dependent households.

It should also be noted that some forest-dependent communities and households do not wish to be allocated forest land for legitimate reasons, especially if protection forest land is targeted by illegal loggers, or if they lack the labour resources to take the responsibility of forest protection or if the forestland in question is located some distance from their normal place of residence or crop cultivation. Clearly, if a community or household is reluctant to take the responsibility of forest protection the reasons would need to be discussed and where possible a solution found or alternative options for forest allocation and protection could be discussed. If they were to be allocated forest land that they could legally convert into cropping land they would be more interested, but they consider the opportunity cost of being allocated protection forest land is too high. They are also interested in production forest land if they could find finance for commercial forestry activities, such as the cultivation of acacia, and in such instances tenure either by LURC or leasehold appears to be satisfactory.

It also has to be recognized as younger household members in forest-dependent households participate to a greater extent in secondary education than in the past they understand waged and salaried employment in the towns and cities of Viet Nam (especially Ho Chi Minh, Da Nang and Hai Phong) generate higher incomes so land tenure issues per se are less important than they otherwise would be. It is necessary to understand the inter-generational socio-cultural and political-economic dynamics of change in rural Viet Nam, including in the upland areas. There was a time when younger ethnic minority household members would not enter the waged and salaried labor market but in recent times they have observed from the generally more economically prosperous Kinh households that reliance on agricultural and forestry income-generation activities alone is not the path to improved livelihoods.

e) Customary forest rights

Prior to state management of forests and land in Viet Nam wet rice fields, terraced fields, dry rice fields and orchards could be exchanged, sold, mortgaged and inherited among community members. Forest resources other than land, including forest products and water sources, were communally owned and can be used by all community members. Outsiders were able to use these resources, but only with the permission of the village head. The village head and community “legal” guardians were/are responsible for controlling, protecting and resolving all land-related conflicts and representing their communities in ritual sacrifices to the “supernatural beings” whenever customary law is violated.

Land and resources are owned by the entire community. They can be used by all community members who are treated equally in terms of the use of the community land. No person may sell or transfer forest land to outsiders. The supreme owners of the land and resources are invisible supernatural beings. All land users must respect these beings who govern the land and all it contains. Those who pollute the land by breaking customary rules are penalized and are required to apologize to those beings to avoid collective punishment of the entire community. Almost all villages have areas of forbidden forests, including mainly watershed protection forests, sacred forests and cemetery forests (typically when land acquisition is underway the GoV attempts to respect and avoid aspects of these forbidden forests, most notably the cemetery forests). The remaining forest is accessible to community members on the principle of “first-come, first-served”. The assertion of individual land use rights in the community is acknowledged by community members. This practice remains common when forest land is cleared for swidden cultivation: a practice the GoV has prescribed since the late 1980s.

Thus there are substantive differences between the statutory rights enshrined in the policies and laws of Viet Nam and the customary rights of upland ethnic minority communities. The GoV does not recognize these customary forest rights.

f) Public sector resources to promote land security

Cadastral surveys cover most of the commercialized urban and peri-urban areas in the coastal plain. Historically surveys have not been vigorously pursued in most other regions or in upland areas. The verification of boundaries and the resultant improvement in ownership security is thus totally dependent

on public sector land surveying, which is a function of public budgets. The result has been a compromise between the traditional practices of allowing citizens to bring unoccupied forest land under cultivation or continue to collect NTFPs as “private property” and the requirements of the land titling system based on cadastral surveys.

To consider the role of property rights in general and land rights in particular, it is important to place these rights in the context of the overall institutional structure of the society and economy. There is the potential for a lack of congruence within state institutions although the formal legal system may provide for alien-ability, the transfer of land to persons including from transfer from one ethnic group to another this may represent a deviation from some cultural norms. Similarly, although the constitution makes provisions for private property rights and the formal laws establishing such rights, the corresponding registration and enforcement mechanisms may be weak or even largely absent away from the urban areas.

g) Communal and community land

Communal rights may represent the best arrangement for situations in which the opportunities to invest in the quality of the land are limited and the community is small, but because land is sufficiently scarce it pays to exclude outsiders from using it, this is one of the underlying pillars of FLA and CFM: outsiders are readily detected, and the entire community has an incentive to enforce their exclusion. “Community land” where land is said to be “communally owned” there should be an attempt to determine decision making and the nature of rights of persons in possession. At least two forms occur in the ER-P area LURCs have been issued in the name of the commune leader and in the second a District makes a Decision to allocate the land to the community, however, no formal community title is recognized and the community is not recognized as a legal unit in the Vietnamese Civil Code, and the Land Law 2013 provides a generic definition of the term community.

3.7.2 *Land holdings*

Figure 3.32 below shows how the Kinh and various ethnic minority group acquire land, as can be seen the Kinh majority and the Muong and Thai minority groups gain title mainly through the State processes, and the Muong are evenly split between state processes and inheritance (which is also provided for under the Land Law although inheritance is generally important to all ethnic minority groups except the H'Mong who apparently gain land by occupying vacant land this is also important for Co Tu and Ta Oi-Pa Co and Van Kieu. In general it appears that few of the groups, including the Kinh, in the NCC purchase or rent or borrow land, this suggests that there is currently little land pressure if most households inherit land or can move to “vacant land” which may help to explain the degradation of the forest if land is perceived to be “vacant”.

Figure 3.32 Land holdings and main means of acquisition

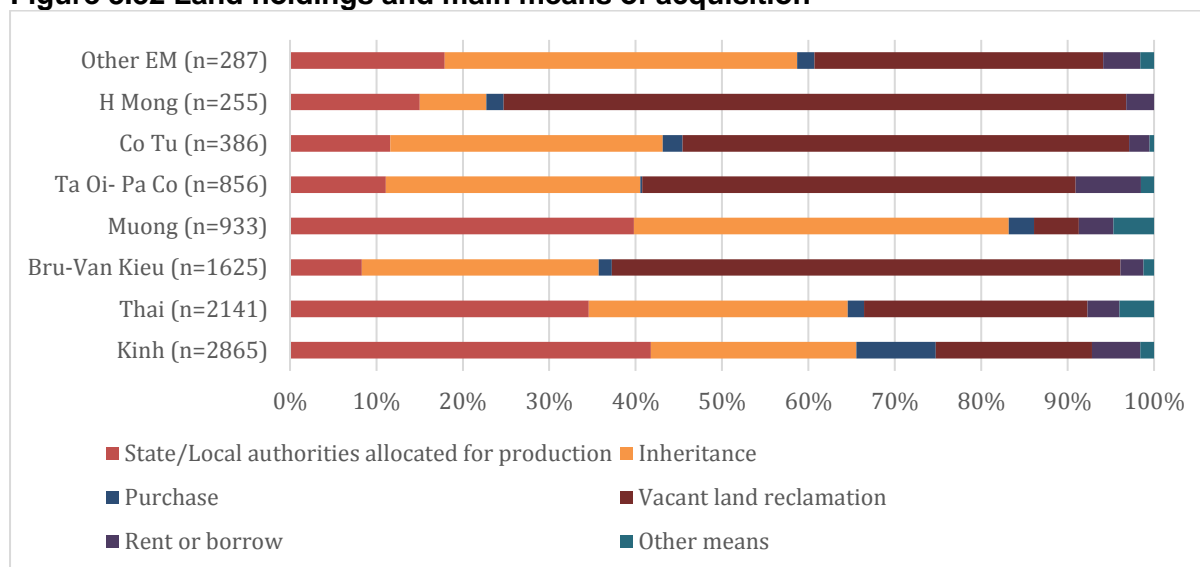


Figure 3.33 Production land per capita, by main ethnicity group (m²)

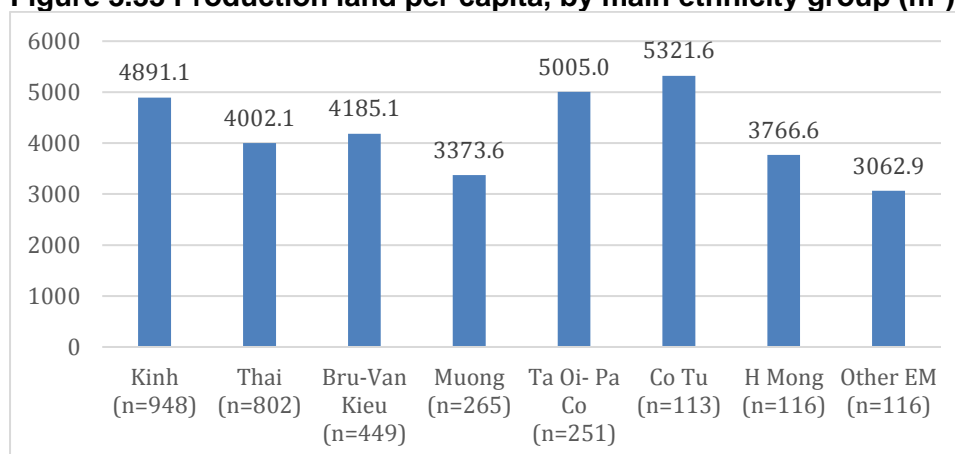


Table 3.37 Different types of production land (m²)

Average area of land per capita	Agricultural crop only (N=2572)	Forest farming only (N=1524)	Agricultural and forest farming mix (N=309)	Aquaculture (N=117)	Bare (N = 355)
All (n=3060)	1238.2	4845.5	3706.8	424.9	1574.9
Ethnicity of Household Head					
Kinh (n=948)	1459.1	6333.3	2875.3	507.2	798.5
Thai (n=802)	720.8	3815.2	4295.2	134.2	2644.6
Bru-Van Kieu (n=449)	1971.0	3940.3	2048.6	645.9	2681.2
Muong (n=265)	751.8	3179.1	3825.6	177.2	709.5
Ta Oi- Pa Co (n=251)	1265.1	5458.5	2908.8	158.5	4044.4
Co Tu (n=113)	2241.0	3769.1	4204.4	116.7	1608.6
H Mong (n=116)	2689.0	2821.4	4853.3	50.0	1108.1

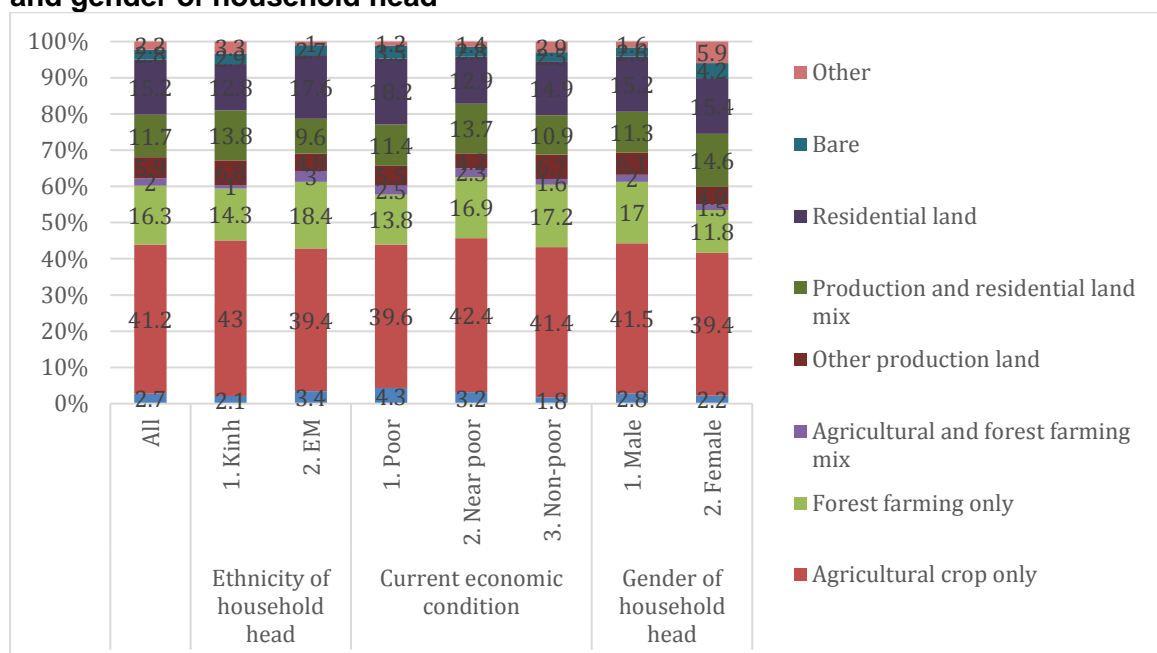
Average area of land per capita	Agricultural crop only (N=2572)	Forest farming only (N=1524)	Agricultural and forest farming mix (N=309)	Aquaculture (N=117)	Bare (N = 355)
Other EM (n=116)	1967.1	2632.6	3042.8	2132.0	2369.7
Ethnicity of Household Head (Kinh-EM)					
1. Kinh (n=948)	1459.1	6333.3	2875.3	507.2	798.5
2. EM (n=2112)	1047.0	3676.7	3978.6	338.9	2483.5
Current economic condition					
1. Poor (n=921)	921.6	3068.4	3239.5	292.9	1599.7
2. Near poor (n=615)	1025.0	4449.4	3554.6	102.6	1637.8
3. Non-poor (n=1524)	1523.2	5780.6	4170.8	582.5	1530.2
Province					
Ha Tinh (n=210)	994.2	8797.7	4077.3	246.0	1603.2
Nghe An (n=810)	1238.8	4583.6	3731.0	582.8	1626.3
Quang Binh (n=360)	1167.7	5607.2	2297.0	202.3	1167.9
Quang Tri (n=480)	3305.8	5805.7	2357.3	456.6	1468.0
Thanh Hoa (n=750)	802.3	3597.9	4128.4	451.6	1378.5
Thua Thien Hue (n=450)	1521.8	4197.5	3459.7	103.0	2888.1
Gender of Household Head					
1. Male household head (n=2660)	1246.8	4832.0	3721.0	444.4	1559.3
2. Female household head (n=400)	1176.6	4972.2	3584.7	230.4	1638.9

As can be seen from Figure 3.33 above, Muong and Hmong have on average less production land than other groups. The analyses in previous sections show two distinct reasons: Muong households are more likely to take up wage employment and less likely to participate in agriculture and forestry, the sectors more dependent on land production. Meanwhile, the low production land holding of the H'mong households can be explained by their generally low level of commercial production involvement and higher forest dependency.

Table 3.37 above gives a more detailed look at the different types of production land. The area of land used only for agricultural crop (1238.2 m² per capita) is smaller than that for forest crops (4845.5 m² per capita) and mixed planting of both agricultural and forestry crops (3706.8 m² per capita). Regarding land parcels used only for agricultural crops, Co Tu, Hmong, and Bru-Van Kieu seem to have the largest area of land per capita. The Kinh and Ta Oi-Pa Co have the largest area of land per capita dedicated to forest farming. Meanwhile, for mixed-use land Thai, Co Tu, and Hmong are likely to have a larger area of land. Only a very small proportion of households in the area report to have land for aquaculture, with Kinh and Bru-Van Kieu having the largest area. Of the households who claimed bare land at their disposal (12% of surveyed respondents), Ta Oi-Pa Co stands out as the EM group with the largest area on average.

3.7.3 Land use

Figure 3.34 Land use structure of ER-P communities, by Kinh - EM status, economic condition and gender of household head



As shown in Figure 3.34 above the majority of the land owned by the households in the area is used exclusively for agricultural crops (about 40%), followed by land exclusively used for forestry crops (about 12-18%) it also shows that the poor and female headed households find it difficult to get access to or undertake forestry (13.8% and 11.8%). For ethnic minorities, the proportions of land used exclusively for forestry crops and land used for both agricultural and forestry crops are slightly higher than those of Kinh counterparts. Notably, male-headed households appear to have a higher proportion of forestry land than female-headed households, indicating a gender bias in forestry crop cultivation.

a) Experience with LURCs and credit for plantation agriculture from the FSDP

Property rights allow formal credit although for ethnic minorities a lender is not always allowed to use the property right (LURC) as formal collateral (but it helps provide a picture of credit worthiness of the potential borrower⁸⁷), but in addition to the formal procedures for registering liens on, property rights can provide important incentive mechanisms for productive use of land.

The credit for smallholder plantation forest component was managed by a FSDP project implementation unit within the VBSP. The VBSP at the central, provincial and district levels served smallholder household credit needs through services at the commune level in accordance with the Credit Manual. At the commune level the foundation of the smallholder plantation forest component was the household orientation to opportunities; registration and initial social screening to target poor and ethnic minority groups; inputs to landscape and commune level plantation planning and mapping; access to VBSP low interest credits, contracts; and plantation models; and preparing proposals for land allocation, survey and mapping in the LURC process. On issuance of LURCs, extension services were planned to meet priority smallholder needs; individual smallholder plantation designs prepared; VBSP credit applications submitted and secured; quality seedlings from accredited nurseries procured; and Forest Farmer Groups established. Smallholders considered that the provision of extension services and technical training were fundamental for the success of their plantation forest investments and pivotal in their transforming from an aid-dependent mentality to self-reliant, plantation forest investors.

⁸⁷ Banks are generally not allowed to foreclose on land owned by ethnic minorities in Vietnam.

FSDP Smallholder plantation areas were established for 76,571 ha which were owned by 43,743 households and LURCs were granted to 36,044 households covering 67,912 ha. Under the certification pilot program, the FSDP project obtained Forest Stewardship Council (FSC) certification for over 850 ha of plantation forests owned by 354 households.

b) Key questions and transparency improving

What needs to be determined are the patterns of land ownership and related decision-making procedures regarding agriculture and investment for REDD+ are the lands really "bare land" and how secure is the farmer's tenure? Are there prescribed uses of the land that the individual, or family, cannot change and is there any conflict between traditional practices⁸⁸ and the formal system?⁸⁹ This is difficult to determine without further very detailed locality specific work, which all forest projects have to go through in Viet Nam and there are some specific safeguard measures proposed to assist this process.

The overall conclusion from a recent study on land administration is that although Viet Nam has relatively good laws and regulations on the disclosure of information to the public, there is room for improvement at the enforcement and implementation levels.⁹⁰ The results of the Land Survey show that even in the areas where the results are quite positive, there is room for improvement. Hence, while transparency and accountability seem to have increased, it appears that it would still be greatly difficult for laypeople to navigate the Viet Nam's land administration system. This implies that significant inefficiencies and overly burdensome transaction costs remain in the land administration system.

Table 3.38 Average landholdings by ethnicity, poverty status and gender of HH head (3060 HHs in 102 communes (ha))

Ethnic Group/ Poverty Status/Female-Headed HHs	All land-holdings	Land of agricultural crops	Tree plantations	Agro-forestry land	Forest land for protection	Bare land
Overall average	2.6	.52	.86	.16	.70	.12
Kinh	2.3	.46	1.01	.06	.47	.05
Thai	2.7	.26	.77	.22	1.00	.11
Bru-Van Kieu	2.8	.98	.88	.11	.59	.20
Muong	1.5	.32	.91	.09	.05	.03
Tao Oi – Pa Co	3.5	.52	1.07	.34	1.05	.36
Co Tu	2.4	.83	.97	.32	0*	.08
Hmong	2.8	1.08	.22	.51	.53	.06
Other EMs	3.8	.65	.34	.05	2.5	.14
Poor	2.3	.49	.50	.13	.90	.10
Near-Poor	2.7	.49	.80	.14	.95	.12
Non-Poor	2.7	.55	1.11	.18	.48	.12
Male-headed HHs	2.7	.55	.92	.17	.71	.11
Female-headed HHs	1.8	.32	.52	.07	.62	.12

Table notes: Source: MDRI quantitative data. This refers to landholdings regardless of whether they have a long term Land Use Rights Certificate (Red Book) or not. *There is no explanation as to why the Co Tu (113 HHs in the overall sample) have no protection forest land (the data was verified) explanations may be that there is inadequate forest or that the local PFMB/ SFC simply does not operate them.

⁸⁸ "Custom" is not defined in the Land Law and is changing, subject to different interpretations - a response to changing situations.

⁸⁹ In Vietnam the popular notion of an "owner of land" is a person who enjoys a demarcated piece of land, registered in his/her name, with the right to gift, transfer, and will away the land all possible under the Land Law for State administered land title. This conception of total freedom is at variance with reality, "eminent domain" - the power of the State to acquire the land for its sovereign purposes - in which event the owner may be entitled merely to compensation, often paid in instalments that may not be equivalent to the "market value" of the land. In practice, an owner's perceived "rights" may be completely fettered. Land may be registered in the name of one person, he/she may hold it (as with the joint names) as co-sharer, it may be used by a third person, and a fourth may have the right to pass over it (an easement).

⁹⁰ Survey report on information disclosure of Land Management Regulations, Development and Policies Research Centre November 2010 funded by DFID and WB.

The data in Table 3.38 above indicate that average landholdings in the ER-P area are small. Only the Tao Oi-Pa Co of the southernmost provinces has as much as 3.2ha on average. The average area of land for stable and cash crops are extremely small much of the land would be expected to be sloping without terraces or irrigation. The gender differences in landholdings show that female-headed households have little access to land compared to male-headed households and reportedly less land than households identified as “poor.”⁹¹ The areas available for commercial tree plantations (rubber, acacia) are also very small, with the overall average of the ER-P surveyed communes around one hectare. Again, women-headed households are highly disadvantaged compared to men. According to MDRI’s data, the average number of parcels per household varies from 3.5 – 4.5. As the land holdings are quite small and fragmented and will make it harder for intensification of agriculture to take place.

Land conflicts or disputes also play a role in the ER-P provinces, but there is little strong quantitative data on this issue. It was reported that 189 households (out of 3,060) have disputes affecting 213 parcels of land. Noticeably, the Bru-Van Kieu and Co Tu reported more conflicts than others at 10.7% and 11.4% respectively. The Bru-Van Kieu is the only group to report a larger per cent of parcels (28.7% of 60) under dispute with a SFC.⁹² In most cases, if there are disputes they arise among households. There is also land appropriation by the State for different purposes, but the sample did not include a large number of cases (140 affected households, of which 101 are non-poor).

Overall, the quantitative land data, when seen with the discussion on land and forest land issues have implications for the potential of small holder farmers to benefit significantly under REDD+ without additional work on land titles. Not only are their land holdings small and fragmented, they only have secure tenure with long term land use rights certificates over about 43% of the parcels they use. Not having secure tenure, combined with the relatively high poverty levels of a significant number of households, strongly influences household decision-making in terms of cropping and investments.

3.7.4 Land tenure security

One of the most important relevant issues for REDD+ and the safeguards is land tenure security. Formal tenure in Vietnam is legally very secure when completed and the title is registered, complications arise with the land administration steps and the transaction costs. Revision of Vietnam’s Land Law has addressed the immediate tenure insecurity problem by extending the term of LURCs. The gradually reducing availability of suitable land for agricultural production in the uplands is another developing issue. When land tenure is either insecure or unclear it will stop people from making longer term investments in the land. In some areas, the anticipation of future, large infrastructure projects would also be an effective investment block for local communities (or conversely the wrong type of development as “outsiders” may wish to cash in on speculation). In the remoter areas of the ER-P provinces, formal land tenure security in the form of long term land use rights certificates (LURCs, or Red Books that grant land use rights of 50 years to their holders for agricultural and forestry land, residential and garden land) has been accorded to ethnic minority households in some areas, but not in others. There is, however, no accurate estimate for the six ER-P provinces. In the upland rotational farming systems, there is a very close connection for local people between agricultural and forestland. Thus, another aspect of land tenure to consider is that in some of the ER-P provinces people have not received Red Books for anything but residential lands (and paddy land where this is available), meaning that in addition to facing challenges with appropriate forest land allocation, they have limited formal agricultural production land security.

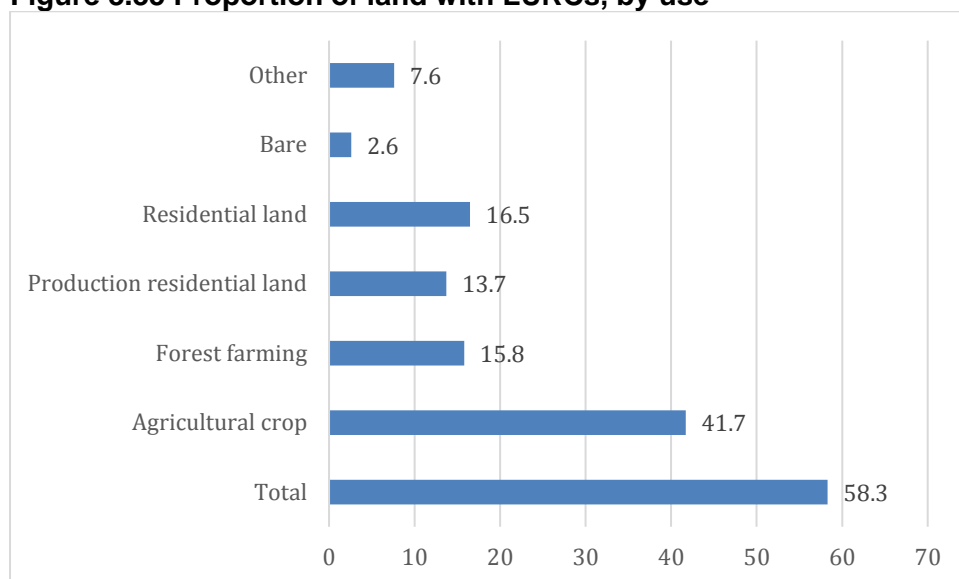
Despite being claimed to be at the disposal of the surveyed households, it is estimated that 58.3% of all land in the ER-P surveyed area have LURCs. As demonstrated in Figure 3.35 below this statistic varies among different types of land use, with certain land categories involving more informal ownership than

⁹¹ It is assumed that the very small landholdings are a correlation with poverty rather than a correlation with non-agricultural economic activity such as trading, shops and other services.

⁹² This will be the Long Dai SFC in Quang Binh (Quang Binh is the only province to show a high dispute level involving an SFC).

official tenure. For example, while 41.7% of land parcels used for agricultural crops have LURCs, only 15.8% of land parcels used for forestry crop farming have LURCs.

Figure 3.35 Proportion of land with LURCs, by use



The quantitative data on land holdings allow an overview of the extent to which land parcels are titled. Quantitative data in Table 3.39 and Table 3.40 shows that most households have relatively insecure title for agricultural cropping land as 55.5% of all groups having a LURC and with poor households only having 39.6% with a title and the Hmong's titled cropping land parcels amount to less than 1% while the Kinh, Muong and Co Tu and Thai above 50%. The data show that the poor have less security of tenure than other groups but near poor is comparatively high at 57.6%.

Table 3.39 Titling of land parcels summary by land type, ethnicity and poverty

Summary Ethnicity/ Poverty Status/	Total parcels*	Parcels with LURCs	% LURC parcels to total	Parcels for seasonal cropping	Cropping parcels with LURCs	% LURC parcels of seasonal cropping	Parcels for tree plantations	Tree plantation parcels with LURCs	% LURC parcels of tree plantation	Sample size (n)
	1	2	3	4	5	6	7	8	9	10
Total HHs,	12,183	6,767	55.5	6,548	2,843	43.4	2,587	1,167	45.1	3,060
Kinh	3,684	2,482	67.4	2,065	1,090	52.8	671	337	50.2	948
Ethnic Minority	8,499	4,285	50.4	4,483	1,753	39.1	1,916	830	43.3	2,112
Poor	3,422	1,354	39.6	1,836	548	29.8	606	217	35.8	921
Near-Poor	2,489	1,433	57.6	1,339	606	45.3	529	244	46.1	615
Non-Poor	6,272	3,980	63.5	3,374	1,689	50.1	1,452	706	48.6	1,524

Table 3.40 Titling of land parcels by land type and ethnicity

Ethnicity	Total parcels *	Parcels with LURCs	% LURC parcels to total	Parcels for seasonal cropping	Cropping parcels with LURCs	% LURC parcels of seasonal cropping	Parcels for tree plantations	Tree plantation parcels with LURCs	% LURC parcels of tree plantation	Sample size
	1	2	3	4	5	6	7	8	9	
Total HHs,	12,183	6,767	55.5	6,548	2,843	43.4	2,587	1,167	45.1	3,060
Kinh	3,684	2,482	67.4	2,065	1,090	52.8	671	337	50.2	948
Thai	2,885	1,470	51.0	1,374	548	39.9	694	293	42.2	802
Bru-Van Kieu	2,068	829	40.1	1,164	351	30.2	388	141	36.3	449
Muong	1,168	827	70.7	610	378	62.0	312	188	60.3	265

Ethnicity	Total parcels *	Parcels with LURCs	% LURC parcels to total	Parcels for seasonal cropping	Cropping parcels with LURCs	% LURC parcels of seasonal cropping	Parcels for tree plantations	Tree plantation parcels with LURCs	% LURC parcels of tree plantation	Sample size
Ta-Oi/ Pa Co	1,135	634	55.9	619	257	41.5	296	137	46.3	251
Co Tu	445	326	73.3	277	160	57.8	127	54	42.5	113
Hmong	408	58	14.2	216	1	0.5	54	0	0	116
Other EM	390	141	36.2	223	58	26.0	45	17	37.8	116
Ethnic Minority	8,499	4,285	50.4	4,483	1,753	39.1	1,916	830	43.3	2,112

Table notes: Source MDRI Quantitative Survey. *The total of 12,183 parcels includes all different types of land, including residential land and mixed use land, not shown in this table; the seasonal cropping and forest farming parcels, along with residential land (around 3000 parcels), cover virtually all the parcels.

Women-headed households are not particularly disadvantaged (see Table 3.41) in this respect, but as shown above, they generally have access to less land. Moreover, LURCs that include the wife's name on them remain especially low in Thanh Hoa (less than 25%), while for the entire sample it is 48.7%.

Table 3.41 Titling of land parcels by land type and gender

Gender	Total parcels*	Parcels with LURCs	% LURC parcels to total	Parcels for seasonal cropping	Cropping parcels with LURCs	% LURC parcels of seasonal cropping	Parcels for tree plantations	Tree plantation parcels with LURCs	% LURC parcels of tree plantation	Sample size n
Male-Headed HHs	10,759	5,922	55.0	5,811	2505	43.1	2,322	1,040	44.6	2,660
Female-Headed HHs	1,424	845	59.0	737	338	45.9	255	127	49.8	400

In terms of the ER-P provinces, and issuance of LURCs Nghe An lags somewhat behind the other five (see Table 3.42).

Table 3.42 Titling of land parcels by land type and province

Province	Total parcels*	Parcels with LURCs	% LURC parcels to total	Parcels for seasonal cropping	Cropping parcels with LURCs	% LURC parcels of seasonal cropping	Parcels for tree plantations	Tree plantation parcels with LURCs	% LURC parcels of tree plantation	Sample size n
Thanh Hoa	3,007	1,941	64.5	1,436	809	56.3	808	424	52.5	750
Nghe An	2,784	1,124	40.4	1,542	411	26.7	441	154	34.9	810
Ha Tinh	822	497	60.5	485	218	44.9	137	43	31.4	210
Quang Binh	1,670	899	53.8	913	407	44.6	323	160	49.5	360
Quang Tri	2,133	1,086	50.9	1,221	509	41.7	371	140	37.7	480
TT Hue	1,767	1,220	69.0	951	489	51.4	507	246	48.5	450

A major difficulty reported to the SESA team in some of the provinces is that Red Books have been issued without proper surveys. This has led to confusion for people as to who has rights to what land and occasional disputes within and between villages. Therefore, even in provinces such as Nghe An and Thanh Hoa where many thousands of Red Books have been issued, their accuracy is doubtful and people either do not follow the LURC or have returned them to the commune authorities. This same problem also occurs in Quang Binh: in Minh Hoa District it was reported that communal cadastral officers simply drew smaller forest land plots closer to the village and larger ones farther away without

any reference to natural features.⁹³ The plots were then distributed by “lottery.”⁹⁴ People who received plots they felt were unmanageable sometimes sold them on to others in the village, or simply left them untouched.

Figure 3.36 Red Book issued in 2004 for forestland in Quan Hoa District



Figure 3.36 above shows an example of a Red Book issued in 2004 for forest land in Quan Hoa District, Thanh Hoa and although not required by the Land Law does not have a simple sketch map to show where the land should be located (a surveyed boundary is normal).

a) Large forest owners

Under the longstanding reform programmes of the State Forest Enterprises (after reform: State Forest Companies (SFCs) or Limited Liability Companies (LLCs)), the large forest owners should “re-allocate” forest land back to the Commune People’s Committees (CPCs) for onward allocation to the local communities. In a province like Quang Binh, for example, where there are two quite large and influential SFCs, the forest land allocation process has been slow and fraught with difficulties, including the reluctance of the companies to return land of decent quality to communities (much that has been proposed to be returned has been bare land and/or is inaccessible for local communities; from the company view point they argue that they would be handing over valuable company assets). Bo Trach LLC (a unit under Bac Quang Binh SFC), managing over 10,000 ha, had only handed over 195 ha for a few villages of Xuan Trach Commune by 2012. Because the demand was so much higher than availability, FLA and Red Book issuance at village level was decided by “lottery.” As mentioned above, the plots were already drawn on the Red Books in advance.⁹⁵

Therefore, while villagers may have received significant amounts of forest land there is no guarantee of its quality or suitability, and people may end up being more “passive custodians” than “users and beneficiaries” of the forest land they have been allocated, especially when it falls into the category of “natural” forest. Under the current legal framework, for example, no timber may be harvested for commercial purpose from natural production forest (with the exception, of SFCs with FSC certificates). Many local people with forestland Red Books in the ER-P provinces would simply be required to leave it untouched, unable to gain benefit from either the land or the trees.⁹⁶

There will be challenges for implementing REDD+ related activities in the provinces in terms of assisting people not only to have more secure tenure to forest land, but also to adjust regulations and support structures so that they can actually benefit from it.

⁹³ It was reported in Quang Binh that in one district cadastral officers simply drew all forest plots for reallocation a few meters wide and hundreds long (Personal Communication).

⁹⁴ Every interested HH puts their house registration number into a box. The numbers are then drawn against forest plot numbers that have been prepared by the commune. Apparently this is reported as common practice in SFC FLA areas of Quang Binh and in other provinces.

⁹⁵ The information about Quang Binh was originally presented in a report by R. Gebert (2012) for GIZ: “Social Safeguards and REDD+ Readiness: Frameworks and Gaps in Quang Binh, Vietnam.”

⁹⁶ This is different in areas where there have been ODA projects to support local communities with investments.

Table 3.43 Overview of large forest owners/forest management boards

Large scale forest managers	Number	Approximate area of under management (ha)
PFMBs	47	863,266
SFC	16	241,697
SUFs	14	563,732
	Total	1,668,695

Large scale forest owners such as the PFMBs, SFCs and SUF MBs (see Table 3.43) can have long term disagreements and conflicts with local communities. A large part of the problem lies in the historical original allocation processes (often done in the 1980's and in many cases this would have been done on maps and without involvement of local people. An additional problem is that boundaries are not always clearly demarcated on the ground; people suffering from land shortages will not understand why they should be denied access to the land they had managed or had access to in the past. In a more recent case the Pu Hoat Nature Reserve in Nghe An was provided a Red Book for land that included 3,100 ha that had already been allocated to either households or the Nghe An Rubber Development Company.⁹⁷ A tangential land issue involving the large forest owners is that while the SUF-MBs tend to manage distinct, contiguous areas, both the SFCs and the PFMBs may be broken into several parcels; this means that the border areas they share with local communities are all the longer, more complex and more difficult to control. (See Figure 3.37 of PFMB map below.).

Figure 3.37 Con Cuong PFMB, Nghe An

This PFMB of 16,827ha and is split into nine separate parcels, an extreme case of fragmentation and clearly would be a challenge to manage effectively.

A contributory factor in assessments of the persistence of ethnic minority poverty includes land issues. For example, it has been shown that in areas where both Kinh and ethnic minority people live, the Kinh may have access to the best quality agricultural land even if the minority people may have more.⁹⁸ Among the ethnic minority people the issue of landlessness is also becoming more acute with time. This has several underlying factors: i) Parents do not have enough land to share with offspring who chose to remain in the same village (some communes, but not all, do have unallocated land) ; ii) No land use planning has been done that sets aside land for future generations; iii) Land formerly available for agricultural use (fallow) has sometimes been reclassified as forest land (i.e. often protection forest to

⁹⁷ “Feasibility study of the collaborative natural resources management model in Pu Hoat Nature Reserve, Nghe An Province,” reported by PanNature in Nghe An, for VFD, 2015, pp. 26 – 27.

⁹⁸ Historically this has happened particularly if the Kinh households are economic migrants and have purchased the land from local ethnic minorities, more recently the sale of land has been discouraged. See for example Indochina Research and Consulting (2008) for UNDP and CEMA, “Poverty of Ethnic Minorities in Viet Nam - Situation and Challenges in Programme 135 Phase II Communes, 2006-2007,” and World Bank (2012) Vietnam Poverty Assessment, pp. 77 and 122.

protect the watershed but this may not have been done in consultation with local people); iv) Land losses due to large infrastructure projects and roads (some areas).

3.7.5 *Summary of land issues, including forest land allocation*

In Table 3.44 below some of the major issues related to land are summarized and presented along with their REDD+ relevance, and some potential solutions and a brief statement of which World Bank safeguards are applicable in each case.

Table 3.44 Summary of land issues

Major topic	What is at issue?	Relevance to REDD+	Safeguards as applicable
LAND, Agricultural and Forestry in the Uplands, including Tenure Security and Conflicts			
Customary tenure and most related rights for both agricultural and forest land	Local, especially ethnic minority, customary tenure and land use rights are not recognised in law; may occasionally have <i>de facto</i> recognition on a case by case basis. Ethnic minority ancestral or other socio-cultural traditions related to land are not given constitutional or statutory recognition, making their tenure rights insecure in many areas where statutory rights have not been formally recognised.	Customary and informal tenure rights insecure in many areas All land in Vietnam is owned by the State	OP4.10
Land (use) conflicts a)	Historically large forest owners (some decades ago, but some more recently) have been allocated large tracts of forest land without reference to traditional forest owners/users and/or their customary usages and management practices over many years. Unsettled conflicts may cause difficulties in three ways: 1) May lead local communities to encroach on forestland they consider theirs; 2) May thwart BSMs/PFES as there is little trust between forest owners and people; 3) May cause large forest owners to restrict local people's access to forest resources.	Possible restricted access; Promote collaborative management approaches and use of BSMs, example from FSDP.	OP4.10 OP4.12
b)	The demarcation of large forest owners' lands may not have been correctly done, not involving local communities, and not shown correctly with boundary markers (particularly PFMBs, SFCs and some SUFs). As above: local people may encroach on PFMB and SFC lands also because they do not know the boundaries.	Possible restricted access; promote collaborative management approaches and use of BSM	OP4.10 OP4.12
Statutory (Forest) Land Rights a)	Statutory rights for 50 year LURCs for FLA, but allocation errors made starting in the 1990s, especially in remoter upland areas have not been corrected, however, there has been	Widen government program of FLA	OP4.10

Major topic	What is at issue?	Relevance to REDD+	Safeguards as applicable
	limited support from various projects to try to correct some of these issues e.g. VFD Program pilots in Muong Lat District Thanh Hoa and IFAD land allocation work in Quang Binh. Tenure is insecure in some areas since the LURCs are not clear and other areas have no LURCs;		
b)	Recent amendments to Land Law (2013) do not allow allocation of natural forest land to households or villages; can only be made a protection entity, unless done by project, this would effectively halt FLA, as many upland villages are surrounded by natural forest.	Necessity to set up entities (For example of an entity creating includes recognised associations or cooperatives at the village level)	OP4.10
c)	Little recognition and no procedural mechanisms to allocate forest land to communities, only to households, individuals or organisations	As above; especially affects EM groups who prefer communal tenure arrangements.	OP4.10
Forest land allocation	In specific areas little to no participation of local people; inequality in forest land allocated in some areas and villagers remain dissatisfied with it, especially when not in line with their own sense of equality	Potential to negatively impact active participation in REDD+. Need to promote the use of collaborative management examples from FSDP	OP4.10
Forest land reallocated from large forest owners to local communities (especially SFEs/SFCs and PFMBs)	When large forest owners are requested to reallocate land back to communities via communes, it is often poor quality land that communities may not even want (and/or subsequent allocation process flawed and households do not receive appropriate parcels).	Limits local communities' potential to benefit from REDD+ when the land they receive is heavily degraded, with poor soils or too far from the village. Need to promote the use of collaborative approaches	OP4.10
Statutory land rights (agriculture production) a)	Traditional cultivation systems not taken into account; for upland areas, progression to crops such as cassava. As with FL, remoter areas may not have LURCs for agricultural production land. Upland rotational agricultural systems over time gradually becoming unviable in ER-P area	People may use own land zoned for forestry for agriculture, or encroach into forestland of large forest owners.	OP4.10
b)	Good flat agricultural land is a limited commodity; increasing landlessness in some areas and young people departing villages to provide unskilled labour in other areas.	The changing demographics of villages may limit people's interests/ willingness to engage in long term forestry activities.	
Losses of land, agricultural and forest, especially from infrastructure projects.	Infrastructure projects continue to cause small and large scale upheavals particularly to mainly EM people living in proximity to hydropower projects (in upland areas). Increases risk of forest degradation and deforestation as people left to restore their livelihoods on their own, ending up having to clear forest for	Not a REDD+ caused displacement of people, but in limited areas will have potential for knock-on effects of deforestation and degradation drivers.	OP 4.10 OP 4.12

Major topic	What is at issue?	Relevance to REDD+	Safeguards as applicable
	agriculture. Upheavals may continue for many years after initial displacement particularly if a cascade is planned and little or land and no cumulative impacts studies have been undertaken		

A more recent driver of change in land-use in rural areas is agribusiness expansion⁹⁹. The promotion of public-private partnerships in agriculture is a central tenet of Vietnam's New Rural Areas Development strategy. Local authorities are actively supporting this expansion, and this may have the potential to have an effect on small-scale farmers and local communities.

Land is also of critical importance to communities as a matter of identity, tradition and livelihoods. These priorities sometimes clash in cases where communities contest land conversion decisions driven from above, yet in other situations they can coincide in support for communal tenure of land, as in farmer-led cooperatives that receive legal backing from local authorities. Customary land tenure, especially as it relates to forest land and the diverse traditional tenure practices of ethnic minority groups, have been undervalued in Vietnamese law and policy to date, but has possibilities for productive dialogue and reform in coming years, such as through revision of the Law on Forest Protection and Development.

a) Potential to benefit from forest land allocation as a subset of land issues

The following Table 3.45 summarises issues raised and discussed during field trips to the NCC region.

Table 3.45 Summary of local communities' potential to benefit from forest land

Major topic	What is at issue?	Relevance to REDD+	Safeguards as applicable
POTENTIAL TO BENEFIT from Land Zoned for Forestry in the Uplands			
Forest type and agricultural land use planning in the uplands.	<p>Potential change of land use planning and forest types</p> <p>In some areas, too much (of the wrong) land is already zoned for forest purposes without consultation with local communities</p> <p>Villagers cannot keep to the zones on the land and maintain secure livelihoods and especially where land people are currently using is to be acquired by the project or use is restricted</p>	Expansion of forest types has the potential to impact on REDD+ and communities an RPF has been prepare to safeguard people	<p>OP 4.12 Involuntary Resettlement – reduced access to land currently used by the households;</p> <p>OP 4.36 Forest - activities affecting management, protection, or utilization of natural forests or plantations</p> <p>OP 4.10 Indigenous peoples: may affect ethnic minorities and other forest dependent communities, requiring the development of a framework to avoid or address potential undesirable effects and enhance the benefits of future REDD+ activities. As part of the ESMF, an Ethnic Minority Planning Framework has been prepared.</p>
FLA processes	FL allocated for households sometimes of the poor quality (degraded bare land); Poorer communities cannot	Quality of the forest on people's allocated FL improves very slowly, reducing their chances	

⁹⁹Agrarian Change and Land Tenure in Vietnam through a Political Economy Lens Andrew Wells Dang, Pham Quang Tu and Adam Burke; May 2015 Land Grabbing, Conflict and Agrarian environmental Transformations: Perspectives from East and Southeast Asia Conference 5-6 June 2015, Chiang Mai University Conference Paper No. 45.

Major topic	What is at issue?	Relevance to REDD+	Safeguards as applicable
	make investments to plant either forest trees or commercial plantation trees. Risk of losing FL if it is not used/developed properly within 2 years of allocation (Forest Law, Article 26).	to benefit either from REDD+ or from FLA.	
Statutory issues related to timber harvest a)	Natural production forest may not be legally harvested (except for limited quota for domestic use). (Or if they have certification) Inadequate mechanisms in place to allow people to have benefit from natural production forest ownership	People may perceive more benefit from cutting trees to use the land for agricultural purposes.	OP 4.36 Forest - activities affecting management, protection, or utilization of natural forests or plantations
b)	SFCs (except those with FSC) cannot legally harvest timber from natural production forests (Or if they have certification), they may limit local communities' access to SFC land to collect NTFPs on a commercial basis	Limiting access not caused by REDD+ Potential declining incomes of the SFCs. Nonetheless, prospects of REDD+ "income" could cause SFCs to enforce stricter forest access policies vis-à-vis communities.	OP 4.10 as above; OP 4.12 as above
Forest land allocated for large owners a)	Large owners may not consider adequate "benefit-sharing" with local communities who may still depend on the FL for various forest products, whether timber or NTFP.	Inappropriate forest protection and lack of monitoring may result in poor forest protection or encroachment.	OP 4.10 as above; OP 4.36 as above;
b)	In some parts of the ER-P area, large area of forest have been historically allocated to large entities which has impacted on local communities' livelihood and food security (Long Dai SFC occupies about 100,000ha in Quang Binh).	Access to forest land for NTFPs	OP 4.10 as above OP 4.12 as above

3.8 *Relevant gender issues in the ER-P area*

The Constitution of Vietnam upholds women's equality¹⁰⁰, and there is a 2006 Law on Gender Equality, and as of 2003 the Land Law required that the spouse's (women's) names also be included on Red Books rather than simply "head of household." Additionally, there are national and provincial strategies to 2020 to promote women's rights. Among the mass organisations, the Vietnam Women's Union

¹⁰⁰ Non-discrimination: Vietnam is highly ranked at 60 of 188 countries on the gender inequality index (2014) showing strong progress on women's rights. The share of female population with at least secondary education is 59.4% as compared to 71.2% of male population, and the share of women in parliament is among the average in the world (holding 24.3% seats) and maternal mortality rate is 49 (2013), however, other areas, trafficking, and the increasingly unequal sexual ratio at birth still require much more attention.

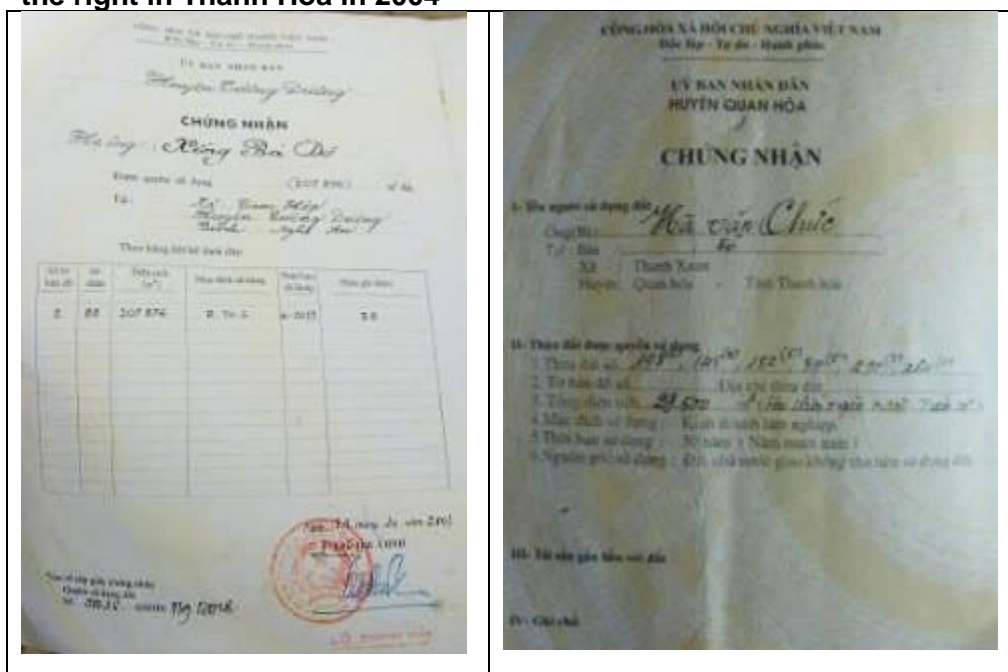
(VWU) promotes gender equality and women's participation in development. Despite this, however, gender equality has yet to be fully mainstreamed in reality. Rural women's concerns, whether Kinh or ethnic minority, are not yet taken seriously enough in areas that greatly impact their livelihoods: land, agriculture and forestry. These remain male-dominated professions where gender mainstreaming has yet to take place. Indeed, in some of the provincial DARD or forest protection offices, the only women working there are the accountants.

Overall, the quantitative survey data indicate that the poor and women are structurally disadvantaged in the ER-P area in that they have less access to land and information, and most probably formal credit.

a) Women and land rights and forest use

The first legal reference to husbands' and wives' equal rights to property was Decree 70/2001/ND-CP detailing the implementation of the Marriage and Family Law of 2000. It stated that all documents registering family assets and land use rights must be in the names of both husband and wife. The Land Law of 2003, an amendment of the Land Law 1993, also enshrined women's usufruct rights to all types of land. Nonetheless, women's rights remain less than men's. There are several reasons for this. The Vietnamese system of household registration identifies a "household head." This has unfortunately resulted in men almost automatically not the case normally it is men going to the office for registration (i.e. not because of the Law) being named the "head" of the household except where there are women-headed households (generally through widowhood, abandonment and/or divorce). In the past, this automatic naming of one person as head of household led Red Books being issued in the names of men only; those issued already have never been updated to include women's names on them.¹⁰¹ In the ER-P area, for example, many Red Books issued before around 2005 do not have wives' names on them in contravention of Decree 70 because local land authorities lacked both awareness and capacities to carry out the provisions in this Decree (Figure 3.38).

Figure 3.38 Two Red Books issued in only the man's name: on the left in Nghe An, late 2003 and the right in Thanh Hoa in 2004



¹⁰¹ Among some of the ethnic groups that are particularly patriarchal in their orientation (H'mong and Dao are examples), this results in a doubled disadvantage for women in that they have no customary or hereditary rights to land and neither do they have a legal right if their name is not on the Red Book.

Another issue related to women's land use rights is that when they have been allocated agricultural or forest land it is often less than that which men are allocated because a female-headed household likely has less labour than a male-headed household.¹⁰² This is because in some localities, land is allocated based on the available labour in the household at the time of allocation less labour, may result in less land (this particular factor is used mostly only for paddy land which requires high labour inputs).

As mentioned above, common property rights are not formally recognised in Vietnam this also has a negative effect on women, as with their still reduced land rights, they rely more heavily than men do on common property rights to meet livelihood needs for themselves and their families. Women, for example, maintain a greater interest in the forest in terms of as a source for NTFPs. More women than men will go to the forest to search for NTFPs, whether for sale or for domestic use. Ethnic minority women are more likely to have knowledge of different forest foods compared to men or to Kinh women. Thus, women are more concerned about reducing availability of both NTFPs and of firewood in their areas. While NTFP collection is fairly arduous work, and does not result in large incomes (in the ER-P area – this can be different in other provinces i.e. close to China where trade in NTFPs is considerable), as mentioned women require steadier sources of income to make food purchases for their families. In the areas visited there are few such steady sources of income available, as cropping is generally done on a once yearly basis, and most small livestock or poultry are not raised for income generation purposes.

Gender inequality vis-à-vis land use rights, including forest land rights, has negative implications for women's abilities to benefit under REDD+ on the same scale as men. Under the PFES-type schemes that require formal land tenure arrangements, women are more likely to be disadvantaged. Additionally to this, a woman-headed household may be left out of forest protection contracting because of labour shortages in the family. Where women are represented to a lower extent on pre-2003 land titles, it also may mean a reduced availability of credit for productive investments (this does not apply to VBSP loans which are based on group joint liability).

As REDD+ payments are expected to be performance-based, and if these payments or benefits are delayed (which is not unreasonable if PFES payments are taken as an example) then it would unlikely that women-headed households, or poor households, in general, would be willing (or be advised) to participate equally with households that can afford to wait for delayed payments for up front labour and agricultural input outlays.

b) Women and Consultations

At local level, it is noticeable that women tend to speak up less in mixed gender groups than when they are in women-only groups. This tendency is less marked among the Kinh than among the ethnic minority women partly because of the language factor—fewer labour-aged ethnic minority women have had the opportunity to go beyond primary school (if that) compared with the Kinh. Thus, ethnic minority women feel much shier to speak up, partly because of gender relations and expectations and partly because of their command of the Kinh language. Official meetings, however, are virtually always conducted in Kinh Vietnamese. Moreover, there is still a tendency to call “heads of household” for village meetings. If women are to attend, it needs to be explicitly mentioned. Otherwise, if written information is provided on a CPC signboard, for example, it is nearly always in Kinh. FCPF has been addressing this issue in the three provinces it has been working in and similarly the VFD project working in Thanh Hoa and Nghe An have been producing written material in local languages.

This language barrier has many implications for ethnic women's access to information and services and their ability to participate actively in consultations. It also has implications for their active participation in local planning, and other discussions, that may have strong impacts on their livelihoods, they may attend a village meeting, but be unable to give an opinion (without anyone really noticing because it is usual for men to speak up more than women). A lack of confidence in use of Kinh language skills will also affect ethnic minority women's mobility and their willingness to attend, for example, commune-level meetings

¹⁰² See USAID (2013) *Country Profile. Property Rights and Resource Governance, Vietnam*, p. 11.

or training sessions. This has especially serious implications for female-headed households which are generally (and were identified to the SESA team) among the poorest in the villages visited.

Figure 3.39 Women working at de-barking Acacia



3.9 *Overview of policy legal and administrative frameworks*

3.9.1 *Provincial policies and legislation*

In this chapter overviews are provided of the institutional and PLR frameworks governing the forest sector. This also includes a brief discussion of the FGRM. Some capacity and PLR gaps are highlighted. Some of the issues related to consultation processes for REDD+ are also highlighted in this chapter as they are highly affected by institutional and PLR frameworks a summary of issues includes:

- The Land Law – there are constraints to FLA, with no community forest titles for community forest management (CFM) and sustainable forest management (SFM); land use planning is often a top down process and non participatory, integration between the sectors and prioritization remains challenging);
- The community forest aspect of the forest law is currently unclear, planning across sectors challenging;
- Environmental impacts assessment decisions at the national level give little provincial say, and similarly to land use planning, integration between the sectors and prioritization remains challenging; and
- The Biodiversity Law overlaps with the forest law and inconsistencies are challenging.

3.9.2 *Institutional framework governing the forestry sector in the ER-P area*

Vietnam's institutional framework governing the forestry sector is well established and with a presence from national to communal levels. The huge gains in forest cover from the late 1990s to the present may be attributed in part to this well-functioning administration and a mobilised labour force. Nonetheless, it is quite complicated, with the involvement of different ministries, departments, centres and institutes. In essence it comprises fairly rigid hierarchies emphasising upward accountability while downward

accountability remains low. Horizontal cooperation and coordination among different departments and divisions occur, but cannot be taken for granted. Cooperation and coordination occurs best when the PPCs, DPCs and CPCs are strong enough to ensure it. Nonetheless, the difficulties in coordination between key line ministries such as MARD and MONRE often extends to the provincial and local levels particularly on key issues such as land use planning.

The planning and budgeting systems in Vietnam have been well established, and the smooth implementation of programmes and policies generally occurs. When reviewing the annual implementation reports of different provincial or district departments and divisions one of the comments most often made is that the allocated budgets were too small and did not arrive on time for the implementing agency to do its job according to set targets. This was also found to be a common problem impacting the functioning of the SUF MBs. Thus, many important targets may only be met in part.

In the forest sector in Vietnam it is obvious from the different factors and conditions mentioned in the sections above that many of the drivers of deforestation and forest degradation arise from outside of the sector. At times, for example, where the conversion of forestry land to agricultural land occurs, the effective response should be cross sector, inter-departmental and coordinated; one that involves non-forestry related departments such as Department of Planning and Investment or Industry and Trade. Decisions on the placement of new factories to process cassava or produce wood pulp are not taken with reference to DARD, FPD, SUF MBs, but they may profoundly influence farmer cropping decisions with new market demand and value chains. A summary of institutional issues is shown in the following Table 3.46.

Table 3.46 Summary of institutional issues for REDD+

Major topic	What is at issue?	Relevance to REDD+	Safeguards as applicable
INSTITUTIONS	Note that there has been a recent restructuring of FPD and DARD at provincial level (end 2015).	Unfamiliarity with REDD+	
Forest Protection and Development Sub-Departments (Province) and District Units	The FPD is the only forest-related department with such broad outreach (to commune level with its forest rangers), but it is often understaffed to undertake the tasks assigned. FPD has a mandate for forest extension but it depends on the capacity of the forest rangers and workload. The required forest extension assistance to villagers is seldom forthcoming from DARD; with too few staff, participatory approaches by FPD with villagers are largely undoable.	This represents a considerable capacity gap, that may be challenge for REDD+ to address as performance based approach	OP 4.36
DARD a)	DARD is relatively well-staffed at the provincial level, but with less staff and other resources in the Districts. Similar as above. Ability to provide agricultural/ forestry extension is limited, especially in remoter areas that require the most. Most extension is left to market forces.	As above capacity gap.	As above
b)	Extension for upland agriculture. Years of sedentarisation policies have led to fewer models to improve upland farming, with much more emphasis on cash cropping in the mid and lowlands,	Similar to above lack of extension represents a capacity gap and risk	

Major topic	What is at issue?	Relevance to REDD+	Safeguards as applicable
	including paddy cultivation. Suitable models for upland agriculture remain few.		
SUF Management Boards	<p>Relatively speaking, most are better staffed than FPD to protect the areas they manage, but generally face many threats and challenges often outside of the training and remit of the MB; Funding can be very variable.</p> <p>In the absence of ODA assistance, buffer zone control on the types of development and/or co-management concepts hardly implemented.</p> <p>Most SUFs have restrictive access policies; MB relations with local people are variable, meaning they are subject to disputes and boundary encroachment to varying degrees. Some difficulties in striking a good balance between control and co-management with core zone dwellers.</p> <p>Pu Mat MB wish to resettle a small number of villagers out of core zone of the SUF (Strict Protection Zone), but this has been the case since about 2006/7</p> <p>Some SUF MBs managing PFES payments on behalf of the State.</p>	<p>SUFs would be expected to be important players on the REDD+ landscape, to avoid further degradation and illegal logging.</p> <p>The legal requirement is for SUFs to have restrictive access policies i.e. no collection of NTFPs (in theory), in practice there normally is some informal access to local people for NTFP collection particularly in the Administrative Zone or Ecological Rehabilitation Zone.</p>	<p>OP 4.10</p> <p>OP 4.12 and</p> <p>OP 4.36</p>
PFMBs	<p>Reliant on State funding, most were established in 2004 and later as part of the SFE reform process (but some established independently of SFE reforms). Unlike SUFs, PFMBs may be comprised of non-contiguous areas, increasing management difficulties even if staffing levels may be fairly high. Some PFMBs include production forest areas as well, but forest management problems and local disputes are common.</p> <p>PFMBs and SUFs manage a lot of PFES payments (because PFES is paid on the watershed area of protection forest an area that normally managed by SUF or PFMB) on behalf of the State as protection forest is seldom allocated to households (except on contract); critical watersheds (for hydropower projects) are generally entrusted only to state management. PFMBs and some SUFs face difficulties with unclear boundaries and conflicts with local people.</p> <p>Tendency to impose restrictive access</p>	Restrictive access policies	<p>OP 4.10</p> <p>OP 4.12 and</p> <p>OP 4.36</p>

Major topic	What is at issue?	Relevance to REDD+	Safeguards as applicable
	<p>policies on local people that they cannot implement in similarity to SUFs.</p> <p>Oddly shaped, non-contiguous pieces of land lend themselves to moderate to severe encroachment by local communities in accessible areas.</p>		
SFCs	<p>"Semi-privatised" forest companies managing mainly production forest; past unsustainable logging activities destroyed large swathes of forests, decimating forest-based livelihoods in some areas. Current staffing depends on the size and extent of reform of the SFC. Natural forest timber harvesting ban creates additional financial problems for SFCs that do not have Plantation forest. (The Decision mentions financial support for SFCs, but it is not sure what they have actually received.)</p> <p>Despite reforms, SFCs are still considered unfavourably by local people in many areas because they keep the best forest areas, re-allocate only the poorer areas and have created biodiversity poorer forests with clear cutting for Acacia monocultures. Some SFCs practice exclusionary policies; some, like PFMBs, manage non-contiguous areas, and have disputes with local communities. Same for all SFCs people vs SFC</p>	<p>The natural forest logging ban may encourage more SFCs to convert degraded areas to Acacia monocultures with negative impacts for forests</p>	<p>OP 4.01</p> <p>OP 4.36</p> <p>OP 4.10</p> <p>OP 4.12</p>
CPCs	<p>The CPCs are the final implementing unit and lowest administrative unit in Vietnam. They are generally understaffed in the ER-P area and under-resourced; the latter in terms of both budgets and capacities. At the same time, they may still manage large tracts of forest land.</p> <p>Many CPCs (about 330) in ER-P provinces come under the 135 Program defined with "exceptionally difficult circumstances" (Category III). At CPC, may only be 1 – 2 extensionists, 1 – 2 cadastral officers, 1 professional forest ranger (taking care of several communes).</p> <p>CPCs in areas with larger forest area should have a commune staff responsible for "forestry extension," but this person is ill-equipped with budget or skills and may not have extension training.</p>	<p>CPCs play an important role in REDD+ in all areas where there is no or limited presence of large forest owners.</p> <p>The lack of capacity at grassroots levels, especially in poor communes, poses a capacity gap to the successful implementation of REDD+ activities. CPC has no staff quota or funding/ budget for extra staff</p> <p>And the cadastral staff is also in charge of =f agriculture/ construction and environment (Decree 92/2009 ND CP)</p>	
CEMA	CEMA has a mandate to ensure the		

Major topic	What is at issue?	Relevance to REDD+	Safeguards as applicable
	<p>development of ethnic minority people in Vietnam according to the laws and Constitution, and it is the sponsor of GOV Programs like 135 and other decisions directly affecting EMs. Nonetheless, its outreach, even in areas with larger numbers of EMs is limited. CEMA should be involved in discussions about EM development, but it has little presence below district level. In communes with large numbers of EMs there may be a CPC officer responsible for ethnic affairs.</p> <p>If here is a population of more than 25,000, CEMA will establish a district division.</p> <p>Not technically trained almost no involvement in forestry or agriculture – unless asked more gov. policy and propaganda</p>		
Mass Organisations: Fatherland Front	<p>The Fatherland Front has a special status in Vietnam; under the Constitution it is allowed to draft and propose laws, and provide feedback on implementation of any laws and decisions. Under the 2014 Environmental Protection Law, for example, it is singled out among “civil political organisations” for its role on environmental protection. The Fatherland Front has a potentially important role to play in coordinating the efforts of mass organisations and local authorities at commune and village level, but despite an impressive grassroots membership it has few budgetary or personnel resources at its disposal.</p>	Important for awareness raising and communications and possible REDD+ related extension work and decision making at the commune level and for managing BSM activities	
Mass Organisations: Women’s Union	<p>The Women’s Union is tasked with supporting women and child development in Vietnam, and providing information and feedback in localities on gender rights and equality. It is also widely involved in mobilising groups for VBSP credits in poor areas. As with the Fatherland Front, the VWU has an impressive grassroots membership, but few budgetary or personnel resources to carry out its mandate. Nonetheless, often supported through ODA projects.</p>	<p>Similar to above</p> <p>Veterans, Farmers, Elders associations</p>	

3.9.3 *Framework conditions for consultations*

As part of the institutional, administrative and PLR framework in a country, it is also necessary to have a closer look at the potential to fulfil Carbon Fund requirements on consultations, especially consultations with local communities and ethnic minorities. An adequate level of consultations is an essential

requirement to fulfil the World Bank's OP 4.12 on Indigenous People with Free, Prior, Informed Consultations (FPIC) and is there an enabling environment, and available resources, for FPIC to take place in the REDD+ country? Vietnam is one of the first countries in Asia to have piloted FPIC in the province of Lam Dong.

The initial pilot experiences on FPIC showed that it is possible, within limits, to carry out consultations with local communities. On the other hand, however, the consultations piloted with support from UN-REDD in Lam Dong Province also showed that there are a number of serious challenges, not the least being who should be tasked with FPIC type consultations on a broad scale in a larger number of provinces with scattered populations and speaking a dozen different languages. Moreover, as mentioned above, practically, there is a strong hierarchy in the Vietnamese government system that gives limited opportunities for citizen inputs in decision-making processes. There are challenges with transparent decision-making and information policy so that local communities are equipped with adequate information far enough in advance so that they can actually provide well-grounded feedback to the authorities as to whether they want to have a particular project in their area.¹⁰³ A summary of the consultation issues follows in Table 3.47.

Table 3.47 Summary of consultations issues

Major topic	What is at issue?	Relevance to REDD+	Safeguards as applicable
CONSULTATIONS, potential to do FPIC, CSO involvement.			
Civil Society Organisations	CSOs have limited recognition as independently acting bodies in Vietnam and may have difficulties to register as "associations" without the backing of a State-sanctioned socio-political association such as the Fatherland Front, of a Ministry, or of VUSTA. They are often severely under-resourced in terms of staffing and budgets.	Independent CSOs capable of carrying out consultations/ FPIC with local communities remain extremely few.	
Timing of Consultations	Wrong timing of FPIC and/or other consultations with local communities may raise false expectations.	If FPIC gets carried out too far in advance of what is known about REDD+ benefits in a locality it is not possible to discuss opportunity-costs with villagers so that they have enough inputs for own decision-making. Misunderstandings may lead to their reluctant participation.	OP 4.10
Consultations in EM Villages a)	The practicalities of carrying out effective FPIC are a challenge without ODA support over such a large region with many remote communities. FPIC is a requirement under	Adequacy of consultations This is a major risk for project outcomes in terms of benefits. The poor (essentially those more dependent on forest resources than others) may be left out of planning processes.	OP 4.10

¹⁰³ The Ordinance on the Exercise of Democracy in Communes, Wards and Townships, 34/2007/PL-UBTVQH11, does make provisions for people to receive information and provide feedback on socio-economic plans that affect them. Its implementation is, however, chequered in that some officials are not adept at providing understandable information on time and the people from their side lose interest. See an assessment by ActionAid at <http://www.peuples-solidaires.org/en/vietnam/2015/04/research-implementation-act-34>

Major topic	What is at issue?	Relevance to REDD+	Safeguards as applicable
	<p>REDD+ and must be reported on, but experience shows that FPIC meetings may be too short and with too little relevant information for people to make considered decisions.</p> <p>Vulnerable groups within villages such as poorer HHs are often more difficult to reach because of several factors: their reticence to speak up in village meetings, their lack of representation on village committees, too high opportunity-costs to attend meetings (instead of earning their living) and lower levels of Kinh language skills.</p>	Their interests may be disproportionately harmed compared to the better off in the villages.	
Gender b)	Women in general, poorer women in particular, are often voiceless at mixed group meetings (except for women in leadership positions such as local VWU) with many of the issues as above. Gender issues may then be inadequately addressed.	<p>Women are important users of the forest</p> <p>A REDD+ programme without consideration of gender may result in women's livelihoods harmed rather than improved if they have not been adequately consulted.</p>	No WB OPs on gender, but EM women will come under OP 4.10.

3.9.4 *Policy legal and regulatory framework*

Vietnam has a complex legal framework based on a hierarchy of codified laws, resolutions, ordinances, decrees, decisions and circulars made at different levels starting with the National Assembly. There is a high degree of complexity in the system in that many legal decisions are made at different levels. For example, for many decisions made at national level, a provincial decision also needs to be made that echoes the national level decision before it is implemented. Therefore, the PPCs guide the implementation of national programmes according to the circumstances of their own provinces. An issue, for example, such as the classification of forests into production, protection or special use is a matter for the provinces to finalise with their own provincial decrees or decisions in harmony with the higher level decisions and implementation circulars. A non-exhaustive summary of the policy and legal framework issues follows in Table 3.48.

At times, when spheres of responsibility overlap, then Ministerial decisions may also overlap or even contradict each other in part. In the forestry sector and land use this is also true, especially where MARD and MONRE are concerned, however, there is the possibility to issue joint ministerial circulars that avoid overlaps and possible contradictions already in place.

Whenever assessing the policy, legal and regulatory frameworks, it is necessary to consider some important background legal and administrative information that has important implications for REDD+, its implementation and the local communities' potential to benefit from it:

- Communities/ villages are not legal and administrative entities in Vietnam so are without decision-making power in Vietnam, although the Forest Law 2004 (Articles 29 and 30) does recognise them as potential forest land owners along with individuals, households, organisations

and the Army (this recognition of 'community land', however, only exists to a very limited extent under the Law 2013 and there is no community title);

- Without administrative entity status, communities/ villages are not allowed to enforce their own forest regulations with administrative punishments such as fines – this right remains with government officers such as FPD and communes;
- The Land Law 2013 does not allow the allocation of natural forest land to anything but formal legal entity (to ensure more accountability and responsibility) established forest protection and management organisations (but these can include commune and village associations and cooperatives);
- A cooperative and an association are legal entities, and it is possible for the village community to establish itself as a cooperative or as an association, but this is not easy to set up and the process can by-pass or be independent of the village (or community) and so can raise some exclusion or elite capture issues;
- CFM and SFM
 - While there is no precise legal recognition for Community Forest Management (CFM) in Vietnam with the exception of certain ODA projects (the series of KfW projects) and several decisions allowing its piloting in a limited number of locations for limited times;
 - However, there is detailed recognition of sustainable forest management “Guidelines on sustainable forest management planning”¹⁰⁴ Circular 38 No. 38/ 2014 / TT-BNN which allows for different stakeholders (householders, organizations (and includes entities described above) to participate;
- Regulations governing forest management, including timber harvesting, transport and sales, are complex and with high cost implications that local communities try to avoid, unless part of an ODA project (for example, a CFM project would require a series of 5-year forest management plans and timber can only be legally harvested for commercial purposes following the detailed plan and currently there are strict limits on timber harvesting for legal sale i.e. for natural forests there is a moratorium on timber harvest;
- Land use planning and forest planning:
 - There are Circulars that encourage and require a degrees of participatory land use planning (PLUP) but this remains quite a top down process for the wider community;
 - Participation in community forest planning is clear through “Guidelines on sustainable forest management planning” Circular 38 No. 38/ 2014 / TT-BNN, but there are clear difficulties in the availability of resources for implementation of the participatory planning except, more or less, where ODA projects are implemented;
- There is a general moratorium on natural forest commercial timber harvesting except where the SFC has a proper management plan and is FSC certified; and
- If people lose their land use rights because the State requires the land (e.g. road project), people are entitled to compensation, but if people lose access rights such as to areas for NTFP collection, there is no legal provision for compensation.

¹⁰⁴ Circular 38 No. 38/ 2014 / TT-BNN 3rd December 2014 “Guidelines on sustainable forest management planning” with annexes.

Table 3.48 Summary of policy law and regulation PLR Issues

Major topic	What is at issue?	Relevance to REDD+
POLICY and LEGAL FRAMEWORKS, especially local communities and ethnic minorities (Note that most of these topics will be covered in much greater depth and detail as part of the SESA Phase 2 UN-REDD is also supporting a PLR Gap Analysis at present.)		
Decision 178 of 2001	This decision sets the tone for future legislation on individual and household ability to benefit from different types of forest land. In essence, the more the State has invested in afforestation on forest production land, the lower the benefit accruing to the forest owner. Lack of consistency over the competence to approve harvesting for domestic consumption by households between the Decision 186/2006/QĐ-TTg (forest management regulations) and Decision No. 178/2001/QĐ-TTg (entitlement policies).	178 has more or less superseded or has proved impractical to implement. If REDD+ activities result in State-sponsored inputs into production forest land, it has the possibility to curtail local communities' benefits.
Forest Protection and Development Law – 2004 a)	Articles 29 and 30 of the Forest Protection and Development Law recognise “village population communities” as eligible to be allocated forest land, but with fewer rights than other assignees (i.e., cannot transfer or mortgage). The extent of FLA to communities has been quite limited in the ER-P area, but has been done in Quang Tri and TT Hue. The value of the title is somewhat hindered (fettered) and raises a number of issues including extinguishment of rights and inclusion. Because the “community” is not a judicial entity, it is not recognised under the Land Law 2013. ¹⁰⁵	An official FLA title to community remains problematic, the community is required to become a legal entity e.g. a Cooperative or an Association
b)	The Forest Protection and Development Law distinguishes between natural and planted production forest and affects households' ability to benefit from the two types. Households' main chance to benefit from production forest is when they have planted their own seedlings and then harvest without interventions or subsidies from the State.	This will limit householders chances to benefit from REDD+, as they will continue to try to get benefit from harvesting their own plantations as they see fit (often more short term rotations).
Civil Code, 2005	Does not recognise villages or communities as judicial entities who may enter a contract (but PFES still paid in some provinces to communities). This means that PFES (or REDD+) contracts cannot be made with communities unless they have formed a cooperative or association. The risk here is that major benefits from REDD+ go to existing organisations such as SFCs, PFMBs and SUF MBs.	Communities, or groups of communities of similar ethnic groups, would be ideal partners for a number of PFES/ REDD+; The BSM needs to take this into account.

¹⁰⁵ The previous version of the Land Law (2003) had a few clauses in which a community of citizens may have the right to be allocated land, although there was no specific mention of forest land allocation to a community.

Major topic	What is at issue?	Relevance to REDD+
Ordinance on the Exercise of Democracy in Communes, Wards and Townships, 2007	This ordinance encourages the provision of information to, and gaining feedback from, local people on socio-economic development. The Ordinance has not always been enthusiastically implemented, and does not include subjects directly related to forest management.	Ordinance allows/ encourages a participatory approach so can be seen as supporting PLR for FPIC
Land Law 2013 a)	"The State shall allocate land with production forest which is natural forest to the forest management organizations for management, protection and development" -natural forest land allocation is therefore difficult to households, as per Article 135; affects ER-P area because no provinces have completed FLA process (of adequate quality, even if quantity).	As already mentioned under the Summary Table on Land Issues XX , especially negative impact for EM communities surrounded by natural forest.
b)	Explicitly states under Article 27, Paragraph 2, that it is the State's responsibility to develop "policies to facilitate for ethnic minorities who are directly involved in agricultural production in the countryside to have land for agricultural production."	Potentially of positive impact in increasing tenure security in the ER-P areas if Article 27 can be actively implemented with some form of participatory process.
Law on Environmental Protection 2014	Article 21, Paragraph 2 states that "Project owners are obliged to consult with regulatory agencies, organizations and communities that are directly affected by the project." The Law, however, does not outline any procedures as to the nature of consultations.	On the one hand, this law supports consultations in the field of environment, but it is in a limited context (of projects defined as requiring an EIA/ESIA), does not refer to FPIC, nor make reference to ethnic groups with a special or deep connection with land and resources.
Decision 30a and Programme 135	There are 12 Program 30a Districts in the ER-P provinces (7 in Thanh Hoa), and potentially over 300 Program 135 communes. These decisions make additional budgets possible for designated poor districts, and includes budgeting for forest protection contracts.	Positive for REDD+ outcomes: one of the few means by which budgets should be available in advance of performance-based payments in districts that are otherwise under-resourced.
Decision 75	Increases the financial limits for both forest protection and forest development. However, at least Thanh Hoa Province – statistically, the poorest in the ER-P area, has only made very small forest protection and/or PFES payments to date (far less than VND 200,000 per ha). Decision 75 only applies in Category III communes.	Positive for REDD+ outcomes: if increased payments, including for afforestation and enrichment planting, can be made, then people may gain more interest in developing their production FL (high subsidies available under Decision 75).
Biodiversity Law 2008	The legal framework has limited provisions that seek to maintain ecological, biological, climatic, socio-economic contributions of forest resources. They are mostly only reflected in their objectives, and not in operational measures. The legal framework provides limited provisions that promote alternative livelihoods in forest management. Article 75. Compensation for damage to biodiversity: includes some general provisions relating to responsibilities for compensating biodiversity damages, however, the provisions are not clear	Article 32. Management of buffer zones of conservation area, this requires considerations of environmental impact assessment/ biodiversity impacts on forest and land use; The Law regulates organizations and individuals that benefit from biodiversity exploitation shall share their benefits with concerned parties, ensuring harmony between the interests of the State, organizations and individuals
Law on	High Royalties rates for wood from natural	The policy does not encourage companies and

Major topic	What is at issue?	Relevance to REDD+
Royalties 2009	forest and other natural resources local people get little or no support no preferential rate for credit (or other tax) and strict control transportation – issue in KfW 6	especially hhs in natural forest and development of forest protection and is encourage illegal logging and transport and tax evasion
PFES Decree 99/2010/ND—CP		Defines ecosystem services that include (i) soil conservation, soil erosion control, reservoir siltation control, (ii) water resource regulation and maintenance for production and for living conditions; (iii) carbon sequestration and storages, REDD+(iv); natural landscape and biodiversity conservation for forest ecosystems in serving tourism (v) services for fishery using the forest water.

Table Note: There is no attempt here to be complete; it is only to give an indication of a few of the major issues of REDD+ relevance that arise from the PLR framework detailed reviews of the PLRs will be undertaken in the SEA phase 2 and in the mean time detailed, but slightly out-of-date analysis is available in Safeguard Roadmap of Vietnam's National REDD+ Action Program v2.0 November 2013.

3.9.5 *Feedback grievance redress mechanism*

The proposed BSM is to be embedded in the collaborative management structure where asymmetrical relations between forest owners and managers and local communities are significantly reduced and the success of the BSM relies on the participatory structures generating win-win outcomes. Vietnam has well-established mechanisms in place to receive and resolve grievances and while these are largely effective if correctly utilized they apply more to stakeholders physically or economically displaced by infrastructure investments that trigger involuntary social and to a lesser extent environmental safeguards.

The Carbon Fund Methodological Framework requires that for eligibility to receive payments from the Carbon Fund that all forms of feedback and any forms of grievances related to the Program demonstrate the following: legitimacy, accessibility, fairness, rights compatibility, transparency and capability be exemplified in the processes to be followed to receive, screen, address, monitor and report feedback on grievances or concerns submitted by affected stakeholders. Categories of affected stakeholders is assumed not only to include villages but also the PFMBs, SUFMBs and SFCs where there are decisions made by the co-management entities that impact negatively on the latter.

To understand why the FRGM is required and how it would work a range of Project-related examples¹⁰⁶ are necessary to illustrate here.

Scenario 1: There may well be instances where a village (one peopled by a particularly marginalized ethnic minority group) or households within a particular village (perhaps poorer and more vulnerable households such as those belonging to the aged or physically impaired or from a weaker ethnic minority group sharing the village with other ethnic minority groups) are neither consulted nor invited to participate in activities agreed upon at the ACMA Board Meeting where an “elected” representative from the village is ostensibly representing the whole village (s/he being elected in the first instance by the village or based on traditional practices of selection that all villagers accept). Should this occur it is likely to be a typical example of “elite capture”, something the Program is seeking to minimize where possible. Ostensibly the disclosure of information should be adequately disseminated and in a manner and terms that are culturally appropriate. Being excluded may result in the denial of benefits such as payment for forest protection services, setting of an agreed upon quota to collect NTFPs, the right to extract timber for house construction purposes, allocated forest land for protection or production purposes, or even a requirement that land being used for non-forest related purposes such as for food crops be surrendered

¹⁰⁶ These examples are taken from villages visited by the Program during the course of participatory consultations and while more complex than is being presented here the examples encapsulate the types of issues that might need to be addressed by the FRGM.

for sustainable forest management purposes. Denial and exclusion in such instances is likely to impact upon the overall livelihood system of such households.

Scenario 2: In yet another instance there may well be disputes as to boundaries between what an existing management board claims is the boundary between forest land it owns or manages and the buffer areas that surround the forest land that a village or villages or even households within a village or villages claim. It is possible that the existing management board makes reference to cadastral maps or GPS coordinates the accuracy of which is contested by other stakeholders. To overcome this impasse, the elected co-management board that includes a representative from each of the villages decides a more robust mapping exercise is necessary. This exercise finds in favour of the existing management board and villagers are informed they must desist from using this land or in a worst case scenario vacate their current residence in the forest. However, the affected villagers claim they can demonstrate through their intimate knowledge of the forested area that traditionally they occupied this land or land in general proximity and reflects shifting or swidden land use practices in the past so they are the rightful occupants of this land even though they have not been allocated a LURC.

Scenario 3: Another possible scenario is that in the interests of a more sustainable approach to forest management the elected co-management board might agree that hitherto original forest land that has been converted to agricultural cropping uses with, or without the approval of the local authorities, need to be reforested. Individual households, villages or even local authorities who may have consented formally or more likely informally oppose such a move because they believe existing livelihoods will be threatened and the decision made does not reflect the reality on the ground: people and their stomachs before trees and carbon emissions being reduced. This might occur even though the criteria for the BSM excludes such practices. Hence this is an instance where a group of stakeholders do not accept the decision of the elected co-management board and are seeking to overturn its ruling. Conversely a majority might decide that more forest land is required for agricultural cropping purposes because the short-term gains from agricultural cropping outweigh the benefits from longer-term sequestration of carbon emissions.

Scenario 4: Another scenario, which is highly plausible given the investment in hydropower projects in the Program area is that the ACMA agrees with the investor to support the inundation of some of the forested area and access roads to the facility even if households are not involuntarily displaced. Some villages along with the CPC and DPC might support such an investment because they think there may well be benefits (including under the PFES scheme) while other villages that are even more directly affected oppose this investment because of the impact on their livelihoods. While other villages might oppose the investment because they view the access roads as presenting an opportunity for illegal logging and the over-exploitation of NTFPs by outsiders. Hence there are no sum net benefits only costs but such stakeholders find it difficult to make their voices heard.

Scenario 5: In another instance, outside investors such as eco-tourism investors might be able to enlist the support of the relevant PPC (often are able to do so) to claim access to pristine forest land to construct high-value “eco-tourist” lodges. All members of the ACMA might be opposed to this investment because they fail to see pecuniary advantages for themselves and of equal importance fail to see how such an investment could result in the sustainable management of the existing forest. It is also possible that local villages (even though there might be individual households within these villages that support) do not support such an investment because of its perceived impact on the existing environment including perhaps the watershed area. The situation that exists in this scenario is that the PPC has in the past and is still able to over-rule local authorities and local communities because of its political and economic muscle. The GoV is seeking to welcome investment at the local level but not to the environmental and social detriment of local communities. Additionally, the GoV recognizes that PPCs vary in their approach to such issues but also recognizes the need to be proactive and hence the need for a workable FGRM.

In relation to disputes and grievances¹⁰⁷ in Vietnam there are established mechanisms that commence at the rural village or urban neighbourhood level whereby all grievances wherever humanely possible be resolved at this level on an informal basis. If the aggrieved parties cannot resolve their grievance/s at this level on an informal basis they can then take their grievance to the Commune People's Committee. The CPC has 15 days to respond and if it cannot resolve the grievance the aggrieved party/s next course of action is to lodge the grievance with the District People's Committee. As with the CPC the DPC is required to respond in 15 days. Should the grievance not be resolved then it can be lodged with the Provincial People's Committee which has 30 days to respond. If the grievance has not been resolved by the PPC the aggrieved party/s can seek recourse in a Court of Law. It is required to hand down a judgement within 60 days from date of lodgement. Depending on workloads at all levels of the GRM there may be some slippage but the rule-of-thumb is that all grievances should be resolved within 180 days of being initially lodged with the CPC. In the case state investments supported by ODA financing the investor whether public or private or where there is a partnership between the public and private sector is legally obliged to pay all costs associated with seeking grievance redress.

Of the scenarios presented above only *Scenario 4* would possibly trigger the processes described here. The other four scenarios are far more difficult to subsume within the GRM processes that are typically used for investment projects. While this Program is premised on trying to avoid the payment of cash benefits to individual households because the BSPs that will be prepared by each ACMA entity will be able to decide whether individual, group or community payments will be made for defined activities or outcomes the FRGM also needs to pre-empt this possibility. As the field-based studies supported by the Program and their findings accepted by the GoV it is necessary to recognize that not all stakeholders at the village level might benefit from payment for services.

Therefore, it is proposed in line with the joint FCPF /UN-REDD+ Programme for Vietnam that taking into account FRGM processes that are commonly understood in the Vietnamese context that there should be four relatively simple steps as follows:

1. Receive and Register Grievance by the elected village representative from the aggrieved party where village level constituent is seeking grievance redress for grievances that can be linked to Program activities. This can be undertaken at the monthly meeting proposed or on an informal basis and where a written grievance is to be prepared the elected village representative or a literate member of a village level organization is to assist the aggrieved party if the latter requires a written grievance be lodged. However, ideally all grievances where possible should be resolved at the village level but for reasons stated above this might not be possible..
1. Acknowledge, Assess and Assign involves acknowledging receipt (this assumes it cannot be resolved at the village level) by ACMA entity and it is the responsibility of the elected village representative to ensure it is received by this entity. Although given that a representative of the ACMA entity from the PFMB, SUFMB or SFC should be proactive and visit each village at least once monthly the aggrieved party at the village level could also lodge their grievance during this visit. In acknowledging receipt of the grievance the ACMA entity must clearly state how the grievance will be processed, assess the eligibility of the aggrieved party to lodge the grievance (although this should be initially undertaken by the elected village representative), and assign

¹⁰⁷ There is a difference between disputes and grievances. Disputes typically involve one or more parties disagreeing with one or more parties in relation to some activity, such as access to and use of land that is under the control of the commune (in Vietnam typically CPCs have upwards of five percent of land in reserve for allocation to "landless" and "land poor" households for which LURCs are not issued), which can and should be resolved at the local level. Vietnamese political culture favors the resolution of such disputes locally and is consistent with the notion of "grassroots democracy" in Vietnam. These disputes often have no basis in Vietnamese law. Grievances on the other hand are linked to entitlements, actual or perceived, by an aggrieved party and for which penultimately if the grievance cannot be resolved locally and informally may be heard in a court of law, usually at the district level, and for whose ruling is legally binding. Grievance Redress Mechanisms are typically used in the case of involuntary resettlement issues when the aggrieved party argues it has not been compensated according to an instrument such as the Detailed Measurement Survey Memo or similar. The GRM is also used when affected people have been denied compensation for assets acquired, transitional living allowances and livelihood restoration measures.

organizational responsibility for proposing a response. For instance, if the grievance involves a land allocation issue and the subsequent issue of a LURC the ACMA entity must assign organizational responsibility to local authorities. Similarly, if the grievance revolves around land conversion than the appropriate authority (namely the Department of Natural Resource and Environment must consider the grievance because this is outside the purview of the ACMA entity¹⁰⁸.

2. Propose a Response will involve one of four actions as follows: (i) direct organizational response or action, which may be to CPC, DPC or line agency such as DARD or DONRE; (ii) stakeholder assessment and engagement, which would involve assessing the efficacy of the aggrieved party's grievance and then engaging with the stakeholder; (iii) if not able to be resolved within the existing BSM, such as when involuntary resettlement impacts triggered by infrastructure projects are the cause of the grievance refer to that specific Program GRM; or (iv) based on the agreed criteria BSM decided whether the grievance is ineligible.
3. Agreement on Response is either to agree to the party seeking grievance redress and implement the agreed response resulting in either the grievance being resolved successfully and closed to the satisfaction of the conflicting stakeholders or the grievance unable to be resolved. In this latter instance the grievance staff will be required to consider whether the aggrieved party/s should revise their approach for reconsideration or the grievance closed without further action. Opting for the latter course of action should result in the aggrieved party/s being able to have their grievance if it is considered very important to them adjudicated on in the District Court, which would provide a judgement that would be legally binding on all parties to the dispute or grievance.

It needs to be noted that the FRGM has to be readily accessible to all stakeholders including older ethnic minority people who are not competent in the use of the Vietnamese language, poorer village persons who cannot afford expenses associated with the cost of seeking grievance redress including litigation in a court of law, and on an individual, group or collective village basis. To ensure that the elected village representative is not co-opted by the ACMA entity to the detriment of the village-level constituents s/he is elected to represent if village-level constituents deem their representative to be generating poor outcomes they will have the right to replace this representative. How the latter deals with grievance redress will be an important litmus test for her or his performance as the elected representative. However, the elected representative must be afforded the opportunity to assess whether constituents seeking grievance redress actually have a legitimate grievance.

3.9.6 UN-REDD feedback grievance redress mechanism

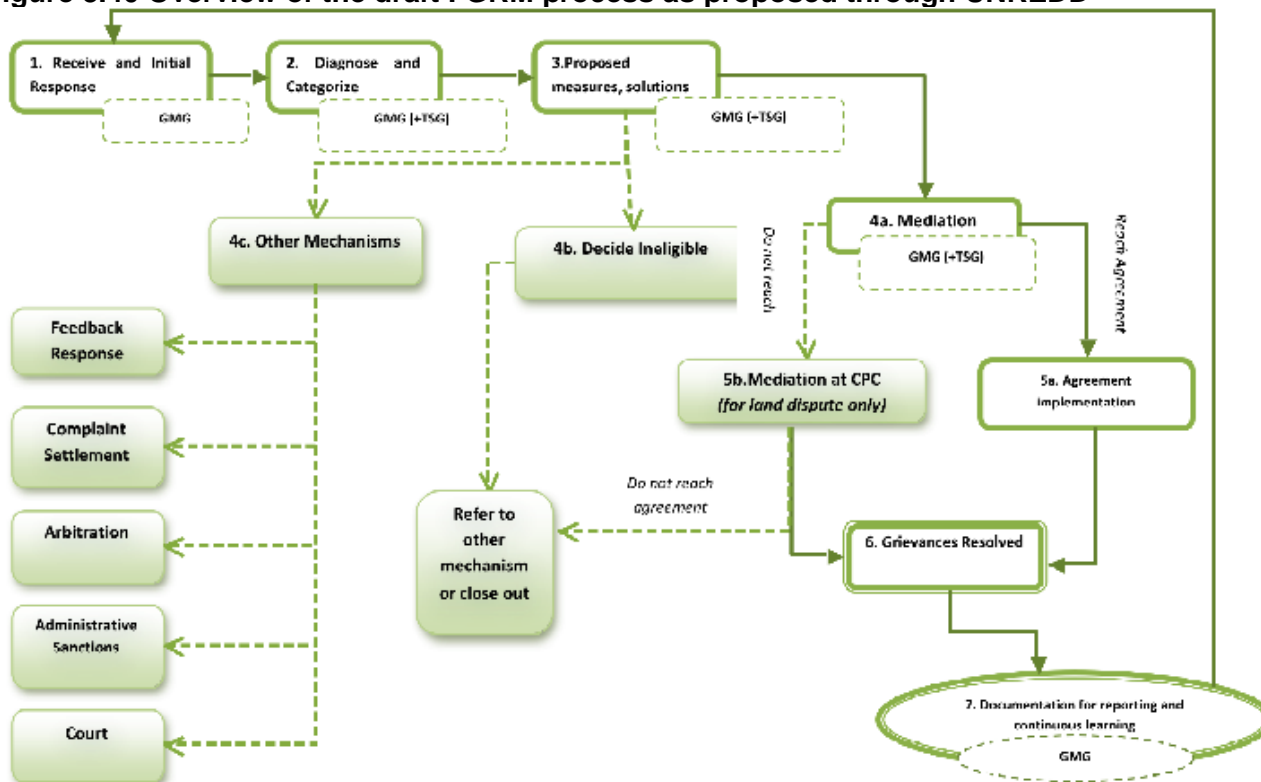
The UN-REDD Programme is developing a national FGRM with cooperation from the FCPF project. The proposed system is still under development but is based on the existing Grassroots Mediation Act 2013, and introduces a Grassroots Mediation Group which is supported by Technical Support Group (TSG) and currently the UN-REDD Program is piloting the TSG in 18 sites in the UN-REDD Programme and is providing trainings for mediation and how the two groups should work together which takes place from July/August 2016, with a review and report due in November-December 2016 (see Figure 3.40 below).

MARD needs to ensure that the proposed process is consistent with FGRMs that are currently being utilized in Viet Nam and that it fully encompasses the need for Free, Prior and Informed Consultation (FPIC) of not just affected ethnic minority peoples but also the majority Kinh people. It can be noted at this juncture any aggrieved affected person has the full legal right without cost to themselves to pursue grievances in a court of law and there are detailed grievance mechanisms already contained with a number of laws, for example, the Land Law 2013. It can also be noted that if grievance redress requires a court of law judgment this must be completed within 6 months of the aggrieved person lodging their

¹⁰⁸ This is also an important reason why DONRE at the DPC level should be represented on the Co-Management Entity.

grievance at the lowest administrative level in Viet Nam (Commune People's Committee). However, ideally all grievances should be resolved at the local level (and are often resolved for example at the commune and District level) and most affected people prefer grievance resolution at the local level.

Figure 3.40 Overview of the draft FGRM process as proposed through UNREDD



Communities and individuals who believe that they are adversely affected by a World Bank supported project may submit complaints to existing project-level grievance redress mechanisms or the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaint to the WB's independent Inspection Panel that determines whether harm occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), visit <http://www.worldbank.org/GRS>.

a) Land disputes

The overall level of formal land disputes is quite limited. Land users, people who are entitled to land use-related rights and obligations are entitled to complain, sue against administrative decisions or administrative acts in land management. The formalities, procedures for settling complaints against administrative decisions, administrative acts on land are implemented in accordance with the legislation on complaints. The formalities, procedures for settling lawsuits against administrative decisions, administrative acts on land are implemented in accordance with the legislation on administrative litigation.

Cases of complaints, dispute and denunciations on land was summarized and report by the Ministry of Natural Resources and Environment from 2004 to 2015 are as follows in Table 3.49:

Table 3.49 Case summaries of complaints, disputes and denunciations on land

Year	Number of case related to land	Number of case by nature					Under settling authorization of MONRE
		Administrative complaints		Claims of old-entitled land	Dispute	Denunci ation	
		Number	Percentage of compensation and ground clearance				
2004	3,124	1,764	0.32	781	469	110	252
2005	5,772	3,148	0.31	1,154	1,154	316	100
2006	6,330	3,146	0.32	1,329	1,298	557	140
2007	4,623	2,547	0.32	592	1,294	190	92
2008	3,820	2,620	0.37	458	680	62	81
2009	2,806	2,018	0.37	303	474	11	52
2010	2,850	2,047	0.40	248	479	76	62
2011	1,910	1,282	0.35	180	355	93	36
2012	3,466	3,332	0.30	32	71	31	8
2013	1,727	1,593	0.30	32	71	31	8
2014	1,494	1,360	0.30	32	71	31	8
2015	1,182	1,048	0.30	32	71	31	8
Total	39,104	25,905	0.38	5,173	6,487	1,539	847

Statistics of land disputes are available in Viet Nam as above, but these are often not complete and only record the more serious or longer lasting disputes that have failed to be resolved locally. Assessments of land issues through the PRAPs, and the Assessment of Land Tenure and Land Resources of the NCC have identified the main sources of conflict, including those land-related risks that the ER Program will need to address. More detailed assessments will be carried out through the REDD+ Needs Assessments and Social Screening Reports that will identify key issues at the site-level.

By far the most common form of land-related conflict in the NCC involves disputes related to access to forest land managed by state forestry organizations. In some areas within the NCC, there are historical and on-going disputes related to access to forest and agricultural related encroachment or land boundary disputes. As noted above, MBs and SFCs formally control over half the forest land in the NCC. Rural population growth (reported in Nghe An) and local reliance on forest resources, combined with unclear boundaries and an 'open access' situation often encourage encroachment for small scale logging, NTFP collection, or conversion to agriculture.

In most cases the access/ encroachment issues are generally resolved locally with a compromise, and in many cases the SUFMBs have excised areas of heavily encroached on land as the biodiversity and conservation value are compromised. SUFMBs are at a particular disadvantage as Forest Protection and Development Law prohibits any collection or removal of forest resources, and SUFs are often looked upon as a public good. However, in many cases the SUFMB has to accept the inevitable that it cannot stop all NTFP collection. Therefore the MB will often try to arrive at a practical solution with a

community by agreeing that no commercial quantities are removed¹⁰⁹ or no further encroachment takes place in return for some NTFP collection. PFMBs and SFCs face similar issues, but these are not so well documented and the PFMBs and SFC have an advantage in that NTFP collection is not prohibited.

Competition over resources and conflicts may be linked to localized migrations due to infrastructure development. While the overall trend in the NCC is a migration from rural to urban areas, in some cases road development can attract new settlements. HPP development, on the other hand, has led to the displacement of people to areas where they may come into conflict with local populations.

Inadequate compensation for resettlement or forest loss is another potential source of dispute, and communities may be particularly disadvantaged where they have no formal rights to their land. Infrastructure, and in particular hydropower, development often requires the acquisition of agricultural and forest lands and the resettlement of villagers. In some cases, affected people are disappointed with the compensation and resettlement schemes. Where land is informally held, it can be particularly difficult for local people to receive adequate compensation. For example, a village in Phong Dien District was reclaimed by the state and granted to a sand-mining company. The compensation for the loss of Acacia trees planted by the villager was estimated to be less than 40% of the full compensation that the villagers would have received if they'd had legal rights to the forest.¹¹⁰

Law enforcement activities and restrictions on forest resource use may negatively impact communities, especially the poor and forest-dependent households. Forest resources, such as timber, NTFPs, and wild animals are an important source for domestic consumption for people with high forest dependence. They are also an important source of cash where alternative income opportunities are limited. For this reason, benefit sharing approaches, alternative livelihood development, PFES, and participatory approaches are critical for addressing risks to local communities and help mitigate the problems they face and where necessary in conjunction with the MBs

3.10 *World Bank Operational Policies and safeguards*

The Program is expected to trigger the following Operational Policies (OPs): related to environmental safeguards OP 4.01, and OP 4.04; related to indigenous peoples (referred to in Viet Nam as ethnic minority peoples), OP 4.10 and BP 4.10; related to physical cultural resources OP 4.11; related to involuntary resettlement OP 4.12 and relating to forests OP 4.36. Operational policies, notably those relating to gender and development (OP 4.20) are not safeguard policies *per se* but rather cross-cutting issues to ensure the social inclusiveness of projects wholly or partially financed or supported by the World Bank. Additionally the Cancun Safeguards also apply to this Program and promotes and support safeguards that are not explicitly articulated through the above-mentioned OPs of the WB will be utilized accordingly. The Safeguards as they apply to this Program are included in Table 3.52.

There are World Bank financed infrastructure projects in several of the six provinces, most notably two hydropower projects in the upland area, but there are also transport projects including intra-provincial highways (in the coastal plain). The hydropower projects trigger more significant environmental and social safeguards than the transport infrastructure projects because they are located in close watershed areas that were originally forested and are located very close to protected area nature reserves with international levels of biodiversity.

¹⁰⁹ Problems arise where there are continued local land pressures, i.e. there is not enough adequate land for crop production and there is an increase in the local populations; or where the boundaries are surveyed for cadastral maps (or re-surveyed with a view to putting in markers); there are regulations for the boundaries to be agreed using participatory processes

¹¹⁰ However, it should be noted in infrastructure projects financed either partially or wholly by the providers including the WB (e.g. Trung Son HPP in Thanh Hoa Province) involuntary resettlement impacts are compensated based on the policies of the provider of the ODA.

The SESA is expected to review and discuss the effects (social and environmental) of HEPs¹¹¹, roads and other infrastructure in the ER-P area and the report on deforestation and degradation drivers, and include some specifics and suggestions for follow up studies etc. on the Trung Son and Hoi Xuan HPPs as necessary - this is due to the Trung Son and Hoi Xuan HPPs being under construction and are two of the largest HEPs in the ER-P area and are part of a cascade of potentially five HEPs and the two individual HPPs¹¹² and are expected to have considerable impacts¹¹³ on three protected areas two of which are recognised for international levels of biodiversity and on the forested areas in the upland watershed area of Thanh Hoa province which is shared with the ER-P.

The SESA team notes that the HPP two schemes have the potential to add emission risks to the ER-P area of the FCPF Program, but as the projects have their own impact assessments, ESMFs and an ESIA, they are assumed to have adequate mechanisms for safeguard management and monitoring. A “partial” cumulative impact study funded by Trung Son HPP is reported to be underway. The FCPF project team are not required to review the Trung Son HPP and are not required to set up a monitoring activity for the Trung Son HPP or Hoi Xuan HPP through the ER-P ESMF - as noted above this would in effect duplicate what is already in place and similarly for the Hoi Xuan HPP.

The FCPF project team is not required to review or monitor other development projects for impacts and safeguards compliance in the ER-P ESMF (there are a number of development projects with funding, for example, from JICA, ADB, WB, LuxDev, IFAD, KfW, BMUB etc), within the region; the assumption is that these projects will be required to follow their own safeguards. (See Table 3.50 for a summary of the overlapping safeguards and Table 3.52 for other significant donor projects in the NCC region).

Table 3.50 Overlap of ESMFs and ESIA with other major WB projects

Project	Issue	Challenge to FCPF	Findings from SESA work to-date	Proposed safeguard approach
Trung Son HPP WB loan funding	Overlapping of project area communes;	Overlapping of project area communes;	HPP in buffer zones of Pu Hu and Pu Luong NRs;	Project expected to have its own safeguards that are followed and monitored
	Overlap of ESMFs	SESA (and ESMF) issues, how to address the social and environmental risks: 1) socio-economic issues; 2) deforestation and degradation; and 3) impacts on PAs	Aware of social and environmental challenges; these include encroachment and degradation of forest land a probably lack of replacement agricultural production and forestland due to the terrain in the area Status of the EMP related to the two SUFs (PAs) which are supposed to have severe impact is unclear as the EMP has not been reported on	Trung Son HPP to resolve
Hoi Xuan HPP WB MIGA	Overlapping of project area	Overlapping of project area communes	Close (~34km) downstream to Trung Son HPP; HPP in buffer zones of Pu Hu and Pu	Project expected to have its own safeguards that are followed and

¹¹¹ Notably two large HPPs are under construction and funded or guaranteed by the WB i.e. Trung Son 260MW HPP (WB loan) and Hoi Xuan 102 MW HPP (WB MIGA) and these are expected to be part of a proposed cascade of five HEP. There are other large schemes e.g. Ban Ve HPP, in Nghe An, (~320MW) but construction was completed in 2010.

¹¹³ Trung Son and Hoi Xuan Hydropower project impact assessments.

Project	Issue	Challenge to FCPF	Findings from SESA work to-date	Proposed safeguard approach
	communes;		Luong NRs	monitored (Cat A MIGA and WBG)
	Overlap of Hoi Xuan HPP ESIA		Aware of social and environmental challenges in the area; these include a probably lack of replacement agricultural production and forestland due to the terrain	Hoi Xuan HPP to resolve
Both projects	Benefit sharing mechanism	Overlap of BSMs and PFES - different approaches	Payments for forest environmental services – normally require clear forest ownership	Exclude the communes in the Trung Son HPP and Hoi Xuan HPP from the ER-P BSM as they should eventually receive PFES from the two HPPs
Both projects	Feedback and grievance mechanism	Overlapping FGRMs	National and provincial FGRMs under development; potential for overlapping grievances	Exclude the communes in the Trung Son HPP and Hoi Xuan HPP from the ER-P FGRM
Other projects including infrastructure (HPP, roads, irrigation)		The applicability of REDD+ safeguards in the ER program area with various future ER interventions being implemented from multiple sources of funding	Potential for land loss, loss of access, and environmental challenges including road construction planned in SUFs.	The other projects expected to have their own safeguards that are followed and monitored

Because the Program is being supported by the World Bank an Environmental and Social Management Framework (ESMF) is in the final process of being prepared. This is to ensure specific program activities during implementation comply with the EMSF. The EMSF *inter alia* includes the following sections and conforms to ESMF required by the WB:

- Background and Program Description (to include components);
- Purpose and Processing of ESMF (purpose and rationale for ESMF and institutional and implementation arrangements);
- Methodology Utilized (detailed in-depth literature review, interactive discussions, field visits, and preparation of ESMF);
- Baseline Social and Environmental Data (location, physical characteristics, and socio-economic background);
- Policy and Regulatory Framework (to include both WB and GoV policies that will contribute to the regulatory framework);
- WB and GoV Safeguard Policies (To include identification of gaps and proposed gap-filling measures between WB and GoV policies);

- Potential Positive and Negative Impacts (Positive impacts, potential adverse environmental impacts, social impacts, environmental and social management processes, program environmental and social screening, environmental and social instruments, monitoring plans and indicators, and monitoring roles and responsibilities);
- Coordination and Implementation (REDD+ review, environmental and social screening, compliance and reporting); and
- Capacity Building and Technical Assistance (Implementation and management capacity for developing ESIA's and ESMPs); and Consultation and Disclosure (ESMF disclosure, public consultation, feedback and grievance redress mechanism, and establishment of grievance redress committee).

Table 3.51 Summary of triggered World Bank Operational Policies¹¹⁴

World Bank Operational Policies	Updated status (Result of SESA Investigations)	Proposed approach
Environmental Assessment OP 4.01	Triggered	The ESMF will establish the modalities and procedures to address potential negative environmental and social impacts from the implementation activities identified in the PRAPs, including the screening criteria, procedures and institutional responsibilities.
Natural habitats OP 4.04	Triggered	The PRAPs include activities in SUFs, and High Conservation Value (HCV) forests (natural habitats and critical natural habitats). Any crucial issues pertaining to natural habitats and critical habitats arising from the PRAPs are addressed in the SESA and potential negative impacts addressed in the ESMF.
Forests OP 4.36	Triggered	The PRAPs include activities affecting management, protection, or utilization of natural forests and/or plantation forests. Any critical issues pertaining to forest related to the PRAPs are addressed in the SESA and potential negative impacts addressed in the ESMF.
Pest Management OP 4.09	Triggered	Unlikely to see much increase in use of pesticides increase in intensification of agriculture not a program activity but program could see increases in use.
Physical and Cultural Resources OP 4.11	Triggered	Considering that ethnic minority people often have close connection with forest areas, including spiritual connections, it is possible that in isolated cases REDD+ activities could interfere with villager defined sacred sites such as special groves. Expected not to occur on anything but a case-by-case basis.
Indigenous Peoples OP/BP 4.10	Triggered	The implementation of the PRAPs with PFMBs SFCs and SUFs MB can be expected to affect ethnic minorities and other forest dependent communities, PRAP implementation may also catalyse restrictive land zoning processes throughout the area that may put ethnic minority livelihoods at some risk. The ESMF will include an Ethnic Minority Planning Framework (EMPF). The proposed mechanisms will help address the underlying problem of adequate consultations with specific communities in specific locations for proposed

¹¹⁴ This table updates the 2012 "Integrated Safeguards Data Sheet" prepared by World Bank for the FCPF Grant.

World Bank Operational Policies	Updated status (Result of SESA Investigations)	Proposed approach
		interventions through process plans (REDD+ Needs Assessment and a management plan and a Social Screening Report) requiring the development of an impact and mitigation and to avoid or address potential undesirable effects.
Involuntary Resettlement OP/BP 4.12	Triggered	It is unlikely that involuntary resettlement or land acquisition will take place in the ER-P areas (e.g. out of SUFs or PFMBs), but there is higher potential for an involuntary restriction of access (for example, NTFPs/ fuelwood collection) to legally designated production and protection forest areas and protected areas resulting in adverse impacts on the livelihoods of affected persons. The ESMF, including detailed Policy and Process Frameworks have been prepared accordingly and include the above mechanisms for processes ensuring adequate consultations with specific communities in specific locations for proposed interventions through the preparation of process plans (REDD+ Needs Assessment and a management plan and a Social Screening Report) when working with the management board entities and with a benefit sharing agreement mechanism for the natural resources use. The forest sector already has experiences of this type of process and agreement.
Safety of Dams OP 4.37	Not Triggered	
International Waterways OP 7.50	Not Triggered	
Disputed Areas OP 7.60	Not Triggered	
Piloting the Use of Borrower Systems to Address Environmental and Social Safeguard Issues in Bank-Supported Projects OP 4.00	Not Triggered or Applied	

According to the Carbon Fund Methodological Framework the World Bank's safeguards (OPs – see Table 3.51 above) must be adhered to for ER Programmes, but the UNFCCC safeguards should also be “promoted.”¹¹⁵ This is also echoed in the ER-PIN. The seven UNFCCC safeguards decided by the Conference of Parties (CP) at Cancun (CP 16) comprise the following: a) consistency with national forest programmes and objectives of relevant international conventions/agreements b) Transparent and Effective Governance, c) Knowledge and Rights of Indigenous People and Local Communities, d) Full and Effective Participation, e) Enhanced Social and Environmental Benefits, f) and g) Risk of Reversal,

¹¹⁵ See CF (2013) Methodological Framework, Point 4.1 on the Safeguards: “With the World Bank acting as both the Trustee and the Delivery Partner of the Carbon Fund, all ER Programs will need to meet applicable World Bank policies and procedures. ER Programs also should promote and support the safeguards included in the UNFCCC guidance on REDD+.”

Risk of Displacements. Although there is no safeguard on “gender” it is understood as an important crosscutting topic by both the Carbon Fund/World Bank and UNFCCC.

As there are a number of program interventions in different dispersed locations and it is expected to involve the improved management of PFMBs, SUF MBs, SFCs which may create opportunities for local people through the participatory and sustainable management of local resources and forest investments, but it may also result in reduced access of local people to forest products and land or the program interventions may include minor construction of infrastructure such access tracks or village based infrastructure.

A resettlement plan or an abbreviated plan cannot be prepared since the numbers and location of displaced persons are not known at this stage. Instead, a Resettlement Policy Framework is needed to address the various types of land acquisition and resettlement that may occur during the program. The Resettlement Policy Framework lays down the principles and objectives, eligibility criteria of displaced persons, modes of compensation and rehabilitation, participation features and grievances procedures that will guide the compensation and potential resettlement of these persons. It further describes the planning and documentation requirements for such activities under the program.

For resettlement the proposed Resettlement Policy Framework includes a Process Framework. The Process Framework will particularly help to assess and address restrictions in access to natural resources and remedies to these restrictions on a case-by-case basis. It addresses two World Bank safeguard policies: OP 4.12 on involuntary resettlement and OP 4.10 on indigenous peoples (referred to in the country context as ethnic minorities).

In the ER-P the six larger ethnic minority groups constitute about 11.5% of the total population, although in forested areas of upland districts the percentages are much higher (up to 95% of the population). The EMPF that has been prepared and a range of positive impacts are proposed as follows:

- Protection and development of natural forests to ensure the sustainability of water resources used by local ethnic minority communities;
- Longer harvesting cycle to increase the value of production forest products through producing higher-value forest products;
- Cash and non-cash benefits based on the enhancement of forest carbon stocks to improve both the living standards of ethnic minority groups and facilitate greater levels of participation;
- Improve the capacity of ethnic minority groups to sustainably manage forest land that has been allocated to them

Negative impacts that will have to be mitigated include the following:

- Restricted access to forest land will be overcome with training courses on how to increase production on remaining forest land;
- The longer harvesting cycle will result in deferred income but the costs of deferment can be overcome through micro-financing;
- The longer harvesting cycle also impacts negatively on local waged employment and reduced incomes but specific measures to offset these impacts will be introduced with ethnic minority group concurrence; and
- Ethnic minority households who are not forest owners will not benefit from cash payments made to forest owners but will benefit from demand-driven non-cash benefits to improve livelihoods.

The presence of ethnic minorities in the ER-P area is clear, but the location and involvement and circumstances for each proposed intervention could not be determined until the interventions programs/subprojects are identified during program implementation so an EMPF is prepared. This

EMPF provides guidance on how EMDP for the program/subproject should be prepared to ensure consultation with affected ethnic minorities in the subproject areas and help affected ethnic minority peoples receive culturally appropriate social and economic benefits and when potential adverse effects, the impact are identified, avoided, minimized, mitigated, or compensated for.

While resettlement is not envisaged there may well be instances of restricted use to existing forest land that will result in some resettlement of small communities of forest dwellers or some may be proposed from the SUFs or PFMBs and such resettlement is not eligible for program funding which is regulated already by government Decrees. The cost of compensation and other allowances will be met by the GoV and not this Program. Similarly reforestation or afforestation may result in the loss of existing productive agricultural land. Compensation for such activities will be met by the GoV and not the Program.

3.10.1 Gender in the program area

The 2013 Constitution of Viet Nam upholds women's equality, and there is a 2006 Law on Gender Equality, and the 2013 the Land Law consolidates that women's names also be included on Red Books rather than simply "head of household." Additionally, there are national and provincial strategies to 2020 to promote women's rights. Among the mass organisations, the Viet Nam Women's Union (VWU) promotes gender equality and women's participation in development. Despite this, however, gender equality has not yet been mainstreamed in reality. Rural women's concerns, whether Kinh or ethnic minority, are not yet taken seriously enough in areas that greatly impact their livelihoods: land, agriculture and forestry. These remain male-dominated professions where gender mainstreaming has yet to take place and for example, in some of the provincial DARD or forest protection offices, the only women working there are the accountants. Cadastral officers are, more often than not, male.

The first legal reference to husbands' and wives' equal rights to property was Decree 70/2001/ND-CP detailing the implementation of the Marriage and Family Law of 2000. It stated that all documents registering family assets and land use rights must be in the names of both husband and wife. The Land Law of 2013 also enshrined women's usufruct rights to all types of land. Nonetheless, women's rights remain less than men's. There are several reasons for this. The Vietnamese system of household registration identifies a "household head." This has unfortunately resulted more or less in men automatically being named the "head" of the household except where there are women-headed households (generally through widowhood, abandonment and/or divorce). In the past, this automatic naming of one person as head of household led to thousands of Red Books being issued in the names of men only; those issued already have never been updated to include women's names on them.¹¹⁶ In the ER-P area, for example, many Red Books issued before around 2005 do not have wives' names on them in contravention of Decree 70 because local land authorities lacked both awareness and capacities to carry out the provisions in this Decree.

Another issue related to women's land use rights is that when they have been allocated agricultural or forest land it is often less than that which men are allocated because a female-headed household likely has less labour than a male-headed household.¹¹⁷ This is because in some localities, land is allocated based on the available labour in the household at the time of allocation. The less the availability of labour can result in less the land the land being allocated to households with more labour to undertake labour intensive wet rice production.

As mentioned above, common property rights are not formally recognised in Viet Nam with the emphasis towards individual and household property rights that suit the Kinh majority but not large numbers of ethnic minority communities. This also has a negative effect on women, as with their still reduced land rights, they rely more heavily than men do on common property rights to meet livelihood needs for themselves and their families. Women, for example, maintain a greater interest in forest in

¹¹⁶ Among some of the ethnic groups that are particularly patriarchal in their orientation (Hmong and Dzao are examples), this results in a doubled disadvantage for women in that they have no customary or hereditary rights to land and neither do they have a legal right if their name is not on the Red Book.

¹¹⁷ See USAID (2013) *Country Profile. Property Rights and Resource Governance, Vietnam*, p. 11.

terms of NTFPs. More women than men will go to the forest to search for NTFPs, whether for sale or for domestic use. Ethnic minority women are more likely to have knowledge of different forest foods compared to men or to Kinh women. Thus, women are more concerned about reducing availability of both NTFPs and of firewood in their areas. While NTFP collection is fairly arduous work, and does not result in large incomes, as mentioned women require steadier sources of income to make food purchases for their families. In the areas visited there are few such steady sources of income available, as cropping is generally done on a once yearly basis, and most small livestock such as poultry are not raised for income generation purposes.

Gender inequality vis-à-vis land use rights, including forest land rights, has the potential for serious negative implications for women's abilities to benefit under REDD+ on the same scale as men. Under PFES-type schemes that require formal land tenure arrangements, women are sure to be disadvantaged. Additionally to this, a woman-headed household may be left out of forest protection contracting because of labour shortages in the family (or indeed unwillingness/ unavailability to go on forest protection patrols. When women are represented to a much lower extent on land titles, it also may mean a reduced availability of credit for productive investments (this does not apply to VBSP loans which are based on group joint liability). If REDD+ payments are excessively delayed (performance-based), then there is almost no way for women-headed households, or poor households in general, to participate equally with households that can afford to wait for delayed payments for labour outlays.

At the local level, it is noticeable that women tend to speak up less in mixed gender groups than when they are in women-only groups. This tendency is less marked among the Kinh than among the ethnic minority women because of the language factor-fewer labour-aged ethnic minority women have had the opportunity to go beyond primary school (if that) compared with the Kinh. Thus, ethnic minority women feel much shier to speak up, partly because of gender relations and expectations and partly because of their command of the Kinh language. Official meetings, however, are virtually always conducted in Kinh. Moreover, there is still a tendency to call "heads of household" for village meetings. If women are to attend, it needs to be explicitly mentioned. Otherwise, if written information is provided on a CPC signboard for example, it is nearly always in Kinh.

This language barrier has many implications for ethnic women's access to information and services and their ability to participate actively in consultations. It also has implications for their active participation in local planning, and other discussions, that may have strong impacts on their livelihoods. They may attend a village meeting but be unable to give an opinion (without anyone really noticing because it is usual for men to speak up more than women). A lack of confidence in use of Kinh language skills will also affect ethnic minority women's mobility and their willingness to attend, for example, commune-level meetings or training sessions. This has especially serious implications for female-headed households which were identified to the SESA team as being among the poorest in the villages visited.

The objective of the Gender Action Plan (GAP) is to promote women's participation in the program and share in the benefits, maximize positive gender equality impacts as well mitigate possible risks and negative impacts. The GAP has three approaches: (1) provide opportunities for and strengthen the role of women in local economic activities; (2) disseminate information about environmental sustainability and social risks to men and women; and (3) increase female representation in the sector and in decision making positions.

These strategies seek to address limited availability of sustainable livelihoods and gender equality in livelihood opportunities, unequal impact from the poor environmental sanitation due to female higher exposure and gender defined responsibilities, low female representation in government institutions and decision making processes.

3.10.2 *Environmental Safeguards*

An environmental assessment was carried out and an EMSF was prepared focusing on the proposed PRAPs and ER-P activities (see Table 3.10 and 3.11). No pesticides will be procured under the program, and the ESMF includes Environmental Protection Guidelines and will ensure that critical

natural habitats and sites of cultural significance are screened out as part of the site selection process. The program as a whole deals with sustainable forestry development, and the SUF and PFMB activities specifically addresses measures to improve natural habitats of (in the case of the SUFs most have international biodiversity importance See Annex 1.7). Program activities would be carried out in accordance with the EMSF.

3.10.3 Social Safeguards

No resettlement and no land acquisition is expected under the program. Since exact impacts cannot be determined before hand, a draft Resettlement Policy Framework has been prepared to address any possible impacts mentioned above in accordance with the provisions of OP 4.12 on Involuntary Resettlement. The Resettlement Policy Framework includes a Process Framework for the proposed work wit SUFs, PFMBs and SFCs. The Process Framework will assess and address any restrictions in access to natural resources faced by local communities, and provide for remedies to these restrictions on a case-by-case basis. The Process Framework incorporates other social safe guard policy that applies to this project, i.e. OD 4.20 on Indigenous Peoples. Program activities would be carried out in accordance with the Resettlement Policy Framework.

Indigenous Peoples (Ethnic Minorities) in the program area will benefit from the program. They may, however, need additional support to fully utilize the provisions of the project. There are ethnic minorities living in and around most of the SUFs and PFMBs are eligible for inclusion in the program. To ensure that ethnic minority communities benefit from the program and are not adversely impacted, a draft Ethnic Minority Development Framework has been prepared and Program activities would be carried out in accordance with the Ethnic Minority Development Framework.

3.11 Other projects and program safeguards

See Table 3.52 for other significant projects and programs in the NCC Region.

Table 3.52 Significant donor projects in the ER-P NCC region

Project/ program	Province	Safeguards	Status	Overlap	Summary social and environmental impacts	Potential issues
VFD Program	Thanh Hoa and Nghe An	USAID requirements, annual Environmental Mitigation and Monitoring Plan (EMMP)	Implementation	Yes	Minor	None
JICA 2	All provinces	JICA safeguards applied	Implementation	Yes	Minor	None
Trung Son HPP	Thanh Hoa	World Bank EIA Resettlement plans EMPs Independent monitoring	Under construction	Yes	Influx of followers; Resettlement; and serious impact on Pu Hu and Pu Luong NRs	Forest land and agricultural shortages for resettlement; degradation and deforestation impacts; Poorly executed short term mitigation and unmitigated long term impacts on important NRs Cumulative impact only just underway
Hoi Xuan	Thanh Hoa	World Bank Group Multilateral Investment Guarantee Agency (MIGA) Environmental Social Review Summary (ESRS); Resettlement Livelihood and Ethnic Minority Development Plan (RLEMDP) Environmental and Social Impact Assessment (ESIA)	Under construction	Yes	Influx of followers Resettlement and serious impact on Pu Hu and Pu Luong NRs	Forest land and agricultural land shortages for resettlement; degradation and deforestation impacts Poorly executed short term mitigation and unmitigated long term impacts on important NRs Cumulative impact presumed to be included in above study; only just underway
Dam rehabilitation and safety improvement project	Thanh Hoa; Nghe An; Quang Binh; Ha Tinh	World Bank ESIA Dam Safety Framework Resettlement Policy Framework Ethnic Minorities Policy Framework Environmental and social	Recently started Phase 1 Thanh Hoa - Dong Be; Nghe An – Khe Gang, Khe San		Small scale resettlement issues at all four Phase 1 sites; As the dams are for rehabilitation (not new builds) the	Rehabilitation of irrigation dams with safety risks; downstream populations at risk are quite significant

		management plan (ESMP) Grievance Redress Service	Quang Binh- Phu Vinh Ha Tinh - Khe Nhay (not Phase 1)		social and environmental issues are expected to be quite limited; Dam safety is a issue in all the selected sites	
Ba Thuoc 1	Thanh Hoa	EIA was approved by the relevant local authority, the People's Committee of Thanh Hoa Province on 25/05/2009. CDM project	Completed or near completed			None
Ba Thuoc 2	Thanh Hoa	As above	As above			None
BCC	Quang Tri and TT Hue	ADB	Implementation	Yes		None
UN-REDD	Ha Tinh	UNFCCC				
Improving the resilience of vulnerable coastal communities to climate change related impacts UNDP Green Climate Fund	Thanh Hoa, Thua Thien Hue	UNDP's Social and Environmental Screening Procedure (SESP); reference was made to its Social and Environmental Standards (SES); Also Green Climate Fund's (GCF) Annex III, Interim Environmental and Social Safeguards of the Fund (GCF/B.07/11, pp. 36-38); Annex XIII, Gender Policy for the GCF (GCF/B.09/23, pp. 84- 91): Resulting in an Environmental and Social Management Plan	Funding proposal for and including: Regeneration of 4,000 hectares (ha) of coastal mangrove storm surge buffer zones (Approx. 2016- 2021)	Minor for the ER- PD in two provinces	4,000 hectares of mangroves will be rehabilitated and/or planted to function not only as storm surge buffers, but also to provide ecosystem resources that can support coastal livelihoods.	Implemented under the Water Resource Directorate of MARD

3.12 *Summary of the potential ER-P social and environmental issues and mitigation measures*

A number of the difficulties for especially ethnic minority people's active participation (and potential to benefit) in REDD+ relate to their overall livelihoods and the limited number of viable options they have to improve them *in situ*. REDD is seen as a risky approach. The overall approach of REDD+ itself makes consultations and FPIC difficult - as it is seen as a PFES scheme - that may or may not make payments after several years of activities. This is not a realistic plausible way to convince smallholder farmers of any ethnicity or gender to participate.

The data collected for the SESA suggests that ethnic minority people have fewer options at present to improve and/or diversify their livelihoods in comparison with the Kinh of course an example of agricultural change responses to markets and migrant labour as part answers of ethnic minorities facing many challenges. This is partly a function of lower education, but there are many other variables that also come into play, including the quality of the land available to the ethnic minority small holders and their integration with markets. These facts point to a number of challenges for a REDD+ programme in the ER-P provinces, if it is wholly based in the forest sector.

Land availability and security of title is a key issue for many, the situation varies across the provinces, and can be of great concern in some areas of some provinces¹¹⁸ Formal land allocation is the main mitigation for insecure title, however the land allocation is normally sporadic and is dependent on provincial or district budgets and can take a long time for implementation to be completed.

The table that follows provides an overview of the issues raised in the summary tables in Sections 3.4 – 3.6. Table 3.53 below provides some potential solutions, but it must be noted, however, that some of the proposed solutions will be challenging to implement in practice; they would require significant ODA support and government commitment at all different levels to be implemented.

Many of the solutions are closely interrelated and require that actions be taken on several fronts at once. For example, it does not help much to change PLRs, if the systems and mechanism to implement them are not functioning in a way that will support the change.

REDD+ cannot and should not be seen as a panacea that will solve major challenges in the forestry sector in Vietnam; at the same time, however, without a number of fundamental changes in the institutional and PLR framework – the overall system of forest governance – REDD+ is much less likely to deliver expected benefits, not to speak of multiple benefits for poor, forest-dependent, and ethnic minority communities.

Table 3.53 Summary SEAS Phase 1 findings on the challenges and potential solutions in the ER-P NCC Region

Topic	Risks and/or Challenges	Potential Solutions/ mitigations
Land	Little to no recognition of customary or community property rights for agriculture or forest land;	Changes to PLRs governing forest and land; Assist local communities to establish forest associations or cooperatives
		Change PLRs to give recognition to local communities' common property rights and management;
	Unallocated (forest) land still with CPCs;	Accelerate or catalyse FLA (but mechanisms to do this are so far limited and it tends to be done sporadically);
	"Wrong" land allocated with inadequate process in some provinces;	FLA (not only will this help ensure better quality FLA, will also reduce disputes);

¹¹⁸ Noticeably in Thanh Hoa and Nghe An and especially where there has been or there is on-going infrastructure development related to hydropower.

Topic	Risks and/or Challenges	Potential Solutions/ mitigations
	Slow re-allocation of land from large forest owners to communities, individuals, HHs;	FLA
	Inadequate upland production land (reducing with implementation of agriculture and forest zones around villages);	Improve participatory land use planning (PULP) and SFM
	No participatory land use planning (PLUP);	Improve PULP
	Land conflicts between different parties;	Support for mediation, FGRM
	Natural forest land no longer allowed to be allocated to any parties except organisations.	Support Circular 38 with adequate resources for Re-assess agricultural and forest land zoning in upland areas so that farmers have adequate agricultural land of sufficient quality
Livelihoods and forest dependency	Food (rice) security becoming problematic; GoV reaction to provide rice for EM HHs creates passivity and dependency	Much improved extension system required (but limited mechanisms, capacities);
	EM livelihoods highly land-dependent	Models suitable for upland farming systems need to be developed with small farmers, especially EM farmers;
	Remote upland areas with few alternatives to current limited set of livelihoods activities;	Action research on value chain development with focus on uplands;
	Limiting access to forest land resources;	Increased support for forest co-management models so that small farmers continue to have adequate access to forested areas;
	No system of compensation for limiting or cutting off people's access to forest land resources;	Resettlement safeguard must also include compensation for limiting access to forest resources (i.e., NTFPs, cattle grazing areas, etc.); It will be necessary to identify sustainable income generation activities that enable affected persons to be at least no worse off as a result of limiting access to forest resources and ideally better off. Should be change in PLRs to assist local communities claim against forest owners and others that limit their access to needed resources;
	Cash poverty among semi-subsistence small farmers;	Cash poverty intractable problem in the short run.
	Heavy reliance throughout rural (and rural-urban) Vietnam on firewood	Promotion of community woodlots with suitable species, promotion of alternative energy sources, fuel efficient stoves;
		More awareness needed of SFCs/LLCs so that they ensure biodiversity in their areas for local HHs;
Potential to benefit from forest land	Limited investment options for allocated forest land;	Change rules on large forest owners' re-allocation of land to communities (if poor quality, they have to co-invest with small holders, or it has to be of certain minimum quality before handover);
	Allocated forest land of low quality in terms of forest;	
	Limited inputs of poor quality available (e.g. lack of good quality seedlings and other agricultural inputs);	Good quality seedlings must be certified by a competent seed certification agency such as the National Centre of Plant Variety or the Crop Department of DARD at the provincial level and

Topic	Risks and/or Challenges	Potential Solutions/ mitigations
		Plant Protection Level at the district level in accordance with Seed Ordinance No15/2004/PL-UTBVQHH dated 24/03/2004. A community based cooperative may be able to have more purchasing power (cooperatives are promoted in the ER-P and PRAPs)
	Upland plantations often perform poorly, and farmers get a poor income;	More site specific agro-forestry model development in the uplands with local farmers' participation (mechanisms need to be developed for this);
	PLRs (see below) do not promote smaller holder chances to benefit from forest;	Improve PLRs
	Timber harvesting only allowed under limited circumstances;	Development of sustainable forest management models based on community-based forestry with simplified regulations;
Gender/Social Exclusion	Women disadvantaged on access and use of land;	Any solution has to be long term, wanted by society and promoted by government (major challenge);
	Women's rights to land less secure than men's;	Red Books need to be updated to reflect women's rights to land (should be done as part of overhaul of land use rights registration), is clearly a long term solution
	Ethnic minority women have greater need for common property rights, especially related to forest;	Ensure that information is available in local languages and orally (use of radio and TV in local languages); where possible and practical. Some of the Mon-Khmer languages spoken by ethnic minority groups in Quang Binh, Quang Tri and Thua Thien Hue and the Hmong language do not readily lend themselves to written translation.;
	Women's access to information less than men's;	More attention to targeting women by facilitating if deemed necessary separate consultations with village women facilitated by a female facilitator in the language of women's choice;
	Women's active involvement in consultations less than men's;	More attention to times of meetings
	Poor persons (women and men) less likely to receive adequate information;	More attention to targeting and focusing on involvement of poor households using the data supplied by DOLISA and the survey findings of the SESA;
Institutional Framework	Extension services for forestry and upland agriculture very weak;	Long term programme to overhaul extension systems to reach uplands areas that are evidence driven and based on the specific needs of different localities;
	Limited exposure to participatory approaches;	ODA required to impart participatory approaches/techniques and/or work with local applied social research institutes that either have a demonstrated track record in participatory approaches of have signalled their ability and willingness to be involved with such approaches;
	Limited staffing and budgets;	Staffing and budgeting another intractable issue (relates to larger civil service reforms, quotas, etc.);
	Wrong models for wrong areas;	Action research by university centres on participatory model development in uplands;

Topic	Risks and/or Challenges	Potential Solutions/ mitigations
	Lack of transparency in decision-making and little downward accountability;	Major restructuring needed of monitoring and evaluation systems to improve data collection, analysis and reporting that must also be highly sensitive to the disaggregation of data by gender, ethnicity and poverty;
	Accurate data, adequate monitoring and evaluation processes still limited (negative impact on further decision-making for programming);	Changing administrative behaviours to embrace the concepts of transparency and downward accountability requires major will be to reform on part of GoV (not just MARD and DARDs, for example) and include cc to PPC (and DPC) PPC is the important actor and coordinator.
	Local planning may be one-sided in promoting economic development without adequate consideration for environmental aspects (Green growth on paper);	Awareness creation for development planners to understand the implications of their planning decisions for the environment (should be done according to Green Growth Strategy: 1393/2012/QĐ-TTg).
Consultations	How to do FPIC with adequate numbers of local communities, especially with ethnic minority people (no legal provision for FPIC in PLRs);	Training and involvement of students and youth (especially from ethnic minority groups and especially of younger women) to help provide information and undertake at least some consultations;
		Always ensure translators are present at meetings with ethnic minority groups that do not speak Vietic languages
	REDD is seen as a risky approach. The overall approach of REDD+ itself makes consultations and FPIC difficult – seen as a PFES scheme - that may or may not make payments after several years of activities. This is not a realistic plausible way to convince smallholder farmers of any ethnicity or gender to participate;	A BSM embedded in an Adaptive Collaboration Management Approach has been proposed. While it would be seeking to leverage REDD+ there are many activities such as reducing conflict and sharing information between owners and managers of forest and local communities that are not contingent in REDD+. The ACMA is seeking to downplay cash payments that may or may not flow from the Carbon Fund. Inherent problem with REDD+
	What type of opportunity-cost information to provide is unclear (tendency towards one-sided “everything will be perfect” disinformation);	ACMA is premised on joint learning outcomes. The SESA was unable to capture such outcomes during the actual quantitative surveys but the village-level consultations have indicated that information needs to be shared: scientific and technical versus customary and traditional and that in fact these information bases are not mutually exclusive. Improve information; but also an inherent design problem with REDD+ may be better options available but difficult to promote
	CSOs are few in Vietnam, and small and seldom include ethnic minorities among their staff;	Despite small size and few number, CSOs should be facilitated to participate in REDD+ (including capacity building for them), but only in limited areas (ex. trainers for students to do consultations);
		Train VWU to help facilitate women only meetings in the villages; Already happening training will help but quality is an issue.
PLR Framework	No real definition of custom; No recognition of customary rights anywhere in PLRs and limited recognition of community rights;	Need to revise key PLRs and ensure that adequate implementation circulars are issued;
	Little recognition of any special rights for	Vietnam is party to International Convention on the

Topic	Risks and/or Challenges	Potential Solutions/ mitigations
	ethnic minorities and different socio-cultural relations to land and forest management; The new Land Law makes good progress in recognising customs;	Elimination of Racial Discrimination; thus domestic laws must be brought in line with international convention, however, Vietnam's Constitution is generally considered one of the more progressive constitutions in the region when it comes to ethnic minorities;
	Fragmentation in the PLR framework: very many nationally issued legal documents that need to be "re-interpreted" in the provinces for implementation;	The fragmented and complex PLR framework cannot be easily reformed under the current system (beyond the forestry sector and REDD+). Can only ensure that most important
	Overlapping and possibility for vagueness (opens loopholes) in legal provisions;	PLRs adequately reflected in the provinces; Loopholes related to forest conversion, for example, should be "plugged."
	Carbon rights not yet included in the PLRs; Carbon title may be an individual title attached to land	Carbon rights required; Individual rights

3.12.1 Program risks

Institutional sustainability is being addressed through the use and strengthening of existing service and financing delivery mechanisms and not the creation of new and parallel structures. This will also foster greater ownership by the implementers. Extensive training will be implemented to build up training and extension capacity and strengthen management capacity of the forest managers including smallholders.

The financial sustainability of the plantation forest activities will be ensured by promoting tree growing that is expected to be financially profitable, allowing cost recovery and repayment of credits. The program addresses the financial and institutional sustainability of SUFs PFMBs through the provision of small, realistic financing for core protection and management activities, that can be sustained with limited external support and capacity building. It was expected that the funding will be replenished through REDD+ financing if the model proves successful (see Table 3.54 for a summary of important risks).

Environmental and social sustainability will be ensured through improving land-use planning, enhancing security of land tenure and recognizing traditional land management systems, strengthening protection of SUFs and PFMBs, promoting environmentally sound forest management, applying socio-economic plantation development guidelines, and involving all stakeholders including ethnic groups and women in planning and forest management.

This program is conceived under the NFSD strategy to demonstrate the potential of smallholder and larger plantation forest development and a novel financing mechanisms to support conservation efforts in Vietnam.

Table 3.54 Summary of program risk related to infrastructure

Risk	Rating	Mitigation
Continued infrastructure projects (HEPs and roads) lead to high rates of local deforestation and long term forest degradation in the ER-P area.	M	Improved impact assessments, use of operational management plans in nearby SUFs, ESMFs and EMPs that are properly managed by the program and donors.
HEP/ HPPs: particular note is made of proposed cascade in Thanh Hoa Province and but also for other proposed small HEP	S	Careful planning and monitoring of the individual HPPs; Early and careful carrying out of the assessment of cumulative impacts;

Risk	Rating	Mitigation
The main risk from large HEP projects particularly where there is a cascade and different funding sources and donors are present is that impact is wide and made more difficult by the large numbers of followers – this leads to wide impacts related to forest degradation		Careful design of the ESMF and EMPs which should be consistent with other related initiatives and take account of existing and additional and longer term impact of such projects particularly resettlement is an issue (all to frequently people are relocated with insufficient or poor quality land) where a cascade is considered
Roads: While the main investments in large roads has mainly been completed or is taking place in the coastal plain area, a number of small feeder type roads and border area roads are planned and these have tended to be placed in the more heavily forested areas	M to S	Highly dependent on the route, some roads may have little impact.

Rating L= low; M=medium; S=severe

3.13 Proposed roadmap for strategy of innervations in the ER-P

The FCPF has received Additional Funding of USD 5 million to continue to assist the Vietnam REDD Office on REDD+ readiness. The Additional Funding will cover the period from 2016 to 2018. Based on the current status of the SESA and REDD+ readiness, there are some prioritised interventions that should be considered by the FCPF under its given components (see Table 3.55 below).

Table 3.55 Further action under the additional finance for the readiness preparation

FCPF Grant Component	Selection of prioritised interventions for FCPF	What should be accomplished
1. Analytical studies and development of capacities for effective and efficient REDD+ implementation at national and provincial level.	On-going support to PRAP revision in ER-P provinces because current drafts tend to have been formulated without strong understanding of REDD+	Improved quality of PRAPs and lessons learned for further PRAP development under REDD+
	Support greater ownership of PRAPs by provincial and district authorities.	PRAP planners to have improved knowledge on more focussed planning for REDD+: driver mitigation and ensuring multiple benefits for local communities.
	Awareness creation and capacity building on drivers and multiple benefits at provinces and districts;	Provincial and district staff develop understanding of constraints and potentials in upland farming forest systems
	Awareness creation and capacity building on upland farming and forest systems;	
	Further, in-depth study on EM people's access, use and control of both agricultural and forest land;	
	Action research supported on EM people's ability to benefit from forest land, including their own plantations;	
	Assessment of impacts of agricultural and forestry land zoning in selected districts of ER-P areas to promote PLUP;	Provincial and district gain awareness on negative impacts of top-down decision making on local

FCPF Grant Component	Selection of prioritised interventions for FCPF	What should be accomplished
		land use, and potential positive impacts of PLUP.
	Study on promoting community-level associations and cooperatives.	Mechanism is found that can be further tested or promoted that will allow communities to be a “judicial person” according to Civil Code.
2. Policies and technical support on SFC reform for REDD+ service provision, private sector engagement and support for FLEGT	Review any existing conflicts between SFCs and local communities on forest and agricultural land. Investigate co-management/ collaborative approaches possibilities between SUF SFCs/ PFMBs and local communities. Problem is its not formalised	Draw lessons on conflict resolution applicable throughout Vietnam, and provide inputs for conflict resolution mechanisms;
	Investigate effect of natural timber harvesting ban on affected SFCs (all except Long Dai in ER-P area).	Ensure that, as far as possible, local communities continue to have access to required forest resources for their livelihoods;
	Investigate potential for SFC/PFMB boundary adjustment especially where areas are discontinuous (increase land available for re-allocation).	Support further land rationalisation processes for both SFCs and PFMBs;
	FLEGT-related (with a FLEGT project): Chain of Custody assessment of large timber yards in ER-P area (Quang Tri and Nghe An), where round wood available in large quantities.	Higher attention paid to REDD+ safeguard on avoiding displacement, and contribute to FLEGT VPA;
3. Development of the SESA national and provincial REDD+ strategy options; stakeholder consultation and participation	Support local level consultations piloting with a variety of mechanisms. Support improved information dissemination/communications mechanisms to reach local communities in the different provinces.	More effective consultations mechanisms promoted, with lessons learned.
	Support mechanisms for CSOs’ involvement in REDD+.	CSOs strengthened to assist as trainers for effective REDD+ consultations;
	With UN-REDD, PLR analysis (key PLRs), especially on forest land, CFM, safeguards. Support wider spread information dissemination of social and environmental safeguards.	Key interventions required for changes to PLR Framework identified (ex. Forest Land, Community Forest Management, safeguards);
	Support STWG-Safeguards on promoting mechanisms for consultations, reporting on same and on elements for SIS.	Mechanisms for the implementation, monitoring and reporting on safeguards identified (with UN-REDD and others, related also to formal reporting requirements to the FCCC);
	Develop communications strategy on safeguards and capacity building curricula for different stakeholders at all levels (with UN-REDD).	Improved reporting to promote monitoring and evaluation for SIS, a requirement for UNFCCC.
Project Management and monitoring and evaluation.		

Table notes: The components are as given under the FCPF Grant.

4 Conclusions and recommendations

The PRAPs for the six provinces represent in general terms, forest programs which correspond to a certain extent with the identified drivers of deforestation and degradation in the ER-P area. Nonetheless, it is more difficult to address degradation in the ER-P provinces.

The PRAPs do not all come to grips with the fact that some of the major drivers of deforestation and particularly degradation do not originate within the forest sector and improvements to land use planning is required. If large infrastructure projects continue to be built, including border area roads and hydropower, or major consolidation and conversion of degraded forest land to various types of agricultural land or special economic zones continues, narrowly focused forest protection and development activities will have less than the expected impacts to protect forest resources. The new draft National REDD+ Action Program that is currently being developed is expected be finalized next year and seeks to improve land use planning and facilitate cross sector planning.

The NRAP Decision is expected to be issued by the Prime Minister and the proposed national SESA/ESMF will be prepared/finalized, and as necessary, the ER-PD and the associated safeguard documents will be updated/supplemented with additional policies and measures and the resulting potential environmental/social impacts and mitigation measures as part of the national SESA Phase 2.

Local communities also should have an active role to play in forest protection and development in order to benefit from the forest and further development and institutionalization of REDD+ safeguards mechanisms is needed. These and other matters will be further addressed in the national SESA Phase 2 (due in 2017), ESMF (the final draft is due in 2017), and is expected to include the results from the national Safeguards Information System (SIS), and further capacity strengthening initiatives on REDD+ for the community, especially ethnic minorities and vulnerable groups.

1

Annex 1

1.1 *SESA Outline*

Summary SESA diagram to be added¹¹⁹.

1.2 *Questionnaire design*

a) Household questionnaire

The household questionnaire has the following sections:

0. Cover page - This section included all identification information for data management. Other useful information, includes whether the questionnaire was done in an EM language with an interpreter; gender of the respondent; whether the household was from the main sample list or a substitute. A brief introduction about the project and the survey was also included

1. Basic household information - This part included general information of all household members, including name, age, sex, ethnicity, as well as education level and language of household head. To collect information on migration, the list of household members in other districts, cities or countries was provided with (i) their contribution to household income in the last 12 months, (ii) which year they migrated to other places, (iii) their reason for migration, and (iv) their current job. In addition, the employment of household members aged 6 and older was also collected in this part. In particular, the most time consuming (main) job of each member in the last 12 months was documented by type of industry, employer, type of contract, and number of working days per month. Some indicators regarding the living conditions are also of interest: type of houses, water sources, electricity, latrine type, and durable goods (agricultural/forestry equipment).

2. Land use, land tenure and land conversion situations - This part covered one of the key focuses of the survey on land related issues and with focus on the forestry-specific aspects such as land allocation to households following the reform of SFEs and land encroachment for agricultural purposes. As some matters such as land conflicts, land allocation disputes, etc. may be considered controversial and sensitive by some communities, the related questions were integrated smoothly with other matters and were carefully tested in the field pilot. This section was quite extensive and therefore needed further testing in the field to shorten it, or balance its length with other contents of the questionnaire.

Land use

The household were asked to list all the land parcels that are owned and/or used by the household members, regardless of the legal official tenure status. For each parcel, the following information was collected:

- Purpose of the land parcel: residential land, annual crops, perennial crops, forestry, etc. As the households were expected to have several fragmented land parcels, to avoid having too many parcels on the data, priority was given to forestry land, information on other land parcels was also collected.

¹¹⁹ There will also be annexes associated with Minutes of public consultations and meetings; Screening Checklist, Operational Positive and Negative Matrix; Template for ESMP Checklist; Minimum Contents of ESIA; Sample E&S Clauses for Land Acquisition; and, Detailed Program Description.

- For the production land: specific crops to be cultivated on the production land was recorded. A list of plants of interests (cassava, corn, acacia, etc.) was developed and referred to throughout the questionnaire. The respondent was also asked to rate the quality of their land.
- Area of the parcel and its distance to the house.
- Means of obtainment: allocation by the commune/state or the SFCs for forest protection under contract, allocation by the private sector, inheritance, reclamation, etc.
- Forest land allocation: if the household was allocated land by the state, and whether the household was satisfied with the land allocation; if not, why (unfair, too little, etc.)
- When the household first exploit/use this parcel of land
- Any dispute or conflict involved with the parcel of land: since when, with whom, the solution.

Land tenure

For each parcel, a question was asked if the land parcel has a land use right certificate (LURC) or “red book”).

For those parcels with a LURC, follow-up questions were asked on the registered land use purpose, the registered land user names (whether the woman’s name is put in the book), whether the household was satisfied with the LURC granting service (precision of measurement, disclosure of information, red tape, etc.) For those parcels without a LURC, follow up questions included why the household has not obtained one.

The household was asked whether: There has been any change in the use of the land parcels (for example forest land into agricultural land) in the past 5 – 10 years, and provide information on the purpose of the land before the conversion, whether the conversion is officially documented (by adapting the LURC at the local authority). Where there has been any transfer of the LURC and whether the transfer was officially documented, and whether there has been any acquisition and the reason for the acquisition, as well as whether the household was satisfied with such acquisition.

3. Income and expenses - This part examined the different sources of household income, with a primary focus on income generated from forest and forest – related sources. The ultimate goal was to assess the level of dependency of household income and consumption on these resources. The level of dependency disaggregated by gender is also of interest¹²⁰. Overall, this part of the questionnaire contains specific information on six categories of household income, including: Income from wages, agriculture, forestry income from other sources etc. Note that for sections on agriculture, aquaculture and forestry, the proportion of produce for sales (the rest for consumption either as food, construction materials or other use) was reported. In all sections, the interviewee was asked to indicate the key household member associated with each income source. Income of this type includes allowances for the cultivation and maintenance of state – assigned forests as well as from provision of PFES.

4. Access to forest resources - The first section on timber consists of questions on logging for household use, both legal and illegal extraction. In this part, logging for outside traders was also recorded. The second section on NTFPs contains tangible and cultural values. Any change in availability and yields was also recorded. This subsection provides information on the returns on forest and forest – related economic activities of the interviewed households. Specific forestry produce can be divided into timber, firewood and NTFPs. In particular, information on sales and consumption of specific timber products such as keo (Acacia), lim, cò, dó as well as the age of these trees at felling time was collected.

¹²⁰ Income from wages notes, this section solicits information on wages generated from both forest – related work (i.e. from working for State or private forest companies operating in the area of interest), and other wages not related to forestry work. In a previous study by Nguyen & Jakobsen (2003), the authors ask the ratio of males/females involved in each economic activity, which might be easier for the respondents to report in the case where more than one household members participate equally.

The questionnaire consists of a product list. For each product in the NTFP list, the following questions were asked:

1. Do you collect this product and if yes, what is the market value?
2. Which member in the household performs the collecting task for this product?
3. Over time (5 – 10 years of reference) do you notice declining yields of the product?
4. Over time (5 – 10 years of reference) does it take you longer/travel further to collect the product?
5. Over time (5 – 10 years of reference) do you notice competition from “outsiders” from different communes or districts?
6. Are there any restrictions on NTFP collection? If so who impose or enforces this ?

NTFPs list includes: firewood, honey, bamboo shoots, vegetables, mushrooms, medicinal plants, snails, fish/crabs, hunting for self-consumption, nua, giang, herbs (if this is applicable, participants were asked to list out the NTFPs), palm leaves for home constructions.

Cultural values: The last sub-section on sacred forests includes questions on whether participants are aware of sacred forests in their area and if these forests are deteriorating. The questionnaire also asked if there are ceremonies organized frequently and whether the cultural value is being preserved or decreasing in value and frequency.

5. Access to selected services - This section collects information on people’s accessibility to a number of services with an emphasis on agricultural/forestry extension, and credit. Four main aspects of each service were addressed: availability of services, frequency of service use, service providers, and satisfaction level of people with the services.

- Agricultural/forestry extension;
- Land-related services: cadastral, land-use certificate issuance, land allocation, and land conflict settlement;
- Credit: informal and formal sources with a focus on credit from: (i) shop owners, commercial traders, and (ii) VBSP, VBARD. The amount of the most recent/substantial loans and the associated interest rates were asked;
- Market: special focus was on markets for timber and NTFPs; and
- Infrastructure: road to access to the forests, community centre, People’s Committees for administrative services.

b) Commune questionnaire

The commune questionnaire captured the information that cannot be collected at household level. In each commune, the respondent was a representative from the CPC. He/she was also encouraged to discuss answers with other relevant officers such as head of the commune forest protection board. The questionnaire will include the following sections:

1. Main demographic characteristics of the commune: total population and population by ethnicity; number of poor and non-poor households; migration status (changes in permanent and temporary residents); main economic livelihoods of the population.

2. Land use: areas of land by different land use purposes; the land use conversion/change situation in the past 5-10 years; land tenure (areas of land with/without LURCs); land allocation (percentage of land allocated, availability of bare land) by land users (households, SFCs, private sector, CPC).

3. Situation of forests: forest areas by three main types, available bare forestland area, the change in areas, use and quality of forests over the past 5-10 years.

4. Forest management: organization and composition (number of staff) of the community forest management board or commune forest protection board as well as their activities; organization and composition (number of staff) of the forest protection department, forest rangers from SUFs, PFMBs or SFCS. This section will also record any restrictions on the collection of NTFP.

5. Implementation of forest protection contracts (FPCs) and PFES: how many FPCs, with whom, annual payment; presence of any current or proposed PFES and how the commune expects to distribute the PFES benefits.

6. Land disputes: number of cases related to disputed boundaries and encroachment; recognition of any informal/customary land access rights.

c) Field Survey

Fieldwork, piloting of the questionnaires and training of the enumerators.

After the first drafts of the questionnaires were developed and agreed upon, a field pilot was implemented. The pilot study helped to detect errors and confusing questions in the questionnaires, adjust the length of the questionnaires, refine the wording and structure of the questionnaires and provide training for enumerators, they were also provide with a field manual, and trained in the use of a tablet which recorded the site by GPS and also recorded the interview. Feld work took place over a two week period.

1.3

Communes participating the quantitative survey

Table 1.1List of the 102 communes participating in the quantitative survey

Commune	District	Province	Commune area (ha)	Commune Population	Area of forest (ha)	Area of natural forest (ha)	Area of production forest (ha)	Area of protection forest (ha)	Bareland (ha)
Huu Kiem	Ky Son	Nghe An	7577.38	3534	3904.08	3597.55	52.0431	8.65711	2394.92
Tay Son	Ky Son	Nghe An	11637.6	1476	4561.17	7034.17	39.3364	21.1944	6135.06
Yen Thang	Tuong Duong	Nghe An	7675.53	2854	4165.09	3557.64	53.9329	8.19076	1816.05
Nghia Lac	Nghia Dan	Nghe An	4016.73	2729	1045.62	2998.32	25.8564	19.2168	558.672
Tam Quang	Tuong Duong	Nghe An	37849.3	6938	30763.2	6461.26	82.345	354.956	4035.73
Thach Ngan	Con Cuong	Nghe An	9651.15	5078	4018.53	5524.99	42.1074	140.59	3751.88
Chau Hoi	Quy Chau	Nghe An	9889.84	6089	7501.08	2427.79	75.5482	356.205	712.978
Thanh Ha	Thanh Chuong	Nghe An	4230.58	5158	2124.73	2022.9	51.2276	950.642	582.214
Pha Danh	Ky Son	Nghe An	6074.42	2605	944.866	5089.24	15.6588	0	3717.39
Nghia Hanh	Tan Ky	Nghe An	3628.37	6256	727.196	3355.39	17.8122	370.48	1519.71
Chau Thai	Quy Hop	Nghe An	7630.96	6751	3708.5	3893.74	48.7816	656.611	2706.48
Huoi Tu	Ky Son	Nghe An	11150.2	4198	2012.17	8991.14	18.287	0	6417.85
Mon Son	Con Cuong	Nghe An	40549.5	7872	36453.8	4407.45	89.1792	153.515	2153.84
Quynh Chau	Quynh Luu	Nghe An	5088.58	11285	1021.69	3908.25	20.7242	963.372	1445.55
Hanh Lam	Thanh Chuong	Nghe An	17275.2	5483	13520.8	4107.22	76.18	1473.78	428.654
Yen Tinh	Tuong Duong	Nghe An	15614.5	3917	3681.92	12007.4	23.4677	0	10004.7
Quang Phong	Que Phong	Nghe An	16844.3	5254	9899.33	7002.87	58.5683	31.1743	6344.09
Muong Noc	Que Phong	Nghe An	3160	5993	896.673	2244.2	28.5486	36.0071	1587.83
Na Ngoi	Ky Son	Nghe An	19293.3	4975	4951.62	14840.5	25.004	0	12550.6
Chau Binh	Quy Chau	Nghe An	13190.7	8683	8507.76	4618.5	64.8146	3016.21	1792.54
Chau Thanh	Quy Hop	Nghe An	7505.32	3897	3137.8	4394.71	41.6568	220.26	3825.74
Yen Hoa	Tuong Duong	Nghe An	12850.9	4540	6407.53	6359.88	50.1866	4.09915	4022.99
Chau Hong	Quy Hop	Nghe An	2756.41	3461	1725.81	1092.05	61.2454	164.794	636.822
Yen Hop	Quy Hop	Nghe An	5130.89	5479	2262.74	2775.64	44.9101	964.67	1860.41
Chau Kim	Que Phong	Nghe An	5749.61	3938	3203.99	2804.2	53.327	150.55	2326.57
Thong Thu	Que Phong	Nghe An	42131	3935	31553.1	9705.92	75.9118	527.219	7780.39
Dong Van	Tan Ky	Nghe An	8353.09	10807	3744.85	5054.63	42.5576	294.517	2303.14
Phung Giao	Ngoc Lac	Thanh Hoa	2165.87	3759	409.645	1795.89	18.5735	300.31	565.066
Thach Lap	Ngoc Lac	Thanh Hoa	4990.21	6350	2851.03	2112.02	57.4451	1165.27	1154.22
Hien Kiet	Quan Hoa	Thanh Hoa	6310.97	3351	4589.26	1705.37	72.7111	748.385	1509.9
Na Meo	Quan Son	Thanh Hoa	12884.2	3021	10284.6	2281.4	81.7113	465.296	1856.78
Giao An	Lang Chanh	Thanh Hoa	3959.49	2461	3184.37	816.537	79.5913	1998.15	440.826
Xuan Phu	Tho Xuan	Thanh Hoa	2493.79	892	866.135	2256.12	27.7406	854.943	1410.2
Giao Thien	Lang Chanh	Thanh Hoa	7383.26	4150	5745.96	1581.34	78.4185	2191.67	942.233
Trung Ly	Muong Lat	Thanh Hoa	19290.3	5404	10186.8	9681.32	51.2631	178.682	9478.82
Binh Luong	Nhu Xuan	Thanh Hoa	7249.1	2992	4820.73	2106.48	69.5911	43.4419	396.906
Tan Truong	Tinh Gia	Thanh Hoa	3689.56	7163	979.001	2689.48	26.6868	429.155	792.746
Muong Chanh	Muong Lat	Thanh Hoa	6495.04	2772	4259.97	2276.24	64.9788	3.77854	2128.91
Van Xuan	Thuong Xuan	Thanh Hoa	14116	5316	9257.89	4485.34	67.3634	52.2532	2400.46
Quang Chieu	Muong Lat	Thanh Hoa	10895.9	4525	4265.84	6662.99	38.8811	0	6136.14
Ai Thuong	Ba Thuoc	Thanh Hoa	2720.47	4331	1655.72	1079.71	60.5287	991.378	186.831
Mau Lam	Nhu Thanh	Thanh Hoa	4266.22	8007	1946.05	2306.09	45.7664	1698.11	751.034
Lam Phu	Lang Chanh	Thanh Hoa	6267.68	4038	5000.4	1196.58	80.6909	1098.47	643.296
Thanh Quan	Nhu Xuan	Thanh Hoa	4010.49	4844	2287.69	1812.83	55.7902	23.716	1163.43
My Tan	Ngoc Lac	Thanh Hoa	2458.69	5526	1481.14	1011.33	59.4246	940.765	344.161
Xuan Phu	Quan Hoa	Thanh Hoa	3167.58	5960	1807.06	602.959	74.9811	263.91	338.425
Xuan Chinh	Thuong Xuan	Thanh Hoa	7276.59	2653	4490.85	2816.15	61.4596	0	1782.2
Thanh Yen	Thach Thanh	Thanh Hoa	4429.69	3047	2874.59	1533.11	65.1827	64.3782	690.353
Luong Trung	Ba Thuoc	Thanh Hoa	4490.71	4944	2508.6	1970.95	56.0012	512.692	668.809

Table cont.

Commune	District	Province	Commune area (ha)	Commune Population	Area of forest (ha)	Area of natural forest (ha)	Area of production forest (ha)	Area of protection forest (ha)	Bareland (ha)
Trung Thuong	Quan Son	Thanh Hoa	9511.13	4832	6744.45	2875.55	70.1086	797.168	2400.55
Luan Khe	Thuong Xuan	Thanh Hoa	5540.33	5727	3353.38	2240.46	59.9477	853.66	1123.98
Son Ha	Quan Son	Thanh Hoa	9208.44	1648	7822.29	1209.41	86.6012	283.337	813.423
Huong Minh	Vu Quang	Ha Tinh	4941.49	3042	3955.66	903.134	81.4123	1226.97	261.833
Son Tay	Huong Son	Ha Tinh	12974	7493	8771.6	4173.95	67.7579	771.121	1624.23
Huong Trach	Huong Khe	Ha Tinh	12981.1	6676	9569.89	1665.68	85.1747	696.481	202.846
Son Kim 2	Huong Son	Ha Tinh	23412.3	3977	18011	2339.89	88.4779	496.521	687.007
Ky Son	Ky Anh	Ha Tinh	8998.3	6042	6917.92	1973.75	77.8023	1627.5	502.019
Son Kim 1	Huong Son	Ha Tinh	19712	4389	19494.3	2720.92	87.272	566.419	1675.01
Huong Quang	Vu Quang	Ha Tinh	33207.9	1677	30373.2	2092.01	93.3753	0	184.611
Thuong Trach	Bo Trach	Quang Binh	72571	1526	64860.2	8715.74	88.0827	10.9612	7611.72
Truong Son	Quang Ninh	Quang Binh	77384	3405	68989.9	8929.57	88.4971	4350.05	4859.53
Kim Thuy	Le Thuy	Quang Binh	47935	2182	42212.7	6435.49	86.771	7320.01	4718.76
Thai Thuy	Le Thuy	Quang Binh	5580	4441	3129.82	2585.76	54.7594	3129.82	733.467
Trong Hoa	Minh Hoa	Quang Binh	17812	2620	10889	7719.23	58.4996	21.0282	7114.25
Cao Quang	Tuyen Hoa	Quang Binh	11882	2612	9877.76	1781.93	84.7171	0	268.326
Quang Son	Quang Trach	Quang Binh	5414	6993	3167.32	2195.96	59.0557	1533.82	1151.16
Yen Hoa	Minh Hoa	Quang Binh	3475.2	3449	1397.4	1798.17	43.7293	87.2206	1033.64
Phu Dinh	Bo Trach	Quang Binh	15358	2572	12398	2356.33	84.0292	1198.77	1154.46
Quang Chau	Quang Trach	Quang Binh	4162	8760	1324.34	2859.08	31.6568	855.713	837.411
Lam Thuy	Le Thuy	Quang Binh	24100	992	21117.3	1610.12	92.8115	665.873	1365.08
Lam Hoa	Tuyen Hoa	Quang Binh	10320	743	9402.17	675.51	93.2968	23.587	424.305
Huong Hiep	Da Krong	Quang Tri	14224.6	3257	10283.3	4069.47	71.6467	1538.71	2941.98
Da Krong	Da Krong	Quang Tri	10946.7	3804	7214.09	3873.19	65.0662	671.153	3284.61
Ta Long	Da Krong	Quang Tri	18615.4	2540	12931.4	5678.82	69.4296	175.788	4673.78
A Vao	Da Krong	Quang Tri	7656.98	1873	4782.93	2911.22	61.9208	0	2525.48
Vinh Chap	Vinh Linh	Quang Tri	5495.38	4907	3202.13	2066.6	60.7762	3185.55	196.504
Ba Tang	Huong Hoa	Quang Tri	6092.18	2800	1736.67	4344.1	28.3993	109.616	2104.48
Huc	Huong Hoa	Quang Tri	6488.53	3050	3007.48	3375.87	47.1144	526.623	2119.39
Ta Rut	Da Krong	Quang Tri	6224.97	2912	3096.52	3036.45	50.4896	199.816	2061.5
Huong Linh	Huong Hoa	Quang Tri	11654.8	2500	6019.21	5415.36	52.6403	251.78	2924.53
Huc Nghi	Da Krong	Quang Tri	13393.1	1063	11079.8	2405.61	82.1596	26.0535	2190.19
Vinh Ha	Vinh Linh	Quang Tri	16514.6	1099	12801.8	3709.32	77.5345	5704.77	538.375
Linh Thuong	Gio Linh	Quang Tri	17287.9	1451	10613.6	6747.31	61.1347	5771.16	6491.68
Ba Nang	Da Krong	Quang Tri	6341.19	2054	2371.89	3983.39	37.2502	91.7596	3824.22
Huong Phung	Huong Hoa	Quang Tri	12479.5	3900	5136.55	7355.16	40.711	881.824	4489.71
Huong Son	Huong Hoa	Quang Tri	20455.7	1700	15356.3	5002.68	75.4276	75.7233	3968.41
A Ngo	Da Krong	Quang Tri	4814.48	2305	2741.13	2151.99	55.8415	80.3073	1600.99
Hong Thuy	A Luoi	Thua Thien	11650	2266	9053.86	5500.73	62.2019	147.721	2579.66
Hong Van	A Luoi	Thua Thien	3990	2307	2462.57	1581.33	60.8959	671.702	783.382
Loc Dien	Phu Loc	Thua Thien	11560	16034	6488.76	5251.48	55.2696	1475.17	709.665
Duong Hoa	Huong Thuy	Thua Thien	26280	3428	23231.5	2915.13	88.8509	7782.01	567.127
Thuong Nhat	Nam Dong	Thua Thien	11410	1764	7979.51	3363.87	70.3319	1405.02	2803.13
Huong Son	Nam Dong	Thua Thien	4376	1284	3417.71	916.387	78.8563	1071.98	365.574
Thuong Quang	Nam Dong	Thua Thien	15630	1628	14308.2	1258.4	91.9113	1115.75	574.035
Phong My	Phong Dien	Thua Thien	39400	5005	26253.5	13018.4	66.8506	5068.19	9389.53
Huong Nguyen	A Luoi	Thua Thien	32590	1064	26019.5	6291.82	80.5188	1039.14	3946.68
Loc Tri	Phu Loc	Thua Thien	6294	8746	4141.93	2086	66.4935	1262.22	330.423
A Roang	A Luoi	Thua Thien	5715	2250	4835.22	950.497	83.4949	978.375	222.362
Hong Thai	A Luoi	Thua Thien	7018	1139	6004.18	913.723	86.602	275.46	225.448
Binh Dien	Huong Tra	Thua Thien	11910	3528	8327.59	3644.77	69.5566	4251.24	2695.63
Hong Trung	A Luoi	Thua Thien	6791	1605	4747.18	1968.7	70.6858	362.291	731.118
Hong Bac	A Luoi	Thua Thien	3151	1756	2633.43	526.641	83.2179	662.679	192.787

1.4 Forest use and land tenure

The following graphs are based on the Provincial Agricultural Yearbook Statistics from the ER-P provinces 2010 to 2014.

1.4.1 Logging plantation and natural forest

The following graphs on legal logging show the rapid growth in the volume of legally logged plantation timber and the rapid decline from 2010 to 2013 of logging of natural forest due to the ban on logging, but the data also shows a surprisingly rapid rise from 2013, this is probably related to infrastructure projects and most of the logging of natural forest was undertaken in two provinces Nghe An and Ha Tinh.

Figure 1.1 Legally logged plantation timber

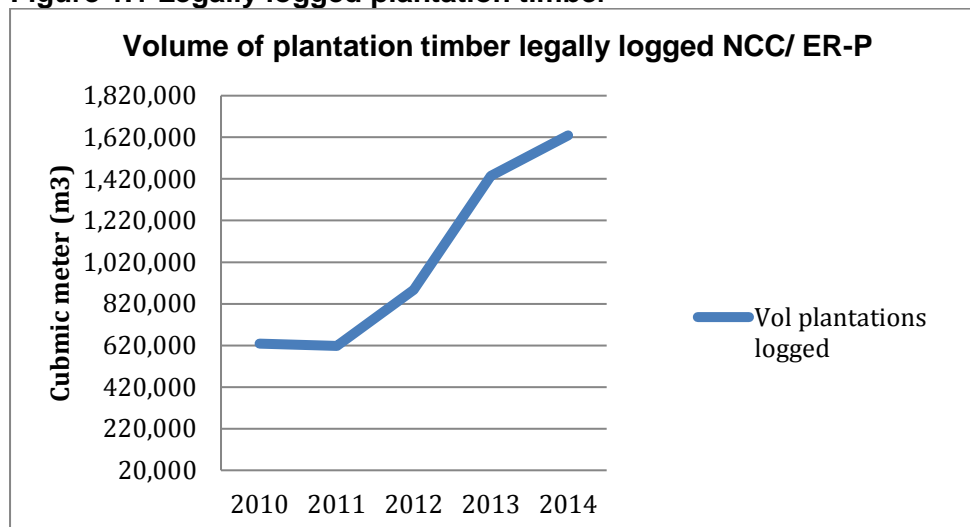
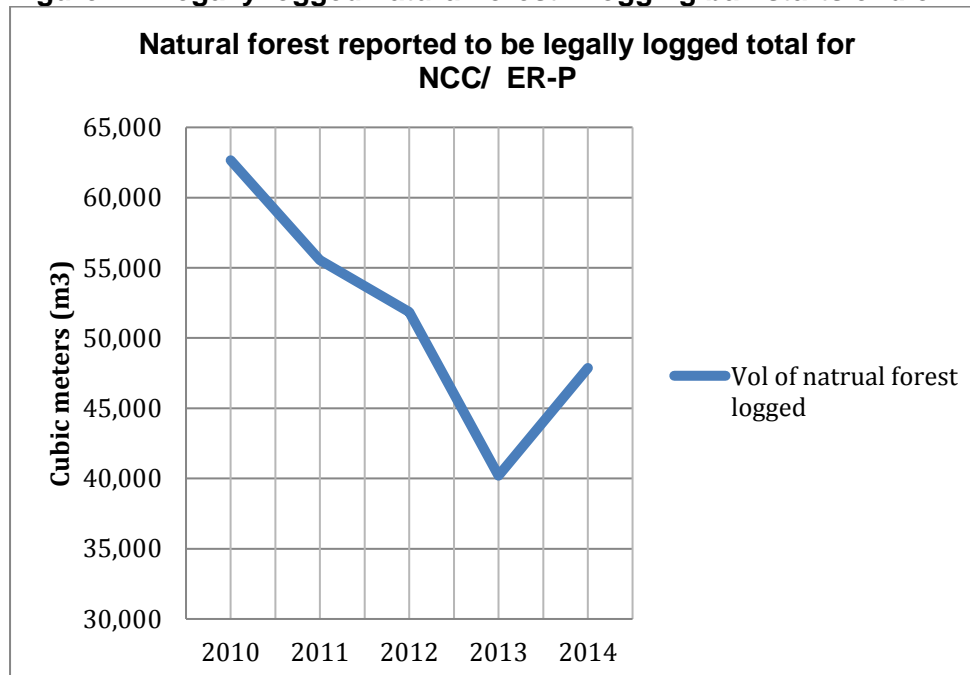


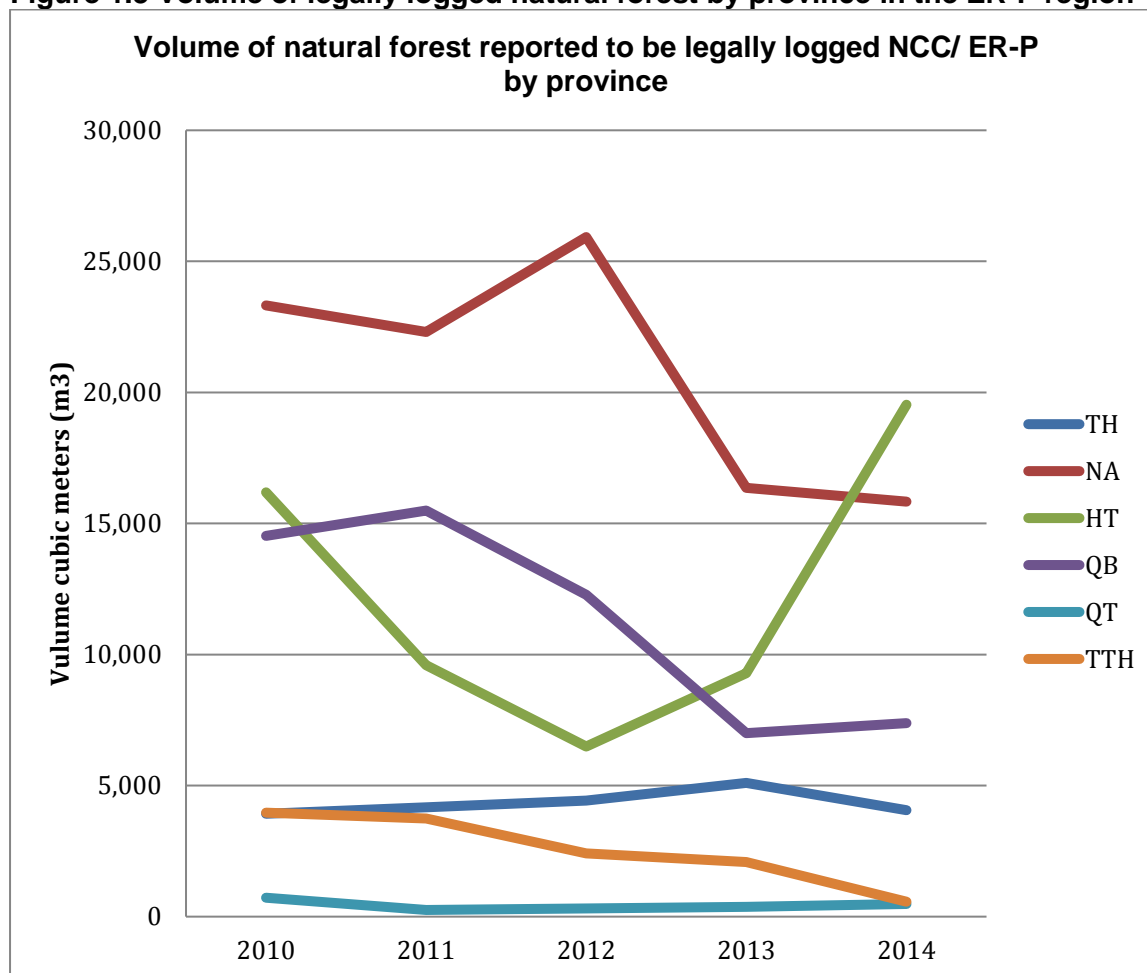
Figure 1.2 Legally logged natural forest – logging ban starts end of 2014



The provincial graphs of legally logged natural forest for Nghe An and Ha Tinh show the probable relation of logging to due construction of infrastructure related to infrastructure - a number of hydropower plants were under construction at this time, it is unclear why so much natural forest was logged in

Quang Binh from 2010-2011. It is noticeable that logging of natural forest rapid increased in 2013 and early figures for 2014 ahead of the logging ban, the Yearbooks do not have data after Q3 2014. For, Thanh Hoa, Quang Tri and Thua Thien Hue the volume of natural forest logged has remained low and even decreased for the period.

Figure 1.3 Volume of legally logged natural forest by province in the ER-P region



1.5 *Gender plays an important role in the exploitation of the forest resources*

Table 1.2 Forest use and the importance of gender

Men		Women	Both	
Forest use	Other work	Forest use	Other work	
Timber, wild pigs, fish rodents, rattan, larger animals deer, monkey, orchids, civets birds; Men will normally collect honey; orchids, cardamom (collection and processing of cardamom can be a mainly male task as it requires the person to be in the forest for some time)	Agricultural wage labour (particularly younger landless labour); artisanal gold mining; forest patrols; illegal logging for outsiders	Bamboo shoots, grass for brooms, wild vegetables, herbs, honey, snail; collection of firewood, mushroom	Rubber tapping; agricultural wage labour	Bamboo shoots, honey, snails, rattan, fish

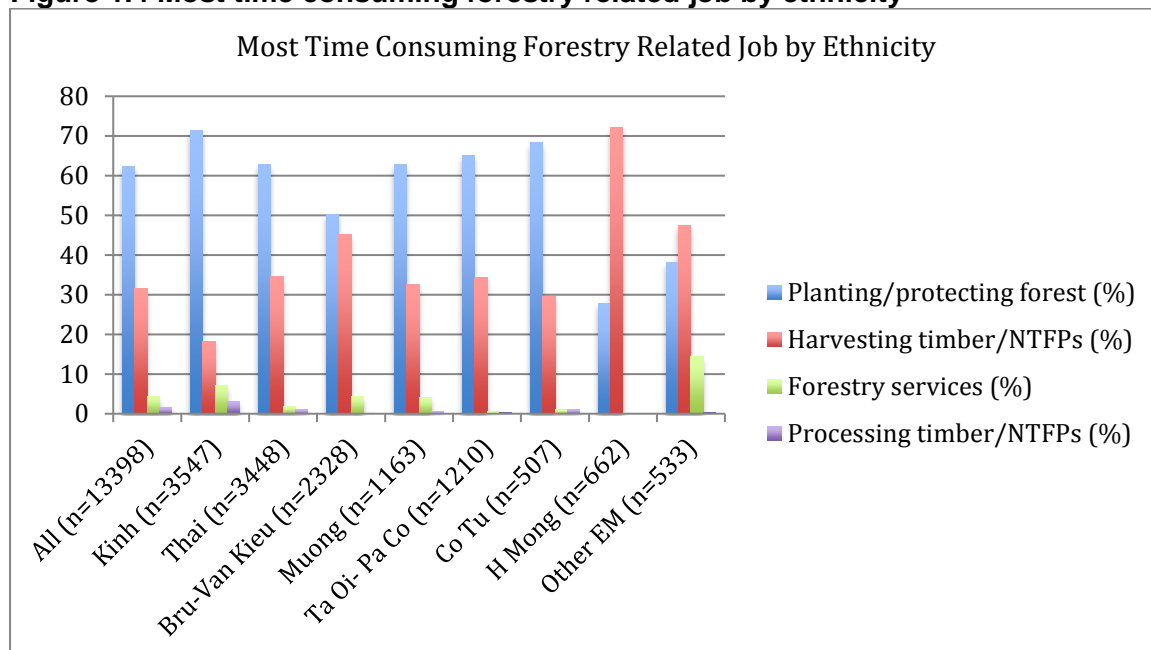
Table 1.3 Concerns related to forest use by gender and ethnicity

Men's Concerns	Women's Concerns
Loss of access to forest for timber (for houses) Use of forest firewood for charcoal Loss of grazing land for cattle Area for agricultural land	Loss of NTFPs, over exploitation of NTFPs leads to extra time required to collect items or diminishing supplies; Illegal logging and timber and cause women problems; Outsiders coming in to use local community resources. Conflicts with forest guards – collection of firewood and NTFPs particular issues for poor households Typically do not expect to be arrested by forest guards for collecting NTFPs or firewood; Typically they would also wish to be allocated forest land area. Available money to pay school fees
Impacts across different ethnicities (and by gender)	
Men's Concerns	Women's Concerns
Similar to above	Some differences are recorded in the SSRs, generally related to different NTFPs being collected including different emphasis on medicinal plants, diet (more or less fish).
	Also dependent on the SUFs, fish or shellfish collection in coastal SUFs, collection (and growing) of cardamom in northern SUFs
	Common to all is the collection of firewood and typical NTFPs e.g. rattan, bamboo shoots, mushrooms, tubers

Table 1.4 Summary of common issues between forest guards and local communities

Relationships with Forest Guards and Management Boards	
Men	Women
Some conflicts due to collection of NTFPs; conflicts due to charcoal making	HHs know the negative impacts they cause to the forest, but they are forced to exploit the forest because of their difficult livelihood Collection of firewood can cause problems e.g. Nui Chua NP mainly done by women and they are caught sometimes.
	Expected impacts from improved capacity MBs and forest guards
Little expectation??	Direct impact on hhs income and food security
Direct impact on income	Access to firewood
Extra forest and agricultural land	Extra forest land allocation
	Reduced access to forest grazing (often a girl or young boy's work)

Figure 1.4 Most time consuming forestry related job by ethnicity



a) Wage income

Table 1.5 Income from most time consuming forestry related job

Income from most time consuming forestry related job	Average salary/wages in past 12 months (1000 VND)	% that forestry-related wage makes of total wage
All (n=13,398)	8132.7	76.4
Ethnicity of individual		
Kinh (n=3547)	10294.2	73.9
Thai (n=3448)	10141.1	77.1
Bru-Van Kieu (n=2328)	5008.3	86.9
Muong (n=1163)	4614.2	75.5
Ta Oi- Pa Co (n=1210)	9343.1	88.4
Co Tu (n=507)	7040.6	81.7
H Mong (n=662)	1074.5	80.0
Other EM (n=533)	3991.4	77.8
Ethnicity of individual (Kinh-EM)		
1. Kinh (n=3547)	10294.2	73.9
2. EM (n=9851)	6259.0	78.7
Current economic condition		
1. Poor (n=4239)	3691.5	72.3
2. Near poor (n=2711)	9795.7	76.6
3. Non-poor (n=6448)	10536.7	79.3

Income from most time consuming forestry related job	Average salary/wages in past 12 months (1000 VND)	% that forestry-related wage makes of total wage
Province name		
Ha Tinh (n=736)	7955.4	64.0
Nghe An (n=3519)	2975.8	74.5
Quang Binh (n=1601)	10990.1	93.5
Quang Tri (n=2331)	12362.1	72.1
Thanh Hoa (n=3236)	9311.7	72.5
Thua Thien Hue (n=1975)	16333.8	71.8
Gender of individual		
1. Male (n=6703)	8646.9	78.0
2. Female (n=6695)	6754.5	71.6

Table 1.6 below shows the income from some major timber crops. Acacia appears to be the most profitable crop, followed by *melia azedarach* (xoan). However, when looking at the contribution of each type of timber to the overall income from of the households in the area, hybrid acacia seems to be the most important crop, as demonstrated by Figure 1.5 below.

Figure 1.5 Income contribution of the main timber crops

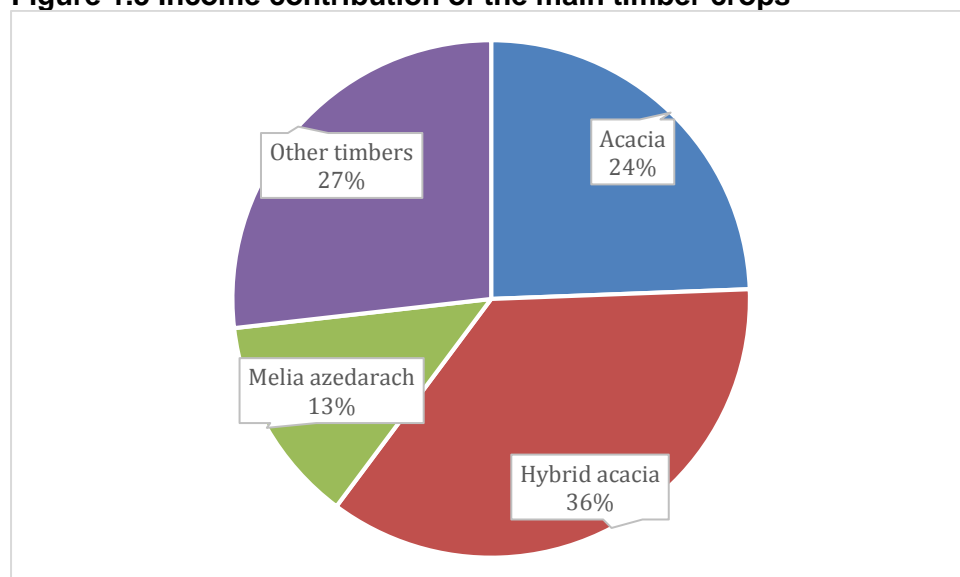


Table 1.6 Income from timber crops

Income from timber crops	<i>Acacia</i>	Hybrid acacia	<i>Melia azedarach</i>	Other timbers
All (n=3060)	8545.3	892.4	1934.8	123.7
Ethnicity of household head				
Kinh (n=948)	13516.1	2370.9	6366.6	276.4
Thai (n=802)	7374.1	120.0	224.4	74.5
Bru-Van Kieu (n=449)	3949.6	8.7	660.3	0.0
Muong (n=265)	6418.6	1164.7	145.7	108.8
Ta Oi- Pa Co (n=251)	3979.7	320.0	533.1	89.3
Co Tu (n=113)	10649.4	3757.1	524.7	0.0

Income from timber crops	<i>Acacia</i>	Hybrid acacia	<i>Melia azedarach</i>	Other timbers
H Mong (n=116)	2498.8	0.0	0.0	0.0
Other EM (n=116)	9659.5	0.0	0.0	5.1
Ethnicity of household head (Kinh-EM)				
1. Kinh (n=948)	13516.1	2370.9	6366.6	276.4
2. EM (n=2112)	6626.0	321.5	223.6	64.8
Current economic condition				
1. Poor (n=921)	6121.7	683.1	195.1	157.7
2. Near poor (n=615)	9708.4	2.1	2542.6	2.8
3. Non-poor (n=1524)	9999.6	1626.9	3118.5	167.6

b) Income from forestry services

As discussed in the section on forest-related livelihoods, forestry services, such as tree-felling and harvest transportation, make up only a small sector compared to planting/harvesting. Income from forestry services of the households in the ER-P area is demonstrated in 5.5 below. Self-employed forestry service providers in general earn more than wage workers, and the trend in which Kinh households have an edge over EM counterparts in their earnings is once again observed.

Table 1.7 Income from forestry services

Income from forestry services	Wage	Self employment
All (n=3060)	667.4	780.9
Ethnicity of household head		
Kinh (n=948)	991.3	1002.7
Thai (n=802)	315	725.1
Bru-Van Kieu (n=449)	755	107.3
Muong (n=265)	475.9	705.2
Ta Oi- Pa Co (n=251)	107.6	89.8
Co Tu (n=113)	535	198.7
H Mong (n=116)	0	0
Other EM (n=116)	182.5	3.6
Ethnicity of household head (Kinh-EM)		
1. Kinh (n=948)	991.3	1002.7
2. EM (n=2112)	340.6	557.3
Current economic condition		
1. Poor (n=921)	351.2	195.7
2. Near poor (n=615)	736.5	514.9
3. Non-poor (n=1524)	808.2	1227.4

c) Forest management

Table 1.8 Entities believed to be most capable of managing forests

<i>Entities believed to be most capable of managing forests</i>	Village communities	People's committees	Households	Forest management boards	Communities and forest management boards	Households and forest management boards
All (n=3060)	24.1	16.8	60.6	19.2	12.1	18.4
Ethnicity of household head (Kinh-EM)						
1. Kinh (n=948)	18.0	15.2	59.2	17.5	9.1	18.7
2. EM (n=2112)	30.1	18.4	62.1	20.9	15.2	18.0
Current economic condition						
1. Poor (n=921)	31.8	24.5	61.3	25.4	19.3	21.7
2. Near poor (n=615)	21.6	15.4	57.2	21.5	9.7	17.9
3. Non-poor (n=1524)	21.0	13.2	61.9	14.7	9.4	16.7

In terms of forest management, the responses varied across groups but the majority (60.6%) of households agreed that the household unit is most capable of managing forests. As illustrated in Table 1.8 above, nearly a quarter (24.1%) of respondents feel that village communities are most capable of managing forests, with forest management boards, households and forest management boards, people's committees, and communities and forest management boards following suit. The poor were more likely than the non-poor to believe that entities outside the household would be the most capable of managing forests. The results imply that households have the most faith in their own abilities to manage forests, but are also open to collaborating with other groups.

1.5.2 Forests and land tenure in other projects

In a survey of 73 SUFs that received a small grant from VCF, 42 reported land tenure and land allocation as an issue. The communities involved were predominately relatively isolated ethnic minority populations. The main problems included not having a land (or forest) use certificate and not enough land for young people. The situation for the communities in an enclave (mainly ethnic minorities) inside the SUF, is particularly onerous and means that they will often have very little, to no chance of a land use certificate. This is particularly found in the northern SUFs where most enclaved communities are located, but enclaves also occur in the south, where there is arguably more land pressure.

The implementation of the small grants has encouraged and involved the MBs in taking a more proactive social development role and working progressively and more closely and collaboratively with ethnic minority communities where land tenure is often organised along traditional lines. The MB's have encountered a number of ethnic minority communities where they report the sale or "mortgaging" of land which sometimes can even include the land inside the SUF, particularly if the community or household is enclaved and faces annual food security problems. The difficulty of drawing up a land use plan and excising an enclaved community with suitable land use right certificates from within an SUF is not to be underestimated, and unsurprisingly, few if any, cases were reported where this had occurred. However, the VCF small grants did support the initial processes in the north and some progress was made in drawing up sustainable land use agreements to limit expansion and the type of crops between the MBs and the enclaved communities.

There remains a simple lack of penetration of formal land and forest allocation activities into many remote communities and while some degree of flexibility in land dealings generally works in favour of the

community, particularly if additional land is available, however, when dealing with protected areas, it is generally an aim to “freeze” the tenure and land boundaries around the SUFs, thus hoping to limit spontaneous or economic migrants to the area, which can put added encroachment pressure on the SUFs. Simple forest land allocation under the 661 Program faced similar penetration difficulties in being inconsistently applied in remote, difficult to access, communities, however, many communities had heard of the 661 Program and many were involved, if only for a limited time.

A common theme found in many of the communities where detailed SSRs were completed, was a request for access to the local forest resources (with limits) to be formalized, and in many cases, this was typically coupled with complaints about “outsiders” to the community coming to use the “community’s” forest resources and there was also a realisation that forest resources and NTFPs were under pressure as extra time and effort was now required to collect these.

Part of the solution of access and “rights” to resources developed through the project was to encourage collaborative approaches between the SUF MB and the communities to be developed. This included the introduction of informal and formal benefit sharing mechanisms which recognise the community’s role and ability to manage and work collaboratively with the MBs to ensure some sustainability of the forest and NTFPs.

The benefit sharing mechanisms being developed introduces a flexible tool which is renewable, allows a continuation of, but managed, access to the SUF, and limits the collection of NTFPs, it maintains a meaningful flow of benefits to the community, and empowers the community against outsiders, while SUF MB has more collaboration, direct improved feedback from communities and more community support for the control, management and protection of the SUF.

1.6 Stakeholder consultations

Activity	Project	Provincial agency/ stakeholders									
		Related to forest sector	Outside forest sector	District/ Commune agencies	State Forest Companies/ SUF/ PFMB	CSOs	ethnic minorities/ gender/	Schools/ Universities	Private sector (logging, wood processing)	REDD+ donors funded projects/ related donors	Others related interested parties
SESA consultation	FCPF	Yes		Yes	Yes	Yes in project area	Ongoing	n/a	Limited	Yes	
ESMF	FCPF	Yes		Yes	Yes		Ongoing	n/a			
Quantified socio-economic data	FCPF	Yes	n/a	Field work complete	n/a	n/a	Field work complete	n/a	n/a	n/a	n/a
FCPF consultation work	FCPF	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Limited	Yes	
BSM consultation	FCPF	Yes		Yes		Yes	Ongoing	n/a			
Land tenure work	FCPF	Yes	Yes	Yes	Yes	Yes	Yes	n/a			
PRAP consultations	VFD	Yes	Yes	Yes	Yes	Yes	Ongoing	Yes	Yes		
R-assessment activities	FCPF	Yes	Yes	Yes	Expected February/ march	Expected February/ March	Yes	Limited		Yes	
Forest drivers	FCPF	Yes		Yes	Yes	Yes	Ongoing	Yes		Yes	Yes
GRM	UNREDD lead	After next draft	After next draft	Getting comments on the draft	Already	Commented on the draft	Comments on the draft	?	?	Yes	Yes

1.7 Biodiversity data

In 2014 the Government issued two decisions regarding the system of SUFs in Viet Nam toward 2020, vision toward 2030: Decision No. 218/QD-TTg is a strategy managing SUF system, sea protected areas and inland protected areas, and Decision No. 1976/QD-TTg is planning SUF system in the whole

country. In addition, in early 2014 the Government issued Decision No. 45/QĐ TTg approving a master planning of biodiversity conservation in the whole country toward 2020 and orientation to 2030. In both Decision No. 45 and Decision No. 1976 the SUF system has been re-identified and some biologically important protected areas in ER-P region are shown in Table 1.9 below.

According to Decision No. 45, one of specific objectives to 2020 of the master planning is to finalize planning of protected areas; to propose adjusting the land use planning for period 2016-2020 so that land would be available to establish and put into operation 46 new protected areas with the total area of about 567,000ha, increase total area of protected area system in the whole country to 2,940,000ha.

One of specific objectives in the NCC region includes protecting primary forest ecosystem in Nghe An and Ha Tinh; natural forests in Ma river, Ca river and Gianh river basins; coastal mangrove forests in Nghe An, Ha Tinh and Thanh Hoa; limestone ecosystem in Thanh Hoa and Quang Binh; and lagoon ecosystem Tam Giang – Cau Hai in Thua Thien Hue.

Table 1.9 Protected areas in the NCC with the highest numbers of critical and endangered species

Name of SUF	Critically endangered (CR)	Endangered (EN)	Vulnerable (VU) and Near Threatened (NT)	Total
Pu Mat NP	7	18	34	58
Bach Ma NP	4	13	28	45
Pu Huong NR	5	14	20	39
Vu Quang NP	8	14	16	38
Phong Nha Ke Bang	12	19	2	33
Ke Go NR	3	14	17	33
Dak Rong NR	3	9	11	23
Phong Dien NR	2	9	7	18
Thua Thien Hue Sao La	1	1	2	4+

Vu Quang NP is the only SUF which hosts all 8 critically endangered species while Pu Mat NP hosts 7, and Pu Huong NR 5 each. Vu Quang NP which is adjacent to Lao protected areas may hold more biodiversity surprises and it was this site where the Sao La antelope was discovered which was the last new large mammal species in the world, the following Table 1.10 shows where the large mammals are still occurring.

Table 1.10 Critically endangered mammal species

Critically endangered mammal species and where found in the SUFs in the ER-P	SUFs with confirmed presence
Asian Elephant (3)	Pu Huong, Pu Mat, Vu Quang,
Tiger (7) (Some data questionable, however, some may occasionally cross border areas from protected areas in Lao)	Dak Rong, Ke Go, Phong Dien, Pu Huong, Pu Mat, Vu Quang, PKNB
Leopard (6)	Bach Ma, Dak Rong, Ke Go, Pu Huong, Pu Mat, Vu Quang
Heude's Pig (2)	Pu Mat, Vu Quang
Sao La (8)	Bach Ma, Dak Rong, Phong Dien, Pu Huong, Pu Mat, Vu Quang, PKNB, TTHue Sao La reserve
Large-antlered Muntjac (5)	Bach Ma, Ke Go, Pu Huong, Pu Mat, Vu Quang,
Pygmy Annamite Muntjac (3)	Bach Ma, Pu Mat, Vu Quang

Critically endangered mammal species and where found in the SUFs in the ER-P	SUFs with confirmed presence
Sika Deer (1)	Vu Quang
Endangered mammals of large size and number of SUFs	SUFs with confirmed presence
Gaur Buffalo (6)	Bach Ma, Dak Rong, Ke Go, Pu Huong, Pu Mat, Vu Quang,
Banteng Cattle (1)	Pu Mat,
Chinese Serow (7)	Bach Ma, Dak Rong, Ke Go, Phong Dien, Pu Huong, Pu Mat, Vu Quang,
Clouded Leopard (6)	Bach Ma, Ke Go, Phong Dien, Pu Huong, Pu Mat, Vu Quang,
North and South White-cheeked gibbon (1)	Pu Mat; PNKB, Ke Go NR; Vu Quang NP; Bac Huong Hoa NR
Northern Yellow cheeked gibbon	Dak Rong; Phong Dien

Table 1.11 Examples of protected biodiversity recently confirmed by SUF Management Boards (review of selected records 2012-16 on-going work)

	Key Species	Status	Name of SUF confirming a species presence ER-P
	Flora		
1	<i>Aquilaria crassna</i>	CR	Xuan Lien NR
2	<i>Castanopsis hystrix</i>	Unknown status	Pu Hu NR
3	<i>Dalbergia tonkinensis</i>	VN	Ke Go NR
4	<i>Disporopsis longifolia</i>	Unknown status	Phong Quang NR
5	<i>Dalbergia bariensis</i>	EN	Bach Ma
6	<i>Madhuca pasquieri</i>	VU	Vu Quang NP
7	<i>Podocarpus neriifolius</i>	LC	Vu Quang NP
8	<i>Sindora tonkinensis</i>	VU	Ke Go NR; Xuan Lien NR; Vu Quang NP
9	<i>Coscinium fenestratum</i>	VU	Bach Ma
10	<i>Ardisia silvestris</i>	VU	Bach Ma
11	<i>Smilax glabra</i>	VU	Bach Ma
12	<i>Hopea pierrei</i>	EN	Bach Ma
13	<i>Nageia fleuryi</i>	NT	Pu Hu
	Mammals		
1	Asiatic Black Bear	EN?	Pu Hu NR; Pu Luong NR
2	Golden Cat	NR	Vu Quang NP
3	Owston's Civet	VU	Ke Go NR
4	Clouded Leopard	VU	Ke Go NR
5	Leopard	EN?	Ke Go NR
6	Delacour's Langur	CR	Pu Luong?;
7	Northern Yellow cheeked Gibbon	Unknown status	Dak Rong; Phong Dien; TTHue Sao La reserve; Bach Ma
8	Northern white cheeked Gibbon	CR	Pu Mat; Pu Hu?; Xuan Lien; Pu Hoat; Vu Quang; Ke Go?
9	Southern White-cheeked Gibbon	VU	Ke Go NR; Vu Quang NP; PNKB, Bac Huong Hoa
10	Sambar Deer	VU	Vu Quang NP
11	Sika Deer	VU?	Vu Quang NP

	Key Species	Status	Name of SUF confirming a species presence ER-P
12	Large-antlered Muntjac	EN	Ke Go NR
13	Chinese Serow	NT	Pu Luong NR
14	Sao La	CR	Phong Nha Ka Bang; TTHue Sao La reserve
15	Grey shanked douc Langur	EN	TTHue Sao La reserve
16	Annam black muntjac	EN	Khe Nuoc Trong Forest
17	Annamite striped rabbit	EN	As above
	Birds		
1	Germain's Peacock Pheasant	NT	Bach Ma
2	Crested Argus	NT	TTHue; Sao La reserve
3	Green Peacock	EN	Vu Quang NP
4	White-rumped Shama	LC	Vu Quang MP
5	Edward's pheasant	CR	Ke Go, Khe Nuoc Trong Forest
6	Silver Pheasant	LC	Bach Ma
7	Short-tailed Scimitar Babbler	NT	Bach Ma, Ke Go, Vu Quang
	Reptiles		
1	Bourret's Box Turtle	CR	Khe Nuoc Trong Forest
2	Bow fingered gecko	NT	Khe Nuoc Trong Forest
3	Square headed cat snake	NT	Khe Nuoc Trong Forest
4	Spiny frog	NT	Khe Nuoc Trong Forest
	Insects		
	Lepidoptera	2=EN, 4=VU	There are 12 threatened and rare species in Bach Ma National Park

Assessments of reports from the Viet Nam Conservation Fund (VCF) component of the FSDP in protected areas (PAs) of Thanh Hoa, Nghe An, Ha Tinh and Thua Thien Hue identified main threats to SUFs PAs, as:

- (i) Illegal hunting, trapping wildlife;
- (ii) Illegal logging;
- (iii) Over-exploitation of NTFPs;
- (iv) Illegal land encroachment;
- (v) Development of infrastructure (cable car, factories, hydropower schemes, irrigation, road, etc.);
- (vi) Livestock farming and grazing;
- (vii) Exploitation of aquatic products.

Depending on the protected area, the following are also threats:

- (vi) Mining (gold, rock);
- (viii) Housing and settlement of local people;
- (ix) Drought, extreme temperature and storm, and
- (x) Forest fire.

1.8 Consultation reports

Meeting records of consultations

Name:	Strategic environmental and social assessment consultations
Time:	October 05 to 08, 2014
Location:	Quang Binh province

Consultants: 1) Ms. Nguyen Thanh Hang (National Stakeholders Engagement Consultant)
2) Mr. Le Trung Thong (National Social Safeguards Consultant)

List of participants

No	Full name	Title	Organization	Contact number/Email
Time: 06/10/2014 Location: Quang Binh Sub-division of Forest Protection meeting hall				
1	Dương Viết Tuấn	Officer	Quang Ninh Ethnicity division	0985 479 707 Viettuan77@gmail.com
2	Hoàng Văn Trung	Officer	Quang Ninh NRE division	0169 707 7524 hoangtrungqld@gmail.com
3	Phạm Mậu Tài	Giám đốc	RDPR	phammautai@yahoo.com
4	Phan Đức Hạnh	Officer	RDPR	01688 707 889 Duchanh701@gmail.com
5	Nguyễn Trường Hải	Officer	Long Đại SEC	haigtzqbinh@yahoo.com.vn
6	Maximilian Roth	Expert	GIZ	0122 865 9801 Maximilian.roth@giz.de
7	Nguyễn Thị Quỳnh Phương	Teacher	Quang Binh University	0935 226 626
8	Trần Quang Bưu	Ranger	Quang Ninh SDFP	0917 481 568
9	Nguyễn Văn Hợp	Project officer	GIZ	nguyenvanhop@gmail.com
10	Nguyễn Hồng Thảo	Translator	GIZ	Hongthao1987@gmail.com
11	Phùng Văn Kiên	Field officer	FCPF, Dak Nong	
12	Đỗ Văn Đạt	Communication staff	FCPF, Dak Nong	
18	Lê Huy	Reporter	Quang Binh TV	
19	Quang Ngọc	Reporter	Quang Binh TV	
20	Trương Văn Minh	Reporter	Quang Binh Newspaper	
Time: 07/10/2014 Location: Lam Thuy CPC meeting hall				
1	Phan Văn Chức	Technician	Le Thuy SDFP	0905 885 535 phanvanchucln@gmail.com
2	Hoàng Văn Lộc	Ranger	Le Thuy SDFP	0917 252 467 Hoanglocqb255@gmail.com
3	Nguyễn Hồng Thảo	Translator	GIZ	0985 087 178 Hongthao1987@gmail.com
4	Maximilium Roth	Expert	GIZ	0122 865 9801 Mmaximilian.roth@giz.de
5	Nguyễn Văn Dân	Land officer	Lâm Thủy CPC	
6	Phạm Văn Thảo	Agricultural officer	Lâm Thủy CPC	0915 30 858
7	Hồ Văn Bảy	Head of Youth Union	Lâm Thủy CPC	
8	Hồ Thị Lan	Head of Women Union	Lâm Thủy CPC	0127 202 1200
9	Hoàng Lý	CPC chairman	Lâm Thủy CPC	0125 740 1016
10	Hồ Thanh Mùi	Head of Fatherland front	Lâm Thủy CPC	
11	Hoàng Kim	CPC Party secretary	Lâm Thủy CPC	0912 631 297
12	Hồ Văn Thắng	Village head	Mới village	
13	Hoàng Cường	Village party secretary	Mới village	

No	Full name	Title	Organization	Contact number/Email
14	Hồ Văn Lửa	Village head	Xà Khía village	
15	Hồ Văn Dự	Head of Farmer Union	Lâm Thủy CPC	0948 139 327
16	Nguyễn Thị Quỳnh Phương	Teacher	Quang Binh University	0935 226 626 Quynhphuong304@gmail.com
17	Phạm Mậu Tài	Director	RDPR	
18	Nguyễn Hữu Hán	Head of division	Le Thuy Ethnicity division	Hannguyenhuu75@gmail.com
19	Nguyễn Văn Hợp	Project officer	GIZ	Hop.nguyen@giz.de
20	Đỗ Văn Đạt	Communication staff	FCPF, Dak Nong	
26	Phạm Văn Bút	Head of division	Quang Binh SDFP	

No	Full name	Gender	Age	Ethnicity	Address
Time: 07/10/2014 Location: Xa Khia village meeting hall					
1	Hoàng Thị Quyết	Female	30	Van Kieu	Head of Women union, Xa Khia village
2	Hoàng Biên	Male	70	Van Kieu	Party secretary, Xa Khia village
3	Hồ Y Bàn	Male	75	Van Kieu	Xa Khia villager
4	Hồ Văn Lửa	Male	36	Van Kieu	Xa Khia village head
5	Nguyễn Thị Toa	Female	63	Van Kieu	Xa Khia villager
6	Hoàng Bắc	Male	46	Van Kieu	Xa Khia villager
7	Hồ Văn Do	Male	30	Van Kieu	Commune forestry
8	Hoàng Ky	Male	26	Van Kieu	Xa Khia villager
9	Hồ Miệt	Male	58	Van Kieu	Xa Khia villager
10	Hồ Văn Biên	Male	20	Vân Kiều	Moi villager
11	Hồ Văn Thăng	Male	27	Van Kieu	Moi village head
12	Hoàng Bảo	Male	70	Vân Kiều	Head of Elder of Xa Khia village
13	Hoàng Thị Quế	Female	25	Van Kieu	Moi villager
14	Hoàng Thị Dung	Female	37	Van Kieu	Moi villager
15	Hồ Thị Thoa	Female	41	Van Kieu	Moi villager
16	Hoàng Thị Xay	Female	27	Van Kieu	Deputy head of Women union, Moi village
17	Hồ Thị Thanh	Female	35	Van Kieu	Moi villager
18	Hồ Văn Triển	Male	27	Van Kieu	Xa Khia villager
19	Hồ Văn Thuần	Male	35	Van Kieu	Moi villager
20	Hồ Thị Mới	Female	28	Van Kieu	Moi villager

Name:	Strategic environmental and social assessment consultations
Time:	October 28 to November 01, 2014
Location:	Quang Binh province
Consultants:	1) Ms. Nguyen Thanh Hang (National Stakeholders Engagement Consultant) 2) Mr. Kim Ngoc Quang (National Forest Inventory Consultant) 3) Mr. Ngo Huy Toan (National REDD Safeguards Consultant) 4) Mr. Le Trung Thong (National Social Safeguards Consultant)

List of participants

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
1. Cỗ Tràng village, Trường Sơn commune, Quảng Ninh district (November 30, 2014)					
1	Hồ Thị Lôm		F	Vân Kiều	Co Trang villager
2	Nguyễn Thị Muôn		F	Vân Kiều	Co Trang villager
3	Hồ Thị Khe		F	Vân Kiều	Co Trang villager
4	Nguyễn Thị Hà		F	Vân Kiều	Co Trang villager
5	Hồ Thị Kết		F	Vân Kiều	Co Trang villager
6	Nguyễn Th ị Yên		F	Vân Kiều	Co Trang villager
7	Nguyễn Văn Lành	M		Vân Kiều	Village Party's member
8	Hồ Đội	M		Vân Kiều	Co Trang village
9	Nguyễn Văn Bươm	M		Vân Kiều	Co Trang village
10	Hồ Chon	M		Vân Kiều	Co Trang village elder
11	Hồ Sỹ	M		Vân Kiều	Co Trang villager
12	Hồ Nguyệt	M		Vân Kiều	Co Trang villager
13	Hồ Văn Linh	M		Vân Kiều	Co Trang villager
14	Hồ Thị Phòn		F	Vân Kiều	Co Trang villager
15	Nguyễn Thi Lan		F	Vân Kiều	Co Trang villager
16	Hồ Thị Thảo		F	Vân Kiều	Co Trang villager
17	Hồ Thị Phong		F	Vân Kiều	Co Trang villager
18	Hồ Thị Mến		F	Vân Kiều	Co Trang villager
19	Nguyễn Thị Muôn		F	Vân Kiều	Co Trang villager
20	Hồ Thị Phương		F	Vân Kiều	Co Trang villager
21	Hồ Thị Nhé		F	Vân Kiều	Co Trang villager
22	Hồ Thị Thế		F	Vân Kiều	Co Trang villager
23	Hồ Thị Phò		F	Vân Kiều	Village health worker
24	Hồ Thị Vành		F	Vân Kiều	Co Trang villager
25	Nguyễn Thị Tầm		F	Vân Kiều	Co Trang villager
26	Hồ Thị Vân (Đoàn)		F	Vân Kiều	Co Trang villager
27	Hồ Thị Vân (Thăng)		F	Vân Kiều	Co Trang villager
28	Nguyễn Thị Bé		F	Vân Kiều	Co Trang villager
29	Nguyễn Thị Bình		F	Vân Kiều	Co Trang villager
30	Nguyễn Văn Sơn	M		Vân Kiều	Co Trang villager
31	Hồ Cung	M		Vân Kiều	Co Trang villager
32	Hồ Khun	M		Vân Kiều	Co Trang villager
33	Hồ Thị Bé		F	Vân Kiều	Co Trang villager
34	Hồ Thung	M		Vân Kiều	Co Trang villager
35	Hồ Thị Côn		F	Vân Kiều	Co Trang villager
36	Hồ Thị Ven		F	Vân Kiều	Co Trang villager
37	Hồ Thị Giáo		F	Vân Kiều	Co Trang villager
38	Hồ Thị Thoả		F	Vân Kiều	Co Trang villager
39	Hồ Thị Chủ		F	Vân Kiều	Co Trang villager
40	Hồ Nhu (Ya pu)	M		Vân Kiều	Co Trang villager
41	Hồ Cà	M		Vân Kiều	Co Trang villager
42	Hồ Khăm Mun	M		Vân Kiều	Co Trang villager

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
43	Hồ Thị Ngãi		F	Vân Kiều	Co Trang villager
44	Hồ Thị Tim		F	Vân Kiều	Co Trang villager
45	Hồ Thị Nở		F	Vân Kiều	Co Trang villager
46	Hồ Thị Diên		F	Vân Kiều	Co Trang villager
47	Nguyễn Văn Bền	M		Vân Kiều	Co Trang village head
48	Hồ Thị Bình		F	Vân Kiều	Co Trang villager
2. Khe Cat village, Trường Sơn commune, Quảng Ninh district (November 31, 2014)					
1	Hồ Thị Phương		F	Vân Kiều	Khe Cat villager
2	Nguyễn Thị Vơn		F	Vân Kiều	Khe Cat villager
3	Hồ Thị Phương Thao		F	Vân Kiều	Khe Cat villager
4	Nguyễn Thị Huế		F	Vân Kiều	Khe Cat villager
5	Hồ Thị Sung		F	Vân Kiều	Khe Cat villager
6	Nguyễn Thị Ốc		F	Vân Kiều	Khe Cat villager
7	Hồ Thị Liễu		F	Vân Kiều	Khe Cat villager
8	Hồ Thị Hồng		F	Vân Kiều	Head of village Women's Union
9	Hồ Thị Thạch		F	Vân Kiều	Village farther land front
10	Hồ Thị Phi		F	Vân Kiều	Vice-head of village Women's Union
11	Hồ Thị Ác		F	Vân Kiều	Khe Cat villager
12	Hồ Thị		F	Vân Kiều	Khe Cat villager
13	Nguyễn Thị Hề		F	Vân Kiều	Khe Cat villager
14	Hồ Thị Mun		F	Vân Kiều	Khe Cat villager
15	Hồ Đài	M		Vân Kiều	Khe Cat villager
16	Trần Văn Sỹ	M		Vân Kiều	Khe Cat villager
17	Trần Phúc	M		Vân Kiều	PLAN project officer
18	Hồ Văn Ai	M		Vân Kiều	Village elder
19	Trần Văn Vui	M		Vân Kiều	Head of village youth union
20	Nguyễn Văn Hùng	M		Vân Kiều	Deputy head of village youth union
21	Hồ Văn Thiết	M		Vân Kiều	Commune party member
22	Trần Văn Dự	M		Vân Kiều	Khe Cat villager
23	Hồ Văn Việt	M		Vân Kiều	Village youth union
24	Nguyễn Văn Phích	M		Vân Kiều	Khe Cat villager
25	Hồ Văn Nang	M		Vân Kiều	Khe Cat villager
26	Hồ Thị Tiêu		F	Vân Kiều	Khe Cat villager
27	Nguyễn Văn Tráng	M		Kinh	Head of Commune Fatherland Front
28	Nguyễn Văn Thái	M		Kinh	Commune justice
29	Trần Văn Vỹ	M		Vân Kiều	Khe Cat villager
30	Hồ Thị Ven		F	Vân Kiều	Khe Cat villager
31	Nguyễn Thị Đan		F	Vân Kiều	Khe Cat villager
32	Trương Thị May		F	Vân Kiều	Khe Cat villager

Name:	Land assessment consultations
Time:	October 06 to 17, 2015
Location:	Thua Thien Hue, Quang Tri and Ha Tinh provinces
Consultants:	1) Mr. Le Gia Chinh (National Land Law Consultant) 2) Mr. Le Trung Thong (National Social Safeguards Consultant)

List of participants

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
I. Thừa Thiên Huế province					
1. Provincial Department of Agriculture and Rural Development and Forestry Development Sub-department					
1	Võ Văn Dự	X		Kinh	Deputy director of DARD
2	Phạm Ngọc Dũng	X		Kinh	Head of Forestry Development Sub-department
3	Nguyễn Hữu Huy	X		Kinh	Head of Technical Division, Forestry Development Sub-department
4	Trần Vũ Ngọc Hùng	X		Kinh	Officer, Forestry Development Sub-department
2. Provincial Department of Natural Resources and Environment					
1	Hồ Đắc Trường	X		Kinh	Deputy director of DONRE
2	Nguyễn Thanh Vinh	X		Kinh	Deputy head of Measurement and Mapping division
3	Nguyễn Quang Nhật Châu	X		Kinh	Officer of Land registration office
4	Trương Thị Thu Trang		X	Kinh	Inspector of DONRE
5	Nguyễn Thế Lân	X		Kinh	Officer of Land administration division
6	Nguyễn Lê Quốc Bửu			Kinh	Officer of Land administration division
3. Nam Đông district and Nhật Thượng commune					
1	Phạm Tấn Sơn	X		Kinh	Head of Agriculture and Rural Development division
2	Nguyễn Hà Nhân	X		Kinh	Officer of Agriculture and Rural Development division
3	Nguyễn Đình Cường	X		Kinh	Deputy head of district's Forest Protection division
4	Nguyễn Văn Nhac	X		Kinh	Officer of Natural Resources and Environment division
5	Trần Vũ Ngọc Hùng	X		Kinh	Officer, Forestry Development Sub-department
6	Nguyễn Văn Ất	X		Cơ Tu	No. 4 Village head of Nhật Thượng commune
7	Hồ Văn Biết	X		Cơ Tu	No. 5 Village head of Nhật Thượng commune
II. Quảng Trị province					
1. Provincial Department of Agriculture and Rural Development and Forest Protection Sub-department					
1	Khổng Trung	X		Kinh	Deputy director of DARD, Head of Forest Protection Sub-department
2	Lê Thị Thanh Hương		X	Kinh	Officer of Agriculture and Rural Development department

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
3	Nguyễn Văn Vĩnh	X		Kinh	Head of Forest Protection and Management Division, Forest Protection Sub-department
4	Lê Thanh Tuyền		X	Kinh	Head of Forest Protection and Management station, Forest Protection Sub-department
5	Trần Hiệp	X		Kinh	Head of General division, Forest Protection Sub-department
6	Đặng Nam	X		Kinh	Head of Planning division, Forest Protection Sub-department
2. Provincial Department of Natural Resources and Environment					
1	Đặng Trọng Vân	X		Kinh	Deputy director of DONRE
2	Phạm Quang Đạt	X		Kinh	Head of Land Administration and Mapping division
3	Lê Văn Điều	X		Kinh	Deputy head of Land Administration and Mapping division
4	Đoàn Xuân Tính	X		Kinh	Deputy head of Land Administration and Mapping division
5	Võ Nguyên	X		Kinh	Officer of Land Administration and Mapping division
6	Trần Văn Nam	X		Kinh	Officer of Land Administration and Mapping division
3. Đắk Rông district and villages					
1	Tổng Phước Châu	X		Kinh	Head of district's Forest Protection division
2	Lê Tiến Phú	X		Kinh	Officer of district's Forest Protection division
3	Đinh Thiên Hoàng	X		Kinh	Head of Forest Protection station
4	Lê Thị An		X	Kinh	Officer of Natural Resources and Environment division
5	Trần Đức Tâm	X		Kinh	Officer, Forestry Development Sub-department
6	Hồ Ai Bút	X		Vân Kiều	Tà Lêng village head of Đắk Rông commune
7	Hồ Văn Đeng	X		Vân Kiều	Forest Management Board of Tà Lêng village, Đắk Rông commune
III. Hà Tĩnh province					
1. Provincial Department of Agriculture and Rural Development and Forest Protection Sub-department					
1	Nguyễn Huy Lợi	X		Kinh	Deputy director of DARD, Head of Forest Protection Sub-department
2	Phan Thanh Tùng	X		Kinh	Head of Forest Protection and Management Division, Forest Protection Sub-department
3	Nguyễn Thị Thu Hằng		X	Kinh	Ranger of Forest Protection and Management Division, Forest Protection Sub-department
4	Nguyễn Xuân Linh	X		Kinh	Ranger of Forest Protection and Management Division, Forest Protection Sub-department
5	Lê Anh Tuấn	X		Kinh	Head of Legislative division, Forest Protection Sub-department
2. Provincial Department of Natural Resources and Environment					
1	Nguyễn Hùng Mạnh	X		Kinh	Deputy director of DONRE
2	Hồ Nhật Lệ		X	Kinh	Head of Planning division

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
3	Võ Văn Tùng	X		Kinh	Deputy head of Land Registration division
4	Lê Văn Hòa	X		Kinh	Deputy head of Land Administration and Mapping division
5	Nguyễn Thị Mỹ Hạnh		X	Kinh	Deputy chief of Land Inspection, MONRE

Name: Strategic environmental and social assessment consultations

Time: November 4 to 12, 2015

Location: Thua Thien Hue and Quang Tri provinces

Consultants: 1) Dr. Rita Gebert (International Social Safeguards Consultant)
2) Dr. Ha Huu Nga (National Sociologist)
3) Mr. Le Trung Thong (National Social Safeguards Consultant)

List of participants

List of participants

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
I. Thua Thien Hue province					
1. Forestry Development Sub-department (November 4, 2015)					
1	Đinh Đại Bính	X		Kinh	Deputy head
2	Trần Vũ Ngọc Hùng	X		Kinh	Officer, Member of province's PRAP taskforce
3	Trần Cảnh Quốc	X		Kinh	Officer, Deputy head of province's VFF, Member of province's PRAP taskforce
2. Province's CEM (November 4, 2015)					
1	Lê Văn Minh	X		Kinh	Head of Ethnicity Policy
II. Quang Tri province					
1. Provincial FCPF PPMU (November 13, 2015)					
1	Trần Hiệp	X		Kinh	Coordinator, PPMU
2	Hồ Sỹ Huy	X		Kinh	Head of Technical Division, Forestry Development Sub-department
3	Khổng Hữu Hùng	X		Kinh	Officer, PPMU
2. Province's CEM (November 13, 2015)					
1	Trần Văn Quảng	X		Kinh	Vice-chairman
2	Lê Hữu Tiến	X		Kinh	Head of Ethnicity Policy division
3	Nguyễn Thị Thương		X	Kinh	Deputy head of Planning division
3. Huong Hoa district, at District's Forest Protection Division (November 9, 2015)					
1	Võ Văn Sử	X		Kinh	Head of District's Forest Protection Division
2	Lê Hữu Tuấn	X		Kinh	Deputy head of district's CEM
3	Lê Thoại Tuấn	X		Kinh	Officer, Forest Resources Management division
4. Huong Hoa - Dak Rong Protection Forest Management Board (November 9, 2015)					
1	Nguyễn Công Tuấn	X		Kinh	Deputy director of the PFMB
2	Bùi Văn Thịnh	X		Kinh	Head of Planning and Technique division
3	Võ Đình Tuấn	X		Kinh	Deputy head of Forest Protection and Management division

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
5. Dak Rong District's Forest Protection Division (November 10, 2015)					
1	Tổng Phước Châu	X		Kinh	Head of District's Forest Protection Division
2	Lê Thị An		X	Kinh	Officer, District's Division of Natural Resources and Environment
3	Hồ Văn Đăng	X		Kinh	Deputy head of District's Division of Agriculture and Rural Development
4	Nguyễn Ái Lợi	X		Kinh	Head of district's CEM
5	Trần Quang Phục	S		Kinh	Deputy director of Dak Rong Natural Reserve
6. Bac Huong Hoa Natural Reserve (November 10, 2015)					
1	Hà Văn Hoan	X		Kinh	Deputy director of Bac Huong Hoa Natural Reserve
2	Trần Thị Việt Như		X	Kinh	Deputy head of Scientific and Technical division
3	Nguyễn Mạnh Hà	X		Kinh	Technician
4	Trần Văn Hùng	X		Kinh	Technician
7. Huong Linh Commune People's Committee, Huong Hoa district (November 6, 2015)					
1	Hồ Văn Khéo	X		Vân Kiều	CPC chairman
2	Hồ Văn Giang	X		Vân Kiều	CPC vice-chairman
3	Hồ Quốc Việt	X		Kinh	Ranger
4	Ôn Quốc Sơn	X		Kinh	Commune's cadastral officer
5	Nguyễn Văn Hiếu	X		Kinh	Commune's socio-cultural officer
6	Hồ Văn Tường	X		Vân Kiều	Commune's cadastral officer
7	Hồ Thị Nguyệt		X	Vân Kiều	Chairwoman of Commune Women's Union
8	Hồ Văn Thết	X		Vân Kiều	Deputy head of Commune Youth Union
8. Ta Rut Commune People's Committee, Dak Rong district (November 11, 2015)					
1	Hồ Văn Quắm	X		Pa Cô	Vice-chairman of CPC
2	Hồ Thị Ngan		X	Pa Cô	Commune's cadastral officer
3	Khổng Hữu Nhi	X		Kinh	Ranger
4	Hồ Thị Lan		X	Pa Cô	Chairwoman of Commune Women's Union
9. Dak Rong Commune People's Committee, Dak Rong district (November 11, 2015)					
1	Hồ Nha	X		Vân Kiều	Vice-chairman of CPC
2	Trần Thị An		X	Kinh	Officer in charge of Poverty reduction
3	Nguyễn Thị Thanh		X	Kinh	Officer in charge of Plan 600
4	Hồ Văn Thuần	X		Vân Kiều	Officer in charge of Agriculture
5	Đỗ Văn Năm	X		Kinh	Commune's cadastral officer
10. Hoong village, Huong Linh commune, Huong Hoa district (November 6, 2015)					
1	Hồ Văn Vân	X		Vân Kiều	Village head
2	Hồ Pỉ Hưng		X	Vân Kiều	Villager
11. A Dang village, Ta Rut commune, Dak Rong district (November 7, 2015)					
1	Hồ Văn Quắm	X		Pa Cô	Vice-chairman of CPC
2	Hồ Văn Lương	X		Pa Cô	Village head
3	Khổng Hữu Nhi	X		Kinh	Ranger
4	Hồ Văn Lương	X		Pa Cô	Villager
5	Hồ Văn Phong	X		Pa Cô	Villager

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
6	Hồ Văn Cân	X		Pa Cô	Villager
7	Hồ Văn Turi	X		Pa Cô	Villager
8	Hồ Thị Lêm		X	Pa Cô	Villager
9	Hồ Thị Hiết		X	Pa Cô	Villager
10	Căn Cân		X	Pa Cô	Villager
11	Hồ Thị Phiêng		X	Pa Cô	Villager
12	Hồ Văn Hếp	X		Pa Cô	Villager
13	La Lay A Rơu	X		Pa Cô	Villager
14	Hồ Văn Cai	X		Pa Cô	Villager
15	Hồ Văn Hàm	X		Pa Cô	Villager
16	Hồ Văn Hới	X		Pa Cô	Villager
17	Hồ Văn Hưu	X		Pa Cô	Villager
18	Hồ Cu Dắc	X		Pa Cô	Villager
12. A Vương village, Ta Rut commune, Dak Rong district (November 7, 2015)					
1	Hồ Văn Bệnh	X		Pa Cô	Village head
2	Hồ Văn Thân	X		Pa Cô	Villager
3	Hồ Văn Ngói	X		Pa Cô	Villager
4	Hồ Văn Hắt	X		Pa Cô	Villager
5	Hồ Văn Hoạt	X		Pa Cô	Villager
6	Hồ Văn Hở	X		Pa Cô	Villager
7	Hồ Văn Hợp	X		Pa Cô	Villager
8	Hồ Văn Điều	X		Pa Cô	Villager
9	Hồ Văn Bán	X		Pa Cô	Villager
10	Hồ Xuân Niên	X		Pa Cô	Villager
11	Hồ Thị Lý		X	Pa Cô	Villager
12	Hồ Thị Lao		X	Pa Cô	Villager
13	Hồ Thị Doan		X	Pa Cô	Villager
14	Hồ Thị Xưm		X	Pa Cô	Villager
15	Y Ngọc		X	Pa Cô	Villager
16	Hồ Văn Tuấn	X		Pa Cô	Villager
17	Hồ Văn Thái	X		Pa Cô	Villager
13. Ta Lenh village, Dak Rong commune, Dak Rong district (November 12, 2015)					
1	Hồ Văn Bút	X		Vân Kiều	Village head
2	Hồ Văn Hiền	X		Vân Kiều	Village police officer
3	Hồ Văn Hương	X		Vân Kiều	Village Farmer's Union
4	Hồ A Dia	X		Vân Kiều	Villager
5	Hồ Ta Rang	X		Vân Kiều	Villager
6	Hồ Lượ	X		Vân Kiều	Già làng
7	Hồ Văn Buôn	X		Vân Kiều	Villager
8	Hồ Buôn Tha	X		Vân Kiều	Villager
9	Hồ Thị Hươi		X	Vân Kiều	Villager
10	Hồ Thị Ta Ơn		X	Vân Kiều	Villager
11	Dương Thị Nga		X	Vân Kiều	Villager
12	Hồ Thị Khảm		X	Vân Kiều	Villager

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
13	Hồ Vinh Quang	X		Vân Kiều	Villager
14	Hồ Thị Đơn		X	Vân Kiều	Villager
15	Hồ Thị Xa		X	Vân Kiều	Villager
16	Hồ Thị Rơi		X	Vân Kiều	Villager
17	Hồ Thị Biên		X	Vân Kiều	Villager
18	Hồ Thị Phing		X	Vân Kiều	Villager
19	Hồ Văn Hải	X		Vân Kiều	Village livelihood staff

14. Cat village, Dak Rong commune, Dak Rong district (November 12, 2015)

1	Hồ Văn Long	X		Vân Kiều	Village head
2	Hồ Văn Hiếu	X		Vân Kiều	Villager
3	Hồ Văn Lôi	X		Vân Kiều	Villager
4	Hồ Văn Yên	X		Vân Kiều	Villager
5	Hồ Văn Cha	X		Vân Kiều	Villager
6	Hồ Văn Hường	X		Vân Kiều	Village elder
7	Hồ Văn Ing	X		Vân Kiều	Villager
8	Hồ Văn Kiềm	X		Vân Kiều	Villager
9	Hồ Văn Phấn	X		Vân Kiều	Villager
10	Hồ Văn A Riêm	X		Vân Kiều	Villager
11	Hồ Thị Cam		X	Vân Kiều	Villager
12	Hồ Thị Trường		X	Vân Kiều	Villager
13	Hồ Thị Ven		X	Vân Kiều	Villager
14	Hồ Thị Đức		X	Vân Kiều	Villager
15	Hồ Thị Mẫn		X	Vân Kiều	Villager
16	Hồ Thị Đình		X	Vân Kiều	Villager
17	Hồ Thị Mía		X	Vân Kiều	Villager
18	Hồ Thị Cúc		X	Vân Kiều	Villager
19	Hồ Thị Mai		X	Vân Kiều	Villager
20	Hồ Thị Xa Âm		X	Vân Kiều	Villager
21	Hồ Thị Cửa	X		Vân Kiều	Villager
22	Hồ Văn Lu	X		Vân Kiều	Villager

III. Non-governmental Organizations

1. Centre for Social Research and Development (CSR) (November 4, 2015)

1	Lâm Thị Thu Sứ		X	Kinh	Director
2	Ms My		X	Kinh	Vice-Director

2. Centre for Rural Development in Central Vietnam (CRD) (November 5, 2015)

1	Phạm Nguyễn Thành	X		Kinh	
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3. Consultative and Research Center on Natural Resources Management (CORENAM) (November 5, 2015)

1	Ngô Trí Dũng	X		Kinh	Chairman of Executive Board
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Name: Benefit sharing mechanism and SESA consultations

Time: November 02 to 11, 2015

Location: Thua Thien Hue and Quang Binh provinces

Consultants: 1) Dr. Shane Tarr (International BSM Consultant)
2) Dr. Pham Xuan Phuong (National BSM Consultant)

List of participants

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
I. Thừa Thiên Huế province					
1. Provincial Department of Agriculture and Rural Development (November 02, 2015)					
1	Võ Văn Dự	X		Kinh	Deputy Director of DARD
2	Nguyễn Hữu Huy	X		Kinh	Head of Technical Division, Forestry Development Sub-department
3	Trần Vũ Ngọc Hùng	X		Kinh	Officer, Forestry Development Sub-department
2. Provincial Farmer's Association (November 03, 2015)					
1	Phạm Thị Minh Huệ		X	Kinh	Vice Chairperson of district's Farmer Association
2	Hoàng Như Phát	X		Kinh	Staff of district's Farmer Association
3. Forestry Faculty, Hue Agriculture and Forestry University (November 03, 2015)					
1	Nguyễn Thị Phương Anh		X	Kinh	Teacher
2	Lê Quang Vĩnh	X		Kinh	Teacher
3	Hoàng Huy Tuấn	X		Kinh	Teacher
4. A Lưới DPC (November 04, 2015)					
1	Lê Minh Sơn	X		Cơ Tu	Deputy head of district's Natural Resources and Environment division
2	Trần Ngọc Chính	X		Kinh	Deputy head of district's Agriculture and Rural development division
3	Nguyễn Hương Huy Cường	X		Kinh	District Forest Protection division
4	Lê Hoàng Vũ Quang	X		Kinh	Officer of DPC office
5	Hồ Văn Sao	X		Pacô	Deputy head of District Forest Protection division
5. Hồng Bắc CPC, A Lưới district (November 05, 2015)					
1	Lê Văn Thuận	X		Pa cô	Chairman
2	Lê Văn Buông	X		Pa cô	Commune cadastral-environment officer
3	Hồ Văn Vây	X		Pa cô	Acting Chairman of commune Fatherland Front
4	Hồ Văn Thiều	X		Pa cô	Chairman of commune Farmer Association
5	Nguyễn Văn Châu	X		Pa cô	Commune cadastral officer
6	Nguyễn Huy Cường	X		Kinh	Commune ranger
7	Lê Thị Phương		X	Pa cô	Chairwoman of commune Women's Union
8	Lê Viết Xuân	X		Pa cô	Chief of commune Army
9	Lê Văn Qua	X		Pa cô	Chairman of commune Veteran Union
10	Lê Văn Thú	X		Pa cô	Head of commune Youth Union
6. Tân Hối village, Hồng Bắc commune, A Lưới district (November 05, 2015)					
1	Lê Văn Bức	X		Pa cô	Villager
2	Nguyễn Văn Anh Tuấn	X		Pa cô	Villager
3	Lê Văn Buông	X		Pa cô	Villager
4	Nguyễn Huy Cường	X		Pa cô	Villager
5	Lê Thị Hoàn	X		Pa cô	Villager
7. A Đên village, Hồng Thương commune, A Lưới district (November 06, 2015)					

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
1	Lê Quang Vinh	X		Pa cô	Village deputy head
2	Lê Đình Minh Chiến	X		Kinh	A Lưới district's Forest Protection division officer
3	A Viêt Huy	X		Pa cô	A Sáp village head
4	Nguyễn Thị Viêt Lâm		X	Pa cô	A Đên village head
5	Hồ Văn Khươi	X		Pa cô	Villager
6	Hồ Văn Thắng	X		Pa cô	Cadastral officer - ranger
7	Hồ Văn Lia	X		Pa cô	Villager
8	Hồ Văn Dương	X		Pa cô	Villager
9	Hồ Đắc Bằng	X		Pa cô	Villager
8. Village 4, Hồng Minh commune, A Lưới district (November 06, 2015)					
1	Hồ Thị Nga		X	Pa cô	Vice chairwoman of Hồng Minh CPC
2	Trương Đức Nguyên	X		Kinh	Officer of A Lưới district's Forest Protection division
3	Hồ Văn Rô Han	X		Pa cô	Villager
4	Hồ Văn Chiến	X		Pa cô	Villager
5	Trần Văn Hôn	X		Pa cô	Villager
6	Hồ Văn Cốc	X		Pa cô	Cadastral-Forestry officer
II. Quảng Bình province					
1. Provincial Department of Agriculture and Rural Development (November 09, 2015)					
1	Nguyễn Văn Long	X		Kinh	Head of Forestry Development division
2	Nguyễn Văn Huệ	X		Kinh	Staff of Forestry Development division
3	Phạm Văn Bút	X		Kinh	Staff of Forest Protection division
4	Lê Vũ Khánh Hòa	X		Kinh	FCPF-REDD+ PPMU staff
5	Phạm Thanh Trang	X		Kinh	Officer of Planning and Finance division, DARD
6	Phan Xuân Ngọc	X		Kinh	FCPF-REDD+ PPMU staff
7	Nguyễn Tuấn Anh	X		Kinh	Staff of Forest Protection division
8	Phạm Hồng Thái	X		Kinh	Deputy director of DARD, Head of Forest Protection division
2. Quảng Ninh DPC (November 09, 2015)					
1	Phạm Công Khanh	X		Kinh	Vice chairman of DPC
2	Nguyễn Văn Trọng	X		Kinh	Officer of district's Natural Resources and Environment division
3	Nguyễn Thị Hương	X		Kinh	Officer of DPC's office
4	Trần Đức Thuận	X		Kinh	Deputy director of Phong Nha Kẻ Bàng project
5	Châu Văn Minh	X		Kinh	Officer of district's Agriculture and Rural Development division
6	Đỗ Minh Quý	X		Kinh	Vice chairman of district's Farmer Association
7	Ngô Thị Tâm	X		Kinh	Staff of district Women's Union
8	Nguyễn Thị Hằng	X		Kinh	Officer of DPC's office
9	Dương Thất Tuấn	X		Kinh	Officer of district's CEM
3. Trường Sơn CPC, Quảng Ninh district (November 10, 2015)					
1	Nguyễn Tiến Dũng	X		Kinh	Officer

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
2	Trương Thị Hiền	X		Kinh	Officer
3	Vũ Ngọc Cảnh	X		Kinh	Officer
4	Hoàng Trọng Đức	X		Kinh	Officer
5	Đào Xuân Hùng	X		Kinh	Officer
6	Trần Thị Thúy Hà		X	Kinh	Officer
7	Lê Thị Huyền		X	Kinh	Officer
8	Nguyễn Thế Hiệu	X		Kinh	Head of forest protection station
9	Nguyễn Văn Cảnh	X		Vân Kiều	Officer
10	Nguyễn Văn Nam	X		Kinh	Officer

4. Khe Cát village, Trường Sơn commune, Quảng Ninh district (November 10, 2015)

1	Hồ Thị Phương		X	Vân Kiều	Villager
2	Trần Thị Hiền		X	Vân Kiều	Villager
3	Nguyễn Thị Số		X	Vân Kiều	Villager
4	Hồ Thị La		X	Vân Kiều	Villager
5	Trần Thị Côi		X	Vân Kiều	Villager
6	Hồ Thị Hòa		X	Vân Kiều	Villager
7	Hồ Thị Phúc		X	Vân Kiều	Villager
8	Trần Thị Mai		X	Vân Kiều	Villager
9	Hồ Thị Ca		X	Vân Kiều	Villager
10	Hồ Thị Na		X	Vân Kiều	Villager
11	Hồ Thị Vân		X	Vân Kiều	Villager
12	Hồ Thị Sen		X	Vân Kiều	Villager
13	Hồ Thị Vui		X	Vân Kiều	Villager
14	Hồ Thị Hồng		X	Vân Kiều	Villager
15	Hồ Văn Dũng	X		Vân Kiều	Villager
16	Hoàng Sỹ Ngọt	X		Vân Kiều	Villager
17	Nguyễn Văn Thuận	X		Vân Kiều	Villager
18	Hồ Văn Long	X		Vân Kiều	Villager
19	Hồ Văn Chu	X		Vân Kiều	Villager
20	Hồ Văn Tịch	X		Vân Kiều	Villager
21	Hồ Thị Mo		X	Vân Kiều	Villager
22	Hà Thị Họ		X	Vân Kiều	Villager
23	Nguyễn Thị Tuyết		X	Vân Kiều	Villager
24	Hồ Thị Hương		X	Vân Kiều	Villager
25	Nguyễn Thị Tuyết		X	Vân Kiều	Villager
26	Hồ Thị Yên		X	Vân Kiều	Villager
27	Hồ Thị Loan		X	Vân Kiều	Villager
28	Trần Thị Sung		X	Vân Kiều	Villager
29	Nguyễn Thị Hinh		X	Vân Kiều	Villager
30	Trần Phúc	X		Vân Kiều	Villager
31	Hồ Văn Tiêu	X		Vân Kiều	Villager
32	Trần Văn Sỹ	X		Vân Kiều	Villager
33	Nguyễn Văn Tào	X		Vân Kiều	Villager
34	Trần Văn Sang	X		Vân Kiều	Villager

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
35	Hồ Văn Thiên	X		Vân Kiều	Villager
36	Hồ Văn Thao	X		Vân Kiều	Villager
37	Nguyễn Thị Ốc		X	Vân Kiều	Villager
38	Hồ Văn Dai	X		Vân Kiều	Villager
39	Trần Thị Sơn		X	Vân Kiều	Villager
40	Hồ Thị Tuấn		X	Vân Kiều	Villager
5. Cổ Trảng village, Trường Sơn commune, Quảng Ninh district (November 11, 2015)					
1	Nguyễn Văn Cách	X		Vân Kiều	Villager
2	Nguyễn Văn Sơn	X		Vân Kiều	Villager
3	Hồ Đồi	X		Vân Kiều	Villager
4	Hồ Thai	X		Vân Kiều	Villager
5	Hồ Sương	X		Vân Kiều	Villager
6	Hồ Thông May	X		Vân Kiều	Villager
7	Hồ Quý	X		Vân Kiều	Villager
8	Nguyễn Văn Tuấn	X		Vân Kiều	Villager
9	Hồ Đình	X		Vân Kiều	Villager
10	Hồ Muôn	X		Vân Kiều	Villager
11	Hồ Mỹ	X		Vân Kiều	Villager
12	Hồ Côn	X		Vân Kiều	Villager
13	Hồ Say	X		Vân Kiều	Villager
14	Hồ Đi	X		Vân Kiều	Villager
15	Hồ Thị Vân		X	Vân Kiều	Villager
16	Hồ Thị Thảo		X	Vân Kiều	Villager
17	Hồ Thị Lo		X	Vân Kiều	Villager
18	Hồ Thị Phú		X	Vân Kiều	Villager
19	Hồ Thị Gió		X	Vân Kiều	Villager
20	Hồ Thị Phong		X	Vân Kiều	Villager
21	Hồ Thị Chúc		X	Vân Kiều	Villager
22	Hồ Thị Mai		X	Vân Kiều	Villager
23	Hồ Sỹ	X	X	Vân Kiều	Villager
24	Nguyễn văn Quá	X	X	Vân Kiều	Villager
25	Nguyễn Văn Bền	X	X	Vân Kiều	Villager
6. Lạng Sơn village, Trường Sơn commune, Quảng Ninh district (November 11, 2015))					
1	Nguyễn Văn Cảnh	X		Kinh	Villager
2	Trần Thị Thật		X	Kinh	Villager
3	Vũ Ngọc Đức	X		Kinh	Villager
4	Lê Thị Thông		X	Kinh	Villager
5	Phạm Văn Hoài	X		Kinh	Villager
6	Trần Văn An	X		Kinh	Villager
7	Trần Văn Phú	X		Kinh	Villager
8	Trần Thị Vui		X	Kinh	Villager
9	Nguyễn Thị Thuần		X	Kinh	Villager
10	Nguyễn Thị Vẽ		X	Kinh	Villager
11	Bùi Văn Dũng	X		Kinh	Villager

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
12	Trần Văn Hùng	X		Kinh	Villager
13	Nguyễn Đức Quý	X		Kinh	Villager
14	Võ Ngọc Tuyển	X		Kinh	Villager
15	Diệu Thị Thúy		X	Kinh	Villager
16	Phan Thị Cánh		X	Kinh	Villager
17	Trần Văn Tuấn	X		Kinh	Villager
18	Nguyễn Văn Nhân	X		Kinh	Villager
19	Trần Thanh Đạt	X		Kinh	Villager
20	Nguyễn Thị Ở		X	Kinh	Villager
21	Nguyễn Văn Bằng	X		Kinh	Villager
22	Nguyễn Đức Tuấn	X		Kinh	Villager
23	Nguyễn Văn Hà	X		Kinh	Villager
24	Phạm Văn Tú	X		Kinh	Villager
25	Nguyễn Tiến Biên	X		Kinh	Villager
26	Lê Thế Viễn	X		Kinh	Villager
27	Trần Văn Bút	X		Kinh	Villager
28	Ngô Thị Hoạch		X	Kinh	Villager
29	Nguyễn Thị Minh		X	Kinh	Villager
30	Nguyễn Văn Lộc	X		Kinh	Villager
31	Ngô Quốc Trị	X		Kinh	Villager
32	Nguyễn Thị Luyến		X	Kinh	Villager
33	Ngô Thanh Sơn	X		Kinh	Villager

Name: Strategic environmental and social assessment consultations

Time: November 3 to 18, 2015

Location: Thanh Hoa province

Consultants: 1) Dr. Rita Gebert (International Social Safeguards Consultant)
2) Dr. Ha Huu Nga (National Sociologist)
3) Mr. Tran Nguyen Anh Thu (National Environmental Safeguards Consultant)

List of participants

List of participants					
No	Name	Sex		Ethnicity	Position and address
		Male	Female		
1. Thanh Xuân CPC, Quan Hóa district (November 18, 2015)					
1	Phạm Hồng Tia	X		Thái	Chairman
2	Phạm Thị Kim		X	Thái	Commune Women's Union Vice-chairwoman
3	Phạm Thị Thu Phương		X	Thái	Commune Ethnicity-Culture officer
4	Phạm Văn Thông	X		Thái	Commune agi-extension worker
5	Cao Văn Hoanh	X		Thái	Commune agriculture officer
6	Cao Văn Định	X		Thái	Commune cadastral officer
2. Lang Chánh DPC (November 19, 2015)					
1	Lương Đức Thuận	X		Thái	Head of district's CEM

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
2	Mai Văn Nguyên	X		Kinh	Officer of Forest Protection division
3	Lê Quang Tùng	X		Thái	Officer of Agriculture and Rural Development division
4	Nguyễn Viết Thắng	X		Kinh	Deputy head of Agriculture and Rural Development division
5	Nguyễn Văn Long	X		Kinh	Deputy head of Natural Resources and Environment division
3. Lang Chánh district's PFMB (November 19, 2015)					
1	Lê Quang Tùng	X		Thái	Officer of Agriculture and Rural Development division
2	Hoàng Thị Tuyết		X	Kinh	Head of Administrative division
3	Mai Bá Đính	X		Kinh	Deputy head of Planning division
4. Tân Phúc CPC, Lang Chánh district (November 20, 2015)					
1	Lê Trung Chớng	X		Thái	Chairman
2	Lê Văn Hoàng	X		Thái	Vice chairman
3	Lê Văn Thắng	X		Thái	Commune culture officer
4	Lê Văn Phúc	X		Thái	Commune cadastral officer
5	Mai Xuân Thao	X		Kinh	Commune cadastral and construction officer
5. Tân Sơn village, Tân Phúc commune, Lang Chánh district (November 20, 2015)					
1	Lê Văn Ứng	X		Mường	Village head
2	Lê Văn Ún	X		Mường	Village police officer
3	Lê Phi Quyết	X		Mường	Chairman of Farmer's Association
4	Lê Văn Nghĩa	X		Mường	Villager
5	Lê Thị Nga		X	Mường	Villager
6	Hà Thị Lý		X	Mường	Villager
7	Lê Xuân Vinh	X		Mường	Villager
8	Lê Văn Thí	X		Mường	Village elder
9	Hà Thị Diễm		X	Mường	Villager
10	Lê Thị Khâm		X	Mường	Villager
11	Lê Thị Lưu		X	Mường	Villager
12	Lê Phi Sơ		X	Mường	Villager
13	Lê Thị Quỳnh		X	Mường	Villager
14	Lê Thị Mùi		X	Mường	Villager
15	Lê Ngọc Hình	X		Mường	Villager
16	Lê Phi Nguyên	X		Mường	Villager
17	Lê Văn Hoàn	X		Mường	Villager
18	Lê Văn Quỳnh	X		Mường	Villager

Name: Benefit sharing mechanism consultations

Time: December 18 to 23, 2015

Location: Nghe An province

Consultants: 1) Dr. Shane Tarr (International BSM Consultant)
2) Dr. Pham Xuan Phuong (National BSM Consultant)

List of participants

List of participants					
No	Name	Sex		Ethnicity	Position and address
		Male	Female		
1. Tam Quang CPC, Tương Dương district (December 18, 1015)					
1	Kha Thị Hiền		X	Thái	Vice chairwoman
2	Hồ Viết Minh	X		Kinh	Chairman of commune Farmer Association
3	Lương Thị Hoa		X	Thái	Chairwoman of commune Women's Union
4	Lê Đình Quang	X		Thái	Vice chairman of commune Veteran Union
5	Nguyễn Thị Yến		X	Kinh	Commune agriculture officer
6	Vi Thị Ngọc		x	Thái	Vice chairwoman of commune Fatherland Front
7	Nguyễn Quốc Bảo	X		Kinh	Commune ranger
2. Tùng Hương village, Tam Quang commune, Tương Dương district (December 19, 1015)					
1	La Quang Đảo	X		Đan Lai	Secretary of village Party Cell
2	Lô Văn Thâm	X		Thái	Villager
3	Lô Văn Cao	X		Thái	Village police officer
4	La văn Mẫn	X		Đan Lai	Head of village youth union
5	Vi Văn Phần	X		Thái	Village elder
6	Vi Văn Hoàng	X		Thái	Chairman of village Veteran Union
7	Viêng Thị Vui		X	Thái	Production team staff
8	Vi Thị Thúy		X	Thái	Villager
9	Lô Thị Hồng	X		Thái	Production team staff
10	Lô THị Thu	X		Thái	Villager
11	Vi Văn Hữu	X		Thái	Villager
12	La văn Hoàng	X		Đan Lai	Villager
13	Vi Văn Tuấn	X		Thái	Villager
14	La văn Cánh	X		Đan Lai	Villager
15	Lô Văn Ba	X		Thái	Villager
16	Vi Xuân Thủy	X		Thái	Villager
17	Lô Văn Khang	X		Thái	Villager
18	Lô Quốc Tuấn	X		Thái	Villager
19	Vi Thanh Tùng	X		Thái	Villager
20	Lô Hữu Doanh	X		Thái	Villager
21	Lê Thị Hương		X	Thái	Villager
22	Quang Văn Mão	X		Thái	Village police officer
23	Quang Thị Hom		X	Thái	Commune cadastral officer
24	Lô Quốc Tế	X		Thái	Villager
25	Lô Thị Luông		X	Thái	Villager
26	Vi Thị Tim		X	Thái	Villager
27	Lô Thị Sơn		X	Thái	Villager
28	Nguyễn Thị Yến		X	Thái	Head of commune agriculture board
3. Bãi Xa village, Tam Quang commune, Tương Dương district (December 20-21, 1015)					
1	Quang Thị Hom		X	Thái	Commune cadastral officer

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
2	Vi Thị Dần		X	Thái	Head of village women's union
3	Nguyễn Thị Yến		X	Thái	Head of commune agriculture board
4	Lương Thị Thêm		X	Thái	Villager
5	Quang Thị Tuyết		X	Thái	Villager
6	Vi Thị Thuận		X	Thái	Villager
7	Vi Thị Bình		X	Thái	Villager
8	Vi Thị Hồng		X	Thái	Villager
9	Lô Thị Lâm		X	Thái	Villager
10	Vi Văn Thìn	X		Thái	Villager
11	Lô Văn Hùng	X		Thái	Villager
12	Lô Văn Tới	X		Thái	Village Party secretary
13	Lô Quang Vinh	X		Thái	Village head
14	Quang Đình Huân	X		Thái	Chairman of Farmer's Association
4. Provincial Department of Agriculture and Rural Development (December 22, 2015)					
1	Nguyễn Tiến Lâm	X		Kinh	Deputy director of DARD
2	Nguyễn Văn Minh	X		Kinh	Head of Forestry Development sub-department
3	Phạm Văn Toàn	X		Kinh	Officer of department's office
5. Quảng and Khiết villages, Nam Sơn commune, Quỳnh Hợp district (December 22 - 23, 2015)					
1	Lô Văn Thành	X		Thái	Villager
2	Lô Văn Tham	X		Thái	Villager
3	Lô Thị Hồng		X	Thái	Villager
4	Lô Thị Hà		X	Thái	Villager
5	Lô Văn Ba	X		Thái	Villager
8	Lô Văn Kha	X		Thái	Villager
9	Lô Thị Luông		X	Thái	Villager
1	Lô Thị Ba		X	Thái	Villager
2	Lô Văn Thanh	X		Thái	Villager
6. Lâm nghiệp hamlet, Nghi Lộc PFMB, Nghi Lộc district (December 23, 2015)					
1	Lê Thị Hiệp		X	Kinh	Villager
2	Phạm Thị Đào		X	Kinh	Villager
3	Nguyễn Văn Phú	X		Kinh	Villager
4	Nguyễn Thị Na		X	Kinh	Villager
5	Nguyễn Thị Thư		X	Kinh	Villager
6	Lê Hồng Phong	X		Kinh	Villager

Name: Strategic environmental and social assessment consultations

Time: January 13 to 20, 2016

Location: Nghe An province

Consultants: 1) Dr. Rita Gebert (International Social Safeguards Consultant)
2) Ms. Tran Nguyen Anh Thu (National Environmental Safeguards Consultant)
3) Ms. Nguyen Thanh Hang (National Stakeholder Engagement Consultant)
4) Mr. Le Trung Thong (National Social Safeguards Consultant)

List of participants

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
1. Forest Protection Sub-department (January 13, 2016)					
1	Nguyễn Thanh Hoàng	X		Kinh	Deputy head
2	Nguyễn Hải Âu	X		Kinh	Deputy head of Forest Protection and Management Division
2. Con Cuông DPC (January 14, 2016)					
1	Hoàng Ngọc Thịnh	X		Kinh	Head of District's Forest Protection Division
2	Phan Thanh Hùng	X		Kinh	Acting head of district's Division of Natural Resources and Environment
3	Vi Thị Nguyệt		X	Thái	Head of district's CEM
4	Lương Văn Hưng	X		Thái	Deputy head of district's Division of Agriculture and Rural Development
5	Nguyễn Xuân Kiên	X		Kinh	Officer, district's CEM
3. Pù Mát National Park Management Board (January 14, 2016)					
1	Nguyễn Văn Sinh	X		Kinh	Deputy director
2	Lưu Trung Kiên	X		Kinh	Head of Science and International Cooperation division
3	Nguyễn Tiến Quang	X		Kinh	Deputy head of National Park protection division
4	Nguyễn Công Anh Tuấn	X		Kinh	Deputy head of Science and International Cooperation division
4. Con Cuông Protection Forest Management Board (January 14, 2016)					
1	Hồ Văn Hải	X		Kinh	Director of the PFMB
2	Nguyễn Khắc Hùng	X		Kinh	Deputy director of the PFMB
3	Đặng Hồng Thanh	X		Kinh	Head of Forest Protection and Management division
5. Con Cuong SFC (January 14, 2016)					
1	Nguyễn Ngọc Lam	X		Kinh	Director
2	Trương Thế Ninh	X		Kinh	Head of Planning and Technique division
6. Tân Kỳ district (January 14, 2016)					
1	Đinh Văn Hải	X		Kinh	Deputy Director of Tân Kỳ PFMB
2	Nguyễn Hồng Hải	X		Kinh	Forestry officer of Dong Van commune, Tân Kỳ district
3	Bùi Bá Hợi	X		Kinh	Farmer, FSDP/WB3 project in Dong Van commune, Tân Kỳ district
7. Nghệ An Forestry Development Sub-department (January 20, 2016)					
1	Đặng Xuân Minh	X		Kinh	Head of NA FDS
8. Tương Dương DPC (January 18, 2016)					
1	Vi Vinh Sơn	X		Thái	Vice-chairman
2	Lương Văn Viện	X		Thái	Head of district's CEM
3	Võ Sĩ Lâm	X		Kinh	Head of district's Forest Protection division
4	Nguyễn Bùi Hùng	X		Kinh	Deputy head of district's Division of Natural Resources and Environment
5	Lô Văn Thanh	X		Thái	Deputy head of district's Division of Agriculture and Rural Development
9. Tương Dương Protection Forest Management Board (January 18, 2016)					
1	Ngũ Văn Trí	X		Kinh	Director
2	Nguyễn Công Mậu	X		Kinh	Deputy director

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
3	Phan Thanh Thành	X		Kinh	Head of Planning and Technique division
4	Lê Đình Tuấn	X		Kinh	Head of Accounting division
10. Châu Khê CPC, Con Cuông district (January 14, 2016)					
1	Nguyễn Ngọc Luyến	X		Kinh	CPC chairman
2	Ngô Thanh Tài	X		Kinh	Commune's cadastral and environment officer
3	Lương Văn Ý	X		Kinh	Commune's agriculture officer
4	Nguyễn Xuân Kiên	X		Kinh	Officer, district's CEM
5	La Văn Nam	X		Thái	Officer, district's CEM
6	Nguyễn Thế Anh	X		Kinh	Commune's socio-cultural officer
7	Phan Thị Hiền		X	Kinh	Commune's cadastral officer
11. Tam Hợp CPC, Tương Dương district (January 15, 2016)					
1	Nguyễn Anh Minh	X		Kinh	CPC chairman
2	Vi Mạnh Cầm	X		Thái	CPC vice-chairman
3	Vi Thị Đăm Thúy		X	Thái	Commune's cadastral and construction officer
12. Lượng Minh CPC, Tương Dương district (January 19, 2016)					
1	Vi Đình Phúc	X		Thái	CPC chairman
2	Nguyễn Văn Là	X		Thái	Commune's cadastral officer
3	La Thị Thu		X	Thái	Commune's statistic officer
4	Lê Thanh Liêm	X		Kinh	Commune's agriculture officer
5	Lô Văn Hùng	X		Thái	CPC vice-chairman
13. Châu Sơn village, Châu Khê commune, Con Cuông district (January 14, 2016)					
1	La Văn Thành	X		Đan Lai	Village head
2	La Văn Châu	X		Đan Lai	Villager
14. Thín hamlet, Mọi village, Lục Giả commune, Con Cuông district (January 16, 2016)					
1	La Thị Hương		X	Đan Lai	Villager
2	Vi Văn Hưng	X		Thái	Villager
3	Viễn Văn Chiến	X		Đan Lai	Villager
4	Vi Văn Tiên	X		Đan Lai	Head of hamlet
5	Lương Thị Ba		X	Thái	Villager
6	La Thị Hồng		X	Đan Lai	Villager
7	La Thị Hằng		X	Đan Lai	Villager
8	Vi Thị Phượng		X	Đan Lai	Villager
9	Vi Văn Ngộ	X		Thái	Villager
10	La Văn Cương	X		Đan Lai	Villager
15. Huổi Sơn village, Tam Hợp commune, Tương Dương district (January 17, 2016)					
1	Vừ Tổng Long	X		H'Mông	Village head
2	Vừ Chia Long	X		H'Mông	Villager
3	Vừ Nhia Thông	X		H'Mông	Villager
4	Xông Buôn Giờ	X		H'Mông	Villager
5	Xông Bá Khư	X		H'Mông	Villager
6	Xông Bá Chi	X		H'Mông	Villager
7	Xông Bá Mùa	X		H'Mông	Villager
8	Vừ Y Hờ		X	H'Mông	Villager

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
9	Hồ Y Mái		X	H'Mông	Villager
10	Già Y Pà		X	H'Mông	Villager
11	Vũ Bá Rê	X		H'Mông	Villager
12	Xông Bá Chư	X		H'Mông	Villager

III. Civil Society Organizations in Nghe An (CSO) (January 20, 2016)

1	Cao Tiến Trung	X		Kinh	Center for Environment and Rural Development (CERD) -University of Vinh /Trung tâm Môi trường và Phát triển Nông thôn, Trường đại học Vinh
2	Cao Cự Thành	X		Kinh	Center for Environment and Rural Development (CERD) -University of Vinh /Trung tâm Môi trường và Phát triển Nông thôn, Trường đại học Vinh
3	Cao Tiến Dũng	X		Kinh	Center for Environment and Rural Development (CERD) -University of Vinh /Trung tâm Môi trường và Phát triển Nông thôn, Trường đại học Vinh
4	Trần Quang Trung	X		Kinh	Centre for Sustainable Environment Development (RESED) /Trung tâm phát triển môi trường và Bền vững
5	Lê Đại Thắng	X		Kinh	Nghe An Forest Sub-department
6	Phan Quang Tiến	X		Kinh	Nghệ An Center for Consultation on Forestry Development (NACFCFD)/ Trung tâm Tư vấn phát triển Lâm nghiệp Nghệ An
7	Trần Minh Doãn	X		Kinh	Nghe An Association of Agricultural Sciences and Techniques /Hội Khoa học và Kỹ thuật Nông nghiệp Nghệ An
8	Nguyễn Khắc Lâm	X		Kinh	Nghe An Forest Fund /Quỹ Bảo vệ và PT rừng (NAFF)
9	Nguyễn Tiến Lâm	X		Kinh	Deputy director of DARD
10	Nguyễn Quốc Toàn	X		Kinh	Deputy head of Planning and Financial division, DARD
11	Nguyễn Văn Hội	X		Kinh	Forest Protection Centre /Trung tâm bảo vệ rừng
12	Nguyễn Viết Nghị	X		Kinh	VFD project

Name: Benefit sharing mechanism and SESA consultations

Time: March 06 to March 11, 2015

Location: Ha Tinh province

Consultants:

- 1) Dr. Shane Tarr (International BSM Consultant)
- 2) Dr. Pham Xuan Phuong (National BSM Consultant)
- 3) Dr. Ha Huu Nga (National Sociologist/Anthropologist)
- 4) Le Trung Thong (National Social Safeguards Consultant)

List of participants

List of participants					
No	Name	Sex		Ethnicity	Position and address
		Male	Female		
1. <i>Huong Lien CPC. Huong Khe district (March 07, 2016)</i>					

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
1	Đinh Xuân Thường	X		Kinh	Xã Hương Liên
2	Đinh Văn Sanh	X		Kinh	Chairman of CPC
3	Phan Thanh Lê	X		Kinh	Vice-chairman of CPC
4	Nguyễn Văn Linh	X		Kinh	Vice-chairman of Commune People's Council
5	Nguyễn Thị Hương		X	Kinh	Commune officer
6	Phan Thanh Dũng	X		Kinh	Commune Party Cell
7	Nguyễn Sỹ Hùng	X		Kinh	Commune officer
8	Trần Thị Hương		X	Kinh	Commune's cadastral officer
9	Nguyễn Văn Nhân	X		Kinh	Commune's Fatherland front
10	Dương Thanh Tịnh	X		Kinh	Rao Tre Border Army
11	Nguyễn Hải Đường	X		Kinh	Commune's Veteran Association
12	Nguyễn Thị Đĩnh		X	Kinh	Chairperson of Commune Women's Union

2. Rao Tre village, Hương Liên commune, Hương Khe district (March 08, 2016)

1	Hồ Thị Nam		X	Chứt	Village head
2	Hồ Bái	X		Chứt	Villager
3	Hồ Kính	X		Chứt	Villager
4	Hồ Hải	X		Chứt	Villager
5	Hồ Lương	X		Chứt	Villager
6	Hồ Nhỏ		X	Chứt	Villager
7	Hồ Kiên		X	Chứt	Chairwoman of Village Women's Union
8	Hồ Hoài	X		Chứt	Villager
9	Hộ Thị Thành		X	Chứt	Villager
10	Hồ Thị Bình		X	Chứt	Villager
11	Hồ Thị Hợi		X	Chứt	Villager
12	Hồ Nhài		X	Chứt	Villager
13	Hồ Công	X		Kinh	Villager
14	Nguyễn Văn Nhân	X		Kinh	Villager
15	Dương Thanh Tịnh	X		Kinh	Rao Tre Border Army
16	Hồ Phương	X		Kinh	Villager
17	Hồ Hà	X		Chứt	Villager

3. Village No. 1, Hương Liên commune, Hương Khe district (March 9, 2016)

1	Nguyễn Văn Hiếu	X		Kinh	Villager
2	Đỗ Trọng Kiên	X		Kinh	Villager
3	Trần Văn Phương	X		Kinh	Villager
4	Cao Sỹ Bắc	X		Kinh	Villager
5	Trần Văn Trường	X		Kinh	Villager
6	Hoàng Văn Thao	X		Kinh	Villager
7	Nguyễn Xuân Hoàng	X		Kinh	Villager
8	Đoàn Văn Mạo	X		Kinh	Villager
9	Trần Ngọc Thuận	X		Kinh	Villager
10	Đào Xuân Hùng	X		Kinh	Villager
11	Dương Danh Xuân	X		Kinh	Villager
12	Dương Danh Huyền	X		Kinh	Villager
13	Trần Văn Thân	X		Kinh	Villager

No	Name	Sex		Ethnicity	Position and address
		Male	Female		
14	Hồ Viết Hòa	X		Kinh	Villager
15	Trần Văn Hiểu	X		Kinh	Villager
16	Hoàng Viết Huân	X		Kinh	Villager
17	Đinh Văn Song	X		Kinh	Villager
18	Đoàn Thị Thỏ		X	Kinh	Villager
19	Phạm Thị Lành		X	Kinh	Villager
20	Đinh Thị Mận		X	Kinh	Villager
21	Hồ Thị Hiền		X	Kinh	Villager
22	Đinh Thị Tâm		X	Kinh	Villager
23	Đoàn Thị Hiền		X	Kinh	Villager
24	Nguyễn Thị Hân		X	Kinh	Villager
25	Nguyễn Thị Thuận		X	Kinh	Villager
26	Dương Thị Tinh		X	Kinh	Villager
27	Nguyễn Thị Sen		X	Kinh	Villager
28	Đinh Thị Thương		X	Kinh	Villager
29	Nguyễn Thị Thảo		X	Kinh	Villager
30	Nguyễn Tuấn Chương	X		Kinh	Villager
31	Nguyễn Hải Đường	X		Kinh	Villager
32	Hoàng Viết Nhung	X		Kinh	Villager
33	Phan Thị Huyền		X	Kinh	Villager
34	Đinh Hữu Sáng	X		Kinh	Villager
4. Huong Khe District People's Committee (March 10, 2016)					
1	Hoàng Công Lý	X		Kinh	Vice-chairman of DPC
2	Lê Hữu Đồng	X		Kinh	Chief of DPC's office
3	Nguyễn Đình Lưu	X		Kinh	Deputy head of district Forest Protection division
4	Nguyễn Thị Huế		X	Kinh	Vice-chairperson of district Women's Union
5	Nguyễn Thừa Lộc	X		Kinh	Officer of district Agriculture and Rural Development division
5. Ha Tinh Province's Department of Agriculture and Rural Development (March 10, 2016)					
1	Nguyễn Huy Lợi	X		Kinh	Deputy Director of DARD
2	Lương Xuân Nam	X		Kinh	Officer of DARD
3	Phương Khả Thế	X		Kinh	Staff of Provincial Forest Inventory Team
4	Nguyễn Xuân Hoan	X		Kinh	UN-REDD officer
5	Nguyễn Xuân Vỹ	X		Kinh	UN-REDD officer
6	Lê Thị Hoa		X	Kinh	UN-REDD officer
7	Lê Văn Thông				UN-REDD officer
8	Nguyễn Thanh Trúc	X		Kinh	Officer of province's Forest Protection Sub-department
9	Nguyễn Tuấn Hiền	X		Kinh	Field Coordinator of UN-REDD
10	Lê Hữu Tuấn	X		Kinh	Officer of province's Forest Protection Sub-department

1.9 *Example of PRAP consultations*

Meeting Minutes

First Consultation for Provincial REDD+ Action Plan Development in Thua Thien Hue

Hue City, Dec. 04, 2015

Prepared by: Nguyen Quang Tan and Vu Huu Than, RECOFTC VCP

Venue: Festival Hotel, Hue City, Thua Thien Hue Province, Vietnam **Time:** Dec. 04, 2015

Participants:

The workshop was attended by 31 representatives from various organizations, including Forest Protection Department, Forest Protection Units, Protection Forest Management Boards, Management Board of Conservation Zones, Forestry Enterprises, Agriculture and Forestry University, as well and representatives from relevant Commune People's Committees. For more details please see "List of participants" in Annex 1

Facilitators:

The workshop was facilitated three members of provincial Emission Reduction Program Document Working Group (ERPD-WG), backstopped by two RECOFTC Viet Nam staff:

1. Tran Vu Ngoc Hung, Thua Thien Hue Forest Protection Department
2. Mai Quang Huy, Thua Thien Hue Forest Protection Department
3. Tran Quoc Canh, Thua Thien Hue Forest Protection and Development Fund
4. Nguyen Quang Tan, RECOFTC Viet Nam Country Program
5. Vu Huu Than, RECOFTC Viet Nam Country Program

Workshop Main Activities:

After an introduction about participants made by Mr. Tran Vu Ngoc Hung, from Forest Protection Department, opening remarks by Mr. Dung, Deputy Head of Forest Protection Department, and head of ERPD-WG and introduction of the workshop objectives by Mr. Phong Ngoc Thong, from JICA, the workshop came to key activities listed below:

Morning:

- Presentations by ERPD WG member on the Result of the forest change analysis for 2010-2015, followed by plenary discussion
- Presentations by ERPD WG member on the Result of the driver assessment for deforestation, forest degradation, and forest increase in 2010-2015, , followed by plenary discussion
- Summary of main discussion in the morning

Afternoon:

- Three small group discussion and sharing the results on:
 - Potential countermeasures as against the identified forest change drivers
 - Potential activity list to restrict deforestation and forest degradation & promote forest regeneration and af/reforestation

The workshop ended with the announcement of district and commune level consultation plan.

For more details about the workshop activities please see Annex 2.

Workshop Results:

1. Presentation on forest change analysis for 2010-2015 by Mr. Canh, deputy head of ERPD-WG

Mr. Canh started his presentation with introduction of the objectives, methodology then he covered the details of the contents and came to the conclusions that:

- Data interpretation served the preliminary basis for preparation of provincial PRAP;

- The locations and area of forest degradation, deforestation, increased forest quality, increased forest area were identified.
- Landsat image interpretation results do not help to distinguish between young planted areas, bare land with shrubs, trees scattered that affects the analysis of the drivers of forest changes.

For more details please see Annex 3

Questions/comments:

Representative from a district FPU: Survey results for Hong Thuy commune (A Luoi district) needed to be revised.

Representative from a State Forest Company: The quality of the copied map was so poor that it was impossible for viewers to read the map. In addition, an overall picture could not be seen from the survey as the data was unclear

Representative from Forests Management Board: The quality of pictures/photos, which needed to be re-checked, were poor affecting the quality of analysis. Pictures/photos needed to be compared before heading to the field

Representative from provincial FPD: There was misnaming of communes within districts. For instance, the communes namely Loc Dien, Loc Phu, Huong Loc did not belong to Nam Dong district. It was important to take annual statistics of the Department of Forest Protection for the last 5 years as reference to assess the quality of pictures/photos. In evaluating pictures/photos, field studies/assessment was needed.

Representative from a district FPU: It is important to clarify the concept of deforestation. For example, it was permanently lost (to shift the purpose of land use) or temporarily lost (regeneration / reforestation). In addition, if there is a doubt after analyzing pictures/photos, it is important to re-check in the field

Representative from a Nature Conservation Area: Whether the Circular 34 or Circular 35 was used? Was the survey result of 1% and 2% for the deforestation and forest degradation areas of Phong Dien correct?

Representative from Hue University of Agriculture and Forestry: In the presentation, the data of preservative forests (rich forests) did not change; the reporter did not care about this kind of area. This may not be right as REDD+ referred to preservation of forest storage, so it is important to calculate or to cover the area of rich forests and how they increased.

Representative from a State Forest Company: Data generated needed to be reviewed and revised. When presenting survey results, different sources should be available for comparison.

Representative from a Nature Conservation Area: The concept of REDD+, deforestation, and forest degradation should be provided for participants to make comments or to contribute ideas to the meeting. It is necessary to calculate the natural forest areas that have been lost.

Feedbacks from Mr. Canh:

- Data was generated from three sources:
- The consultation was made with 123 people
- The quality of data collected (After having checked in the field, in fact forests were rich from the beginning; the quality of the forests were affected by calamus/rattan)
- The task force will send the survey results to participants for checking

- Plantation forest: It was impossible to differentiate between immature forests and barren land. An adjustment could be made in survey report was to add a column named planted immature forests.
- Forest degradation:
- Circular 34: There was not enough time to re-check forest storage (measuring is time consuming).
- In terms of collecting information about lost wood volume to calculate forest lost, the loss of wood only reflected the forest degradation, not the lost forests.
- Rich forests do not mean that they would not change
- Forest degradation was assessed based on satellite images; then re-checking was done in the field.

2. Presentation on the analysis of drivers of deforestation and forest degradation by Mr. Canh

After the introduction of the objectives and methodology, the presenter addressed the details of the contents and made conclusions as follows:

- Results of the assessment of forest changes in 2010-2015 of 28 priority communes among the 55 communes in Thua Thien Hue province serve the preliminary scientific basis for identification of the causes of forest change to propose the solutions for PRAP.
- The area of natural forest lost in the period 2010-2015 was due to road, hydropower reservoirs and irrigation construction.
- Economic difficulties of people, unemployment also the causes of forest degradation and deforestation.
- Period 2010 - 2015 was a period with more forestry development projects in the province, the area of planted forests was changing fast; the economic value of the plantation was confirmed, making the afforestation movement occur not only in state forestry agencies but also in private sector.
- Big changes in plantation areas in communes are also the causes of increase forest cover and deforestation during the time when the analysis was carried out.

For more details please see Annex 4

Questions and comments:

Representative from provincial FPD: The results of deforestation got from the survey depended on the ways questions were put to people. It is necessary to add questions on socio economic causes. Forest degradation: the implementation process of Decree No.24 has not been complied (specifically in forest exploitation). The plan and forest exploitation only focused on how to exploit more timber without paying attention to protect the remaining forest areas. The survey results did not mention the role of good forest protection in the development of regeneration forests

Representative from a Nature Conservation Area: The impacts of infrastructures need to be emphasized

Representative from a Forest Management Board: Weather conditions (like storms or floods) are also the causes for deforestation. Rubbish has also been causing deforestation for regenerating forests in Hai van Pass.

Representative from a district FPU: Illegal sand mining has been causing deforestation

Representative from a Forest Company: Social cause: unemployment has led to deforest. Good/ poor forest protection also influenced, as well as awareness and attitudes toward forest protection.

Representative from a commune: People's employment is a driver. Not only the poor but also the rich have been logging.

Representative from a commune: The presented order of causes for deforestation and forest degradation would possibly be re-arranged.

Female representative (from district FPU): Local people's awareness plays an importance role in changing forest resources

3. Sharing results of group discussion in the afternoon:

Group 1: Deforestation (A Luoi district and officers of Sub-Department of Forest Protection, see Annex 1 for list of participants)

Discussion results:

Drivers	Countermeasures	Priority	Priority Areas	Risks
1. Illegal exploitation	Land management regime is available after deforestation			Involvement of different stakeholders
2. Construction of infrastructure works	Forest plantation			Identification of available land at the same time when designing projects
	Residential zone planning			
3. Forest fire	Strictly handling violations / breakers Enhancing forest protection and management Awareness raising			Fines may not be collected
4. Mining	Construction of forest fire fighting works			
5. Natural disasters	Forest plantation			
6. Lack of cultivation/production land	Suitable land planning for cultivation/production			Lack of finance
7. Planted forests have high value	Increasing productivity (instead of areas) of planted forest			There is a high risk of deforestation
8. Cultivation habits	Providing law education to raise awareness			
	Ensuring good extension activities			
	Supporting livelihoods			Workers/employees have not met jobs' requirements

Drivers	Countermeasures	Priority	Priority Areas	Risks
9. Increasing population	Creating jobs			
10. Improper forest management and protection practices	Enhancing forest management and protection			
	Providing suitable benefiting mechanism			Lack of human resources

Group 2: Forest degradation (Huong Tra, Huong Thuy, and Nam Dong districts - see Annex 1 for list of participants)

Drivers	Countermeasures	Priority	Priority Areas	Risks
Over exploitation; Illegal exploitation; Extraction of precious wood trees	Enhancing forest management and patrolling	1	Nam Đông and A Luoi	Less effectiveness for the lack of resources; Damage in terms of human property due to conflicts in implementation
	Enhancing law implementation	2		Conflicts may happen between local people and officers
	Dissemination of laws	3		Local people may not follow or implement laws as they do not understand the laws
	Promoting land allocation	4		Unfair land disputes and corruptions may happen
	Empowering people with participation in forest management and protection	5		Deforestation may be caused by limited capacity of people
	Creating jobs for forest dependent people	6		Wrong purpose use of supported finance as people did not have enough money
Poor awareness of people; Poor dissemination practices	Enhancing dissemination of laws	1	All districts in the province	
	Promote suitable dissemination in terms of contents and forms	2		
Forest fire	Enhancing checking and prevention	1	All districts in the province	Damage or loss of human and property may happen;
	Purchasing more forest fire fighting appliances and tools	2	All districts in the province	forest fire fighting appliances may be in poor quality or not suitable in field operation

Drivers	Countermeasures	Priority	Priority Areas	Risks
Forest development practices have not been implemented effectively	Promoting forest regeneration to enrich forests		All districts in the province	Occupational accidents (poisonous snake bites)
Capacity and the power of forest management and protection teams are limited	Capacity building	1	All districts in the province	Trained knowledge, skills may not fit with the right trainees so they may not be able to adapt
	Creating a legal framework	2	All districts in the province	Policies may not be adopted as they may not fit with reality.
Lack of finance	Different organizations support finance	1	All districts in the province	Lack of transparency

Discussion for addition:

- Solutions contributing to limitation of forest degradation but at the same time they can help increasing forest storage.
- Possible risks are outside factors.

Group 3: increasing forest area (Phu Loc and Phong Dien districts - see Annex 1 for list of participants)

Drivers	Counter measures	Priority	Priority Areas	Risks
	Policies			
	Land use planning			
	Finding land			Taking advantages
	Applying science and technology in forestry			
	Promoting rapidly growing seedlings and replacing old seedlings by new ones			Time and finance consuming
	Call for forest plantation projects			
	Allocating natural forests for communities			Some people may use the forests in wrong purposes
	After forests have been allocated, projects are available		Thuy Yen, Thuy Duong, and Phong Dien	
	Supporting capital for reforestation			
	Planting scattered trees			
	Awarding forest certificate			

Drivers	Counter measures	Priority	Priority Areas	Risks
	Planting timber forests			Natural disasters may happen; Economic returns may be an issue (as it will take time)
	Suitable exploitation of forests			High cost
	6) Strict protection			
	Developing plans for reforestation, forest protection, and forest fire fighting			
	Restoring forests following Circular 23			Natural forests may be cut down for reforestation
	Removing invasive plants		Phuc Loc and Hai Van Pass	High cost
	Improving communication practices			
	Upgrading infrastructure works (roads)			Deforestation may happen
	Investing in eco-tourism models		Phong My, Phong Son, Bau Nghe, Suoi Voi, Hai My	Air pollution may happen
	Developing handicraft		My Xuyen and Bao La	It is hard to find output market

List of participants

No	Full name	Position	Affiliation	Sex	Ethnicity	Working group
1.	Tran Dinh Khoi	Chairman	Thuong Nhat CPC	Male	Co tu	2
2.	Tran Van Dang	Forester	Thuong Nhat CPC	Male	Co tu	2
3.	Tran Dac Anh	Agriculture Specialist	Phong My CPC	Male	Kinh	3
4.	Van Minh Tuan	Land official	Huong Nguyen CPC	Male	Co tu	1
5.	Ngo Huu Phuoc	Head	Huong Tra FPU	Male	Kinh	2
6.	Nguyen Van Cuong	Forest ranger	Phu Loc FPU	Male	Kinh	3
7.	Phan The Son	Head	Tien Phong Forestry Company	Male	Kinh	2
8.	Le Thi Bich Luan	Forest ranger	Huong Tra FPU	Female	Kinh	2
9.	Ho Thi Nhu Trong	Specialist	FPD	Female	Kinh	1
10.	Nguyen Van Viet	Vice-Director	Huong Thuy Protection Forest Management Board	Male	Kinh	2
11.	Nguyen Dinh Cuong	Deputy Head	Nam Dong FPU	Male	Kinh	2
12.	Nguyen Quang Toan	Staff	A Luoi Protection Forest Management Board	Male	Kinh	1
13.	Nguyen Van Hung	Deputy Head	Phu Loc FPU	Male	Kinh	3
14.	Luong Van Ý	Head of Techniques and Science Dept.	Management Board of Sao La Conservation zone	Male	Kinh	2
15.	Ngo Van Minh	Forest ranger	Nam Dong FPU	Male	Kinh	2
16.	Dinh Cong Binh	Forest ranger	Phong Dien FPU	Male	Kinh	3
17.	Nguyen Ba Thao	Deputy Head	Phong Dien FPU	Male	Kinh	3
18.	Bui Van Tu	Deputy Head	Technique and Science, Nam Hoa Forestry Company	Male	Kinh	3
19.	Tran Van Loi	Director	Forest Protection and Management Board Bac Hai Van	Male	Kinh	3
20.	Mai Van Tam	Head	Forest Protection Department	Male	Kinh	1
21.	Tran Dinh Thien	Deputy Head	A Luoi Protection Forest Unit	Male	Kinh	1
22.	Le Van Huong	Vice-Director	Phong Dien Natural Conservation zone	Male	Kinh	3

No	Full name	Position	Affiliation	Sex	Ethnicity	Working group
23.	Cao Van Nhat Long	Forester	A Luoi FPU	Male	Kinh	1
24.	Pham Ngoc Dung	Deputy Head	FPD	Male	Kinh	1
25.	Tran Huu Dai	Director	Phong Dien Forestry Enterprise	Male	Kinh	3
26.	Dang Thai Duong	Head	Forestry Department, Hue Agriculture and Forestry University	Male	Kinh	n/a
27.	Tran Dac Anh		Phong My CPC	Male	Kinh	3
28.	Nguyen Huu Duc	Chairman	Phong My CPC	Male	Kinh	3
29.	To Hoang	Land official	Xuan Loc CPC	Male	Kinh	3
30.	Ho Van Tam	Chairman	Huong Nghia CPC	Male	Kinh	2
31.	Tran Nam Thang	Deputy Dean	Agriculture & Forestry Faculty, Hue Agriculture & Forestry University	Male	Kinh	2
Facilitators						
1	Tran Vu Ngoc Hung	Specialist	FPD	Male	Kinh	2
2	Mai Quang Huy	Specialist	Hue FPD	Male	Kinh	3
3	Tran Quoc Canh	Vice-Director	Forest Protection and Development Fund	Male	Kinh	1
4	Vu Huu Than	Training Coordinator	RECOFTC Viet Nam	Male	Kinh	2
5	Nguyen Quang Tan	Country Program Coordinator	RECOFTC Viet Nam	Male	Kinh	3
6	Phong Ngoc Thong	Officer	JICA	Male	Kinh	

Annex 2: Workshop Agenda

Consultation Workshop to Develop Provincial REDD+ Action Plan for Thua Thien Hue province in Nam Dong district

Venue: Nam Dong District, Thua Thien Hue Province, Vietnam **Time:** Morning of December 11, 2015

Participants:

The meeting was attended by 29 representatives from various units, including Protection Forest Management Board, DPC, District FPU, Department of Natural Resources and Environment, DARD, District Women's Union, CPC, and villagers. A summary of participants is provided below.

Total	Male	Female	Kinh group	Ethnic minorities	District level	Commune level	Village level
29	27	2	21	8	14	8	7

Facilitators:

The workshop was facilitated two members of provincial Emission Reduction Program Document Working Group (ERPD-WG) and two RECOFTC Viet Nam staff:

6. Tran Vu Ngoc Hung, Thua Thien Hue Forest Protection Department
7. Tran Quoc Canh, Thua Thien Hue Forest Protection and Development Fund
8. Nguyen Quang Tan, RECOFTC Viet Nam Country Program
9. Vu Huu Than, RECOFTC Viet Nam Country Program

Workshop Main Activities:

After an introduction of participants and opening remarks by the Vice chairman of DPC, the workshop came to key activities listed below:

- Introduction of climate change, REDD+ and PRAP process
- Presentation on Changes of forest conditions in the district 2010-2015 and drivers followed by feedback from the participants.
- Presentation on orientation for addressing deforestation, forest degradation and regeneration/ plantation.
- Group discussion to identify measures to address deforestation, forest degradation and promote regeneration/ plantation, sharing results and plenary discussion

Workshop Results:

1. Introduction of climate change, REDD+ and PRAP

Basic concept about REDD+ was explained by Dr. Nguyen Quang Tan, RECOFTC to make sure that all the participants have a clear understanding about the concept and the linkage between climate change, forest and five actions under REDD+.

Participants were also introduced to the process of PRAP development in Thua Thien Hue and the importance of their contribution to the PRAP process.

2. Presentation on Changes of forest conditions in the district 2010-2015

Presentation on Changes of forest conditions in the district 2010-2015 and drivers was delivered by Mr. Canh followed by feedback from the participants. After the introduction of the objectives and methodology, the presenter addressed the details of the contents and made conclusions as follows:

- Results of the assessment of forest changes in 2010-2015 of priority 28 communes among the 55 communes in Thua Thien Hue province serve the preliminary scientific basis for identification of the causes to propose the solutions for PRAP.
- The area of natural forest lost in the period 2010-2015 was due to road, hydropower reservoirs and irrigation construction.
- Economic difficulties of people, unemployment are also the causes of forest degradation and deforestation.
- Period 2010 - 2015 was a period with more forestry development projects in the province, the area of planted forests was changing fast; the economic value of the plantation was confirmed, making the afforestation movement occur not only in State forestry agencies but also in private sector and people.
- Big changes in plantation areas in communes are also the cause of increase forest cover and deforestation during the time when the analysis was carried out.
- Landsat image interpretation results do not help to distinguish between young planted areas, bare land with shrubs, trees scattered that affects the analysis of the drivers of forest changes.

Comments and questions from the participants:

A representative from district FPU: Khe Tre Town does not have natural forest but 20 ha of bare land (lc)

A representative from district DONRE: Natural forest area in the survey report does not match the data of DONRE, thus the data consistency is needed. Plantation: small change between 2010-2015. The data from DONRE says that the plantation area is around 6,000 ha. Plantation as a carbon sink: young (open) plantation (2,000 ha) should be included in the statistics. Root causes of deforestation are lack of jobs and difficult living conditions which are of urgent need to be dealt with.

A representative from commune: Local governments should have high commitment and provide as much support as possible to local people. Plantations of 3-5 years have been harvested for sale. Need to identify livestock for livelihoods development.

A representative from district DARD: Deforestation was driven by identified drivers. Forest increase also thanks to support from projects

Female participant from commune: Deforestation and degradation was caused by difficult living conditions of local people (indirectly leading to illegal logging for better income), thus it is needed to promote the understanding of local people.

3. Orientations for addressing deforestation, forest degradation and regeneration/ plantation

Presentation on orientations for addressing deforestation, forest degradation and regeneration/ plantation based on the discussion from provincial level workshop was delivered by Dr. Tan, from RECOFTC VCP. The orientations covered six areas including Policy, law enforcement, Propaganda and awareness raising, Science and Technology, Forest Business Development, and Livelihood Enhancement measures.

For more details, please see Annex 4

4. Group work

Group discussion to identify measures to address deforestation, forest degradation and promote regeneration/ plantation, sharing the results and plenary discussion were conducted. Participants were split into the groups according to administration levels which are district, commune and village. Brainstorming ideas followed by discussion among the group members to ensure the opinions are agreed upon by all. The results of group work are listed in the tables below:

Group 1: District group (see list of Participants in Annex 1)

Drivers	Countermeasures	Priority	Priority areas	Risks
Illegal logging, encroachment	1) Law enforcement 1) Awareness raising	1 1	Hương Phú, Hương Sơn, Thượng Nhật, Thượng Long, Thượng Lộ, Thượng Quảng	Strong actions against law enforcement officers Limited understanding (of local people)
Hydropower facility construction	5) Replacement planting	5	Hương Phú, Hương Lộ, Hương Sơn, Thượng Lộ	Land unavailability (leading to land use conflicts) Plantation does not become forests
Forest fire, natural disasters	2) Strengthening of forest patrolling, protection and forest fire prevention & response 5) Selection of tree species 5) Sustainable improvement and development of plantations	2 5	Hương Phú	Property damage and human death
Poor forest management of communities, households and other forest owners	4) Support policies and budget allocated to forest owners for better forest patrolling and protection. 5) Contract with local people for forest protection	4 5	Hương Phú, Hương Sơn, Thượng Nhật	Shortage of funding
Lack of jobs, difficult living conditions, high dependency on forests	5) Development of NTFPs and vocational training (on handicraft) 5) Budget support and job creation for local people	5 5	Thượng Lộ, Thượng Long, Hương Hữu	
Limited understanding of local people	3) Awareness raising	3	Hương Phú, Hương Sơn, Thượng Nhật, Thượng Long, Thượng Quảng	Limited understanding of some local people
Plantation development	4) Policies	4		Yet to be appropriate with local conditions
Seeds/ seedlings	5) Application of technology	5		Fluctuating market

Notes: the numbers in the “countermeasures” column show the priority of countermeasures/ activities

Group 2: Commune group

Drivers	Countermeasures	Priority	Priority areas	Risks
1. Illegal plantation development	Distribution of encroached land to those who lack land for farming Good handling of violations Solutions for the management of illegal		Thượng Lộ, Hương Hữu	

Drivers	Countermeasures	Priority	Priority areas	Risks
	plantation			
2. Infrastructure development	Replacement planting			Land shortage
3. Forest fire	Formulation of annual forest fire prevention and response			Difficulty in mobilizing local people in forest fire prevention and response.
4. Illegal logging	Strengthening of forest patrolling			Difficulty in mobilizing local people in forest fire prevention and response
5. Difficult living conditions	Livelihoods development and job creation		Priority targets: poor households at Communes of Thượng nhật, Hương Sơn, Thượng Lộ, Thượng Quảng, Thượng Long	Natural disasters, far distance between markets and residential areas Lack of budget for the implementation of local people
6. Poor forest management by functional government offices	Strengthening of coordination between relevant stakeholders		Strengthening of coordination between relevant stakeholders	Difficulty in mobilizing local people in forest fire prevention and response
7. Little support from local people on forest management	Strengthening of awareness raising activities		Awareness raising (Hương Phú, Hương Lộc, Thượng Lộ, Hương Nguyên, Hương Hữu, Thượng Quảng, Thượng Nhật)	
8. Poor forest management by forest owners	Good handling of violations of forest owners			Misconduct in violation handling due to close relationship between two parties or inability of violators to pay the fines

Group 3: Village group

Drivers	Countermeasures	Priority	Priority Area	Risks
Difficult living conditions	Job creation for local people Livelihoods support (animal seeds, material, technical, funding, etc.) Release of PFES to local people	1	All sites	Diseases, shortage of rotational budget for animal raising
Land shortage for	Farming can be allowed on poor and exhausted forests	2	All sites	Unemployment after the training

Drivers	Countermeasures	Priority	Priority Area	Risks
farming	Vocational training (non-agriculture jobs) Good handling of violations			
Loose (poor) management of government offices	Transparency in activity implementation to keep local people informed Working with local people in forest management Legal education	3	All sites	
Shifting cultivation	Awareness raising Good handling of violations	4	All sites	Limited understanding on legal regulations (of local people), lack of agreement which leads to conflicts
Increased population	Family planning and use of birth control measures	5	All sites	
Illegal logging	Explanation of regulations for common understanding Good handling of violations	6	All sites	Conflicts, accidents, human wounds/death
Forest fire	Awareness raising Provision of equipment, training support, guidance	7	All sites	Misuse of budget
Infrastructure development		8	All sites	
Natural disasrs, Landslide		9	All sites	

List of participants

No	Full name	Position	Affiliation	Sex	Ethnicity	Working group
1	Hồ Thị Thời	Vice chairman	Hương Sơn CPC	Female	Cơ Tu	2
2	Trần Xuân Chiến	Forester	Hương Sơn CPC	Male	Cơ Tu	2
3	Hồ Văn Tiến	Vice chairman	Thượng Lộ CPC	Male	Cơ Tu	2
4	Lê Sỹ Đồi	Forester	Thượng Lộ CPC	Male	Cơ Tu	2
7	Trần Hữu Mừng	Head of Science & Technique Unit	Nam Đông Protection Forest Management Board	Male	Kinh	1
8	Trần Toán	Director	Nam Đông Protection Forest Management Board	Male	Kinh	1
9	Trần Quốc Phụng	Vice chairman	Nam Đông DPC	Male	Kinh	1
10	Bùi Khắc Vũ	Head	Hương Phú Commune Community Forest Management Board	Male	Kinh	1
11	Trần Văn Đang	Commune forester	Thượng Nhật CPC	Male	Cơ Tu	2
12	Hoàng Quốc Vũ	Forest ranger	Nam Đông FPU	Male	Kinh	1
13	Nguyễn Đình Cường	Deputy head	Nam Đông FPU	Male	Kinh	1
14	Nguyễn Hữu Phúc	Forest ranger	Nam Đông FPU	Male	Kinh	1
15	Hoàng Trọng Duy	Forest ranger	Nam Đông FPU	Male	Kinh	1
16	Nguyễn Nghiêm	Forest ranger	Nam Đông FPU	Male	Kinh	1
17	Nguyễn Văn Thoại	Forest ranger	Nam Đông FPU	Male	Kinh	1
18	Ngô Văn Minh	Forest ranger	Nam Đông FPU	Male	Kinh	1
19	Phan Thanh Lý	Specialist	District DONRE	Male	Kinh	1
20	Huỳnh Thanh	Vice chairman	Hương Phú CPC	Male	Kinh	2
21	Phạm Tấn Sơn	Head	District DARD	Male	Kinh	1
22	Nguyễn Kỳ	Forester	Hương Phú CPC	Male	Kinh	2
23	Hoàng Trai	Village head	Village 3, Hương Lộc Commune	Male	Kinh	3
24	Trần Đình Cho	Village head	Village 2, Hương Lộc Commune	Male	Kinh	3

No	Full name	Position	Affiliation	Sex	Ethnicity	Working group
25	Phan Văn Đệ	Village head	Xuân Phú Village, Hương Phú Commune	Male	Kinh	2
26	Nguyễn Văn Mẫn	Specialist	Nam Đông DPC	Male	Kinh	1
27	Trần Văn Brương	Village head	Village 6, Thượng Nhật Commune	Male	Cơ Tu	3
28	Nguyễn Thị Hoài Thanh	Vice chairman	District Women's Union	Female	Kinh	1
29	Trần Hùng	Village head	Hà Village, Hương phú Commune	Male	Kinh	3

Consultation Workshop to Develop Provincial REDD+ Action Plan for Thua Thien Hue province in Thuong Nhat commune

Venue:

Thuong Nhat Commune, Nam Dong District, Thua Thien Hue Province, Vietnam **Time:** Morning of December 12, 2015

Participants' Composition:

The meeting was attended by 34 participants, coming from villages and various units in the commune, including CPC, Communist party, women's Union, Youth Union, fatherland front. Summary of participants is provided below - *Please see full list of participants in Annex 1.*

Total	Male	Female	Kinh group	Ethnic minorities	District level	Commune level	Village level
34	25	9	2	32	0	15	19

Facilitators:

The workshop was facilitated two members of provincial Emission Reduction Program Document Working Group (ERPD-WG) and two RECOFTC Viet Nam staff:

10. Tran Vu Ngoc Hung, Thua Thien Hue Forest Protection Department
11. Tran Quoc Canh, Thua Thien Hue Forest Protection and Development Fund
12. Nguyen Quang Tan, RECOFTC Viet Nam Country Program
13. Vu Huu Than, RECOFTC Viet Nam Country Program

In addition, Mr. Tran Van Dang from Thuong Nhat commune also co-facilitated the discussion in small group.

Workshop Main Activities:

After an introduction of participants and opening remarks by the Chairman of CPC, the workshop came to key activities listed below:

- Introduction of climate change, REDD+ and PRAP process
- Presentation on Changes of forest conditions in the district 2010-2015 and drivers, followed by feedback from the participants.
- Presentation on orientation for addressing deforestation, forest degradation and regeneration/ plantation.
- Group discussion to identify measures to address deforestation, forest degradation and promote regeneration/ plantation, sharing results and plenary discussion

For more details about the workshop activities please see workshop agenda in Annex 2.

Workshop Results:

1. Introduction of climate change, REDD+ and PRAP

Basic concepts of REDD+ was explained by Dr. Nguyen Quang Tan, RECOFTC to make sure that all the participants have a clear understanding about the concept and the linkage between climate change, forest and five actions under REDD+.

Participants were also introduced to the process of PRAP development in Thua Thien Hue and the importance of their contribution to the PRAP process.

2. Presentation on Changes of forest conditions in the district 2010-2015

Presentation on Changes of forest conditions in the district 2010-2015 and drivers was delivered by Mr. Canh followed by feedback from the participants. After the introduction of the objectives and methodology, the presenter addressed the details of the contents and made conclusions as follows:

- Results of the assessment of forest changes in 2010-2015 of priority 28 communes among the 55 communes in Thua Thien Hue province serve the preliminary scientific basis for identification of the causes to propose the solutions for PRAP.
- The area of natural forest lost in the period 2010-2015 was due to road, hydropower reservoirs and irrigation construction.
- Economic difficulties of people, unemployment are also the causes of forest degradation and deforestation.
- Period 2010 - 2015 was a period with more forestry development projects in the province, the area of planted forests was changing fast; the economic value of the plantation was confirmed, making the afforestation movement occur not only in State forestry agencies but also in private sector and people.
- Big changes in plantation areas in communes are also the cause of increase forest cover and deforestation during the time when the analysis was carried out.
- Landsat image interpretation results do not help to distinguish between young planted areas, bare land with shrubs, trees scattered that affects the analysis of the drivers of forest changes.

For more detail, please see Annex 3: "Assessment of the drivers of forest changes during 2010 – 2015 in Nam Dong, Thua Thien Hue province" TTHue PRAP.

Feedback from the participants:

Additional drivers of deforestation:

- Natural disasters, storms/ flooding
- Shifting cultivation
- Infrastructure development: road construction, hydropower construction
- Illegal logging
- Overexploitation

3. Orientations for addressing deforestation, forest degradation and regeneration/ plantation

Presentation on orientations for addressing deforestation, forest degradation and regeneration/ plantation based on the discussion from provincial level workshop was delivered by Dr. Tan, from RECOFTC VCP. The orientations covered six areas including Policy, law enforcement, Propaganda and awareness raising, Science and Technology, Forest Business Development, and Livelihood Enhancement measures. For more details, please see Annex 4.

4. Group work

Group discussion to identify measures to address deforestation, forest degradation and promote regeneration/ plantation, sharing the results and plenary discussion were conducted. Participants were divided into three groups: commune officers group, male village representatives group, and female group. This is to ensure that women could effectively contribute to the process.

Participatory approach was applied: brainstorming ideas followed by discussion among the group members to ensure the opinions are agreed upon by all. The results of group work are listed in the tables below:

Results of Group discussion

Group 1: Commune group

Drivers	Countermeasures	Priority	Priority areas	Risks/feasibility
Illegal logging by local people	3) Strengthening of forest protection and management, good handling of violations	3	Entire commune	Lack of time and budget; vulnerability to accidents Strong actions against law enforcement officers
Forest encroachment by local people	3) Awareness raising to prevent forest encroachment 1) Livelihood development	3 1	Entire commune	Limited understanding of local people Diseases, unavailability of markets
Natural disasters (storms)	2) Planting of local tree species	2	Villages # 1-6	Slow growth
Unemployment amongst local people	2) Vocation training, development of handicraft 2) Support to the development of seedling nurseries	2 2	Villages # 1-6	Lack of budget No markets Diseases
Difficult living conditions	1) Funding support for production	1	Poor and near-poor households	Diseases, ineffective use of funding
Poor forest management	3) Refinement of forest management boards @ village level 3) Strengthening of forest protection 3) Funding support	3 3 3	Villages # 1-6	
Land slides	6) Construction of dykes	6	Villages # 1, 2, 3, 6	Lack of budget
Housing construction	4) Appropriate harvesting	4	Households with temporary housing accommodations	
Increasing economic value of forests	4) Road construction for production	4	Ma Rai, Cha Lai, Cha Nang	Lack of budget
Planting of local tree species	3) Strengthening of forest maintenance and management	3	Community forests of villages	Accidents
Forest regeneration	5) Allocation to the right targets	5	Community forests of villages	

Notes: the numbers in the “countermeasures” column show the priority of countermeasures/ activities.

Group 2: Village group (Males)

Drivers	Countermeasures	Priority	Priority areas	Risks/feasibility
Encroachment of natural forests for Acacia planting	1) Awareness raising on forest protection 2) Good handling of violations in line with state and village regulations	1 2	Entire commune	Loss of solidarity of a community
Infrastructure development (road construction for production)	11) Replacement planting	11		Land shortage for planting
Unemployment among local people	8) Vocational training (clothing, motorbike repair, welding, etc.)	8	Selection of priority targets	Lack of budget Unemployment
Illegal logging	3) Strengthening of forest patrolling and protection 10) Good handling of violations in line with state regulations	3 10	Villages # 1, 2, 3, 6	Unfairness leading to loss of solidarity
Difficult living conditions	7) Support of seedlings, animal seeds	7	Villages # 1, 2, 3, 6	Diseases; Low quality of seedlings, animal seeds
Natural disasters (storms)	9) Good forest protection and management 5) Additional planting of local species	9 5	Villages # 1, 2, 4, 5, 6	
Forest development				
Acacia planting (after harvests)	12) Maintenance and fertilizing for long term harvesting	12	Villages # 1, 6, 7	natural disasters, fluctuating markets
Allocation to communities for management	6) Further allocation of natural forests to groups of households 4) Funding support for forest patrolling	6 4	Villages # 1, 2, 3, 4, 5, 6	Accidents during patrolling No insurance

Notes: the numbers in the “countermeasures” column show the priority of countermeasures/ activities.

Group 3: Female group

Drivers	Countermeasures	Priority	Priority areas	Risks
Land shortage for production	1) Job creation 2) Reallocation of farming land to local people 3) Additional planting native species 4) Expansion/ replication of CABI Project 5) Forestland allocation to local people (use period of 50 years) 6) Road construction for forestry production	1 2 3 4 5	Entire commune	Death of chickens, ducks Fluctuating prices Economic unsustainability Landslide due to road construction

Drivers	Countermeasures	Priority	Priority areas	Risks
		6		
Unemployment	1) Handicraft development (weaving, broom production) 2) Funding support for production 3) Support to set up seedling nurseries (Acacia, local species) 4) Central government's efforts to stabilize market prices	1 2 3 4	Entire commune	Diseases
Clearance of natural forests for plantation	1) Allocation of natural forests to local people for protection 2) Additional planting in old (natural) forests (ensuring to keep existing precious trees) 3) af/reforestation 4) Call for support from CABI Project	1 2 3 4	Entire commune	Disagreement among local people on forest protection Lower loan interest (insurance for production) introduced by the state in case of tree death (acacia, rubber)
Shifting cultivation	1) No further forest encroachment, keeping existing encroachment land for cultivating crops of high profits 2) Protection and maintenance of existing forest area 3) Planting of crops with high profits 4) Mobilization of local people for additional support	1 2 3 4	Entire commune	
Overexploitation	1) Coordination between forest rangers and local people 2) Funding support 3) Legal education Suitable harvesting for future use	1 2 3	Entire commune	
Infrastructure development	1) Disagreement on hydropower construction 2) High compensation for local people 3) Replacement planting	1 2 3	Entire commune	Reservoir banks to be broken Loss of land and forests due to construction of hydropower plants

Drivers	Countermeasures	Priority	Priority areas	Risks
Forest fire	1) Mobilization of local people on forest fire prevention and response 2) Awareness raising to stop forest burning and smoking in forests 3) Forest fire prevention and response 4) Equipment support for forest fire prevention and response 5) Better knowledge on how to prevent and respond to forest fire of local people	1 2 3 4 5	Entire commune	
Natural disasters, diseases	1) Environmental protection to prevent drought	1	Entire commune	

Notes: the numbers in the “countermeasures” column show the priority of countermeasures/ activities.

List of participants

No	Full name	Position	Affiliation	Sex	Ethnicity	Working group
1	Trần Văn Trí	Village communist party secretary	Village 2, Thuong Nhat Com.	Male	Cơ tu	2
2	Lê Văn Hóm	Village communist party secretary	Village 1, Thuong Nhat Com.	Male	Cơ tu	2
3	Lê Thị Vư	Village women's union staff	Village 2, Thuong Nhat Com.	Female	Cơ tu	3
4	Hồ Thị Y	Village women's union staff	Village 1, Thuong Nhat Com.	Female	Cơ tu	3
5	Nguyễn Thị Sữa	Village women's union staff	Village 5, Thuong Nhat Com.	Female	Cơ tu	3
6	Hồ Văn Giết	Commune legal staff	Thuong Nhat Commune	Male	Cơ tu	1
7	Trần Văn Hoàn	Commune youth	Thuong Nhat Commune	Male	Cơ tu	1
8	Trần Văn Đang	commune forestry staff	Thuong Nhat Commune	Male	Cơ tu	1
9	Nguyễn Văn Ất	village head	Village 4, Thuong Nhat Com.	Male	Cơ tu	2
10	Hồ Thành Lợi	commune staff	Thuong Nhat Commune	Male	Cơ tu	1
11	Hồ Văn Cay	Village communist party secretary	Village 3, Thuong Nhat Com.	Male	Cơ tu	2
12	Hồ Tru	commune culture staff	Thuong Nhat Commune	Male	Cơ tu	1
13	Lê Thanh Họt	commune staff	Thuong Nhat Commune	Male	Cơ tu	1
14	Hồ Thị Dưa	commune staff	Thuong Nhat Commune	Female	Cơ tu	3
15	Trần Đình Khởi	CPC chairman	Thuong Nhat Commune	Male	Cơ tu	1
16	Bạch Thị Thành	commune staff	Thuong Nhat Commune	Female	Kinh	3

No	Full name	Position	Affiliation	Sex	Ethnicity	Working group
17	Hồ Văn Vương	commune staff	Thuong Nhat Commune	Male	Cơ tu	1
18	Trần Văn Lúa	Village communist party secretary	Village 5, Thuong Nhat Com.	Male	Cơ tu	2
19	Nguyễn Ngọc Tuấn	commune staff	Thuong Nhat Commune	Male	Cơ tu	1
20	Nguyễn Ngọc Nam	fatherland front staff	Thuong Nhat Commune	Male	Cơ tu	1
21	Trần Văn Biển	commune communist party secretary	Thuong Nhat Commune	Male	Cơ tu	1
22	Nguyễn Văn Bắp	commune staff	Thuong Nhat Commune	Male	Cơ tu	1
23	Trần Kim Phượng	Village women's union staff	Village 3, Thuong Nhat Com.	Female	Cơ tu	3
24	Hồ Đức Kiệu	village head	Village 3, Thuong Nhat Com.	Male	Cơ tu	2
25	Nguyễn Ngọc Mười	commune staff	Thuong Nhat Commune	Male	Cơ tu	1
26	Hồ Phương Nguy	fatherland front staff	Village 7, Thuong Nhat Com.	Male	Cơ tu	2
27	Trần Văn Hoàn	village head	Village 1, Thuong Nhat Com.	Male	Cơ tu	2
28	Bạch Văn Soạn	village head	Village 7, Thuong Nhat Com.	Male	Kinh	2
29	Trần Thị Liễu	Village women's union staff	Village 6, Thuong Nhat Com.	Female	Cơ tu	3
30	Nguyễn Thanh Phia	Village communist party secretary	Village 6, Thuong Nhat Com.	Male	Cơ tu	2
31	Hồ Thị Cót	Village women's union staff	Village 7, Thuong Nhat Commune	Female	Cơ tu	3
32	Hồ Thị Đàm	Village women's union staff	Village 4, Thuong Nhat Commune	Female	Cơ tu	3
33	Hồ Phương Din	Village communist party secretary	Village 7, Thuong Nhat Commune	Male	Cơ tu	2
34	Trần Xuân Bường	village head	Village 6, Thuong Nhat Commune	Male	Cơ tu	2

Consultation Workshop to Develop Provincial REDD+ Action Plan for Thua Thien Hue province in A Luoi district

Venue: A Luoi District, Thua Thien Hue Province, Vietnam **Time:** Afternoon of December 14, 2015

Participants' Composition:

The meeting was attended by 28 people from various units including villages, CPC, DPC, Women's Union, FPU, and Forest Management Board. A summary of participants is provided below, for more details please see full list of participants in Annex 1.

Total	Male	Female	Kinh group	Ethnic minorities	District level	Commune level	Village level
28	24	4	12	16	11	9	8

Facilitators:

The workshop was facilitated two members of provincial Emission Reduction Program Document Working Group (ERPD-WG) and two RECOFTC Viet Nam staff:

14. Tran Vu Ngoc Hung, Thua Thien Hue Forest Protection Department
15. Tran Quoc Canh, Thua Thien Hue Forest Protection and Development Fund
16. Nguyen Quang Tan, RECOFTC Viet Nam Country Program
17. Vu Huu Than, RECOFTC Viet Nam Country Program

Workshop Main Activities:

After an introduction of participants and opening remarks by the Vice chairman of DPC, the workshop came to key activities listed below:

- Introduction of climate change, REDD+ and PRAP process
- Presentation on Changes of forest conditions in the district 2010-2015 and drivers followed by feedback from the participants.
- Presentation on orientation for addressing deforestation, forest degradation and regeneration/ plantation.
- Group discussion to identify measures to address deforestation, forest degradation and promote regeneration/ plantation, sharing results and plenary discussion

For more details about the workshop activities please see Annex 2.

Workshop Results:**5. Introduction of climate change, REDD+ and PRAP**

Basic concept about REDD+ was explained by Dr. Nguyen Quang Tan, RECOFTC to make sure that all the participants have a clear understanding about the concept and the linkage between climate change, forest and five actions under REDD+.

Participants were also introduced to the process of PRAP development in Thua Thien Hue and the importance of their contribution to the PRAP process.

6. Presentation on Changes of forest conditions in the district 2010-2015

Presentation on Changes of forest conditions in the district 2010-2015 and drivers was delivered by Mr. Canh followed by feedback from the participants. After the introduction of the objectives and methodology, the presenter addressed the details of the contents and made conclusions as follows:

- Results of the assessment of forest changes in 2010-2015 of priority 28 communes among the 55 communes in Thua Thien Hue province serve the preliminary scientific basis for identification of the causes to propose the solutions for PRAP.
- The area of natural forest lost in the period 2010-2015 was due to road, hydropower reservoirs and irrigation construction.
- Economic difficulties of people, unemployment are also the causes of forest degradation and deforestation.
- Period 2010 - 2015 was a period with more forestry development projects in the province, the area of planted forests was changing fast; the economic value of the plantation was confirmed, making the afforestation movement occur not only in State forestry agencies but also in private sector and people.
- Big changes in plantation areas in communes are also the cause of increase forest cover and deforestation during the time when the analysis was carried out.

- Landsat image interpretation results do not help to distinguish between young planted areas, bare land with shrubs, trees scattered that affects the analysis of the drivers of forest changes.

Feedback from the participants: There were no questions from the audience as the participants agreed with the contents of the presentations.

7. Orientations for addressing deforestation, forest degradation and regeneration/ plantation

Presentation on orientations for addressing deforestation, forest degradation and regeneration/ plantation based on the discussion from provincial level workshop was delivered by Dr. Tan, from RECOFTC VCP. The orientations covered six areas including Policy, law enforcement, Propaganda and awareness raising, Science and Technology, Forest Business Development, and Livelihood Enhancement measures.

For more details, please see Annex 4.

8. Group work

Group discussion to identify measures to address deforestation, forest degradation and promote regeneration/ plantation, sharing the results and plenary discussion were conducted. Participants were split into the groups according to administration levels which are district, commune and village. Brainstorming ideas followed by discussion among the group members to ensure the opinions are agreed upon by all. The results of group work are listed in the tables below:

Results of group work:

Group 1: District group

Drivers	Countermeasures	Priority	Priority areas	Risks
Shifting cultivation	1) Awareness raising for local people 9) Policy support	1 9	Hồng Thượng, Hồng Thủy, Hương Phong, Hồng Hạ, Hương Nguyên	Limited understanding Language Awareness raising provided to unsuitable target groups
Land shortage for farming	2) Suitable land use planning	2	Hồng Thượng, Hồng Thủy,	Land availability
Illegal logging	2) Law enforcement 5) Permission to logging for furniture production purposes	2 5	Hương Phong, Hồng Thái, Hồng Thượng, A Đốt, Hồng Thủy, Đông Sơn	Conflicts during law enforcement Overlapping legal documents Low timber volume Failure to implement violation handling decisions
Changes in land use purposes	2) Suitable land use planning	2	Hồng Trung, A Roàng	
Forest fire	3) Strengthening of forest fire prevention and response 3) Establishment of forest fire prevention and response teams	3 3	Entire district	Lack of budget
Infrastructure development	4) Replacement planting	4	Nhâm, Hồng Thái, Hồng Bắc, A Roàng	Lack of land and seedlings
Traditional customs (shifting)	1) Awareness raising of local people	1	Entire district	Awareness, language

Drivers	Countermeasures	Priority	Priority areas	Risks
cultivation, forest burning)				
Poverty	1) Livelihoods development	1	Nhâm, A Roàng, Hồng Thái, A Đốt, Đông Sơn	Misuse Not suitable targets Lack of funding support
Unemployment	2) Job creation	2	Hồng Thủy, A Roàng	Lack of jobs after the training (few job opportunities at companies, etc.)
Poor forest management	3) Strengthening of forest management	3	Entire district	Inappropriate institutions
Natural disasters	No solutions proposed			

Notes: the numbers in the “countermeasures” column show the priority of countermeasures/ activities.

Group 2: Commune group

Drivers	Countermeasures	Priority	Priority areas	Risks
Illegal logging	1. Strengthening of awareness raising 3 Good handling of illegal forest destruction activities 2 Job creation	1 3 2	Hồng Thái, Hồng Thượng, Hương phong, Hồng Thủy, Hương Nguyên	Strong actions against law enforcement officers
Forest fire	11. Forest fire prevention and response 7. Timely allocation of forests to communities and groups of households for management	11 7	Hồng Hạ, Hương Nguyên và Hồng Kim	Accidents, wounds
Natural disasters	14 Planting of protection forests	14	Hồng Hạ, Hồng Thái, Hồng Kim, Hương Phong	Landslide (difficulty for the implementation)
Infrastructure development	13 Replacement planting	13	Hồng Thái, Hương Phong	[Land unavailability]
Illegal changes of land use purposes	6 Land withdrawal (from forestry units) 2 Land allocation to local people	6 2	Hồng Hạ, Hồng Kim, Hồng Quảng, Hồng thủy, Hồng Vân	[Low feasibility, unfairness]
Poor forest management	4 Policies (Projects/ programmes) supporting forest management	4	Hương Nguyên, Hồng Hạ, Hồng Thủy, Hương Phong	[lack of funding]
Issues in allocation	3 Funding support for forest management 12 Capacity building	3 12	Entire district	Misuse
Acacia planting	8 Improved maintenance 9. Planting of local	8 9	Hồng Kim, Hồng Thủy,	Termites and harmful insects

Drivers	Countermeasures	Priority	Priority areas	Risks
	species		Hồng Hà, Hương Nguyễn	
Regeneration	10 Planting of local species 5 Funding support for forest management	10 5	Hồng Hà, Hồng Vân, Hồng Trung, Hương Nguyễn	Frequent damage by wild animals

Notes: the numbers in the “countermeasures” column show the priority of countermeasures/ activities.

Group 3: Village group

Drivers	Countermeasures	Priority	Priority areas	Risks
1. Illegal logging	1.1 Job creation for local people 1.2 Allocation to/ contract with local people on forest management 1.3 Strengthening of awareness raising 1.4 Good handling of illegal loggers	1	All communes	1.1 Failure to do the jobs -> deforestation 1.2 Those who are not allocated forests undertake forest destruction, Forest fire 1.2 Diseases 1.4 Accidents during work
2. Difficult living conditions of local people	2.1 Job creation for local people 2.2 Production forest planting (Hopea odorata, Litsea) 2.3 Species with high economic value for planting (garden and forest planting)	2	All communes	Market unavailability, Selling price pressure by traders
3 Forest burning	Frequent training on forest protection for local people	3	All communes	
4 Shifting cultivation	4.1 Timely prevention of forest clearance for farming 4.2 Suitable land use planning 4.3 Forest allocation to local people (use period of 50 years)	4	All communes	Conflicts between those who are allocated forest and those who are not.
5 Land shortage for farming	5.1 Funding support for production 5.2 Vocational training	5	All communes	Loss of funding leads to poverty. Inability to do the jobs as trained due to lack of budget -> poverty
6 Infrastructure	6 Appropriate compensation for	6	All communes	Misuse of

Drivers	Countermeasures	Priority	Priority areas	Risks
development, hydropower plants	affected people			compensation leads to poverty.
7. Natural disasters	7 Forest planting at watershed areas to prevent landslide	7	All communes	

Notes: the numbers in the “drivers” & “countermeasures” columns show the priority of countermeasures/activities

List of participants

No	Full Name	Position	Affiliation	Sex	Ethnicity	Working group
1	Lê Văn Lành	DPC chairman	Hong Thai CPC	Male	Tà Ôi	2
2	Hồ Thị Hậu	land official	Hong Thai CPC	Female	Tà Ôi	2
3	Hồ Văn Hàm	village head	Brach village, Hong Thai commune	Male	Tà Ôi	3
4	Hồ Văn Treo	village head	A Dong village, Hong Thai commune	Male	Tà Ôi	3
5	Hồ Văn Cốc	land official - fatherland front	Hong Kim CPC	Male	Pa Cô	2
6	Hồ Văn Hiệp	deputy village head	Village 6, Hom Kim commune	Male	Pa Cô	3
7	Hoàng Thanh Xuân	deputy village head	Village 3, Hoang Kim commune	Male	Pa Cô	3
8	Nguyễn Ngọc Duy	land official	Huong Phong CPC	Male	Kinh	2
9	Đoàn Thanh Hòa	Red Cross	Huong Phu village, Huong Phong commune	Male	Kinh	3
10	Mai Đô	chairman of elders' association	Huong Phu village, Huong Phong commune	Male	Kinh	3
11	Hồ Văn Thắng	land official	Hong Huong CPC	Male	Pa Cô	2
12	Lê Văn Hợi	CPC vice chairman	Hong Ha CPC	Male	Ka Tu	2
13	Nguyễn Đình Dã	forest ranger	A Luoi FPU	Male	Kinh	1
14	Nguyễn Đăng Huy Cường	staff	A Luoi FPU	Male	Kinh	1
15	Nguyễn Văn Đồi	CPC chairman	Hong Thuong CPC	Male	Pa Cô	2
16	Hồ Viết Lương	CPC chairman	Hong Ha CPC	Male	Pa Cô	2
17	Hồ Thị Nga	CPC vice chairman	Hong Kim CPC	Nữ	Pa Cô	2
18	Trương Đức Nguyên	forest ranger	A Luoi FPU	Male	Kinh	1
19	Lê Đình Minh Chiên	forest ranger	A Luoi FPU	Male	Kinh	1
20	Lê Thị Kim Thoa	specialist	Hội LHPN huyện A Lưới	Female	Pa Cô	1
21	Hồ Văn Ngưng	DPC vice chairman	A Luoi DPC	Male	Tà Ôi	1
22	Lê Hoàng Vũ Thái Quang	specialist	A Luoi DPC	Male	Kinh	1
23	Nguyễn Thị Loan	Chairman of farmers association	Huong Phu village, Huong Phong commune	Female	Kinh	3
24	Hoài Văn Hào	village head	Con Sam village, Hong Ha commune	Male	Pa Cô	3
25	Nguyễn Quang Toàn	Deputy head	A Luoi Protection Forest Management Board	Male	Kinh	1
26	Trần Quốc Dũng	Forest protection and Development staff	A Luoi Protection Forest Management Board	Male	Kinh	1
27	Hồ Văn Sao	Deputy Head	A Luoi FPU	Male	Pa Cô	1
28	Trần Quốc Bảo	forest ranger	A Luoi FPU	Male	Kinh	1

Consultation Workshop to Develop Provincial REDD+ Action Plan for Thua Thien Hue province in Huong Nguyen commune

Venue: Huong Nguyen Commune, A Luoi District, Thua Thien Hue Province, Vietnam **Time:** Morning of December 15, 2015

Participants:

The meeting was attended by 24 participants, coming from villages and various units in the commune, including CPC, Communist party, women's Union, Youth Union, fatherland front. Summary of participants is provided below - *Please see full list of participants in Annex 1.*

Total	Male	Female	Kinh group	Ethnic minorities	District level	Commune level	Village level
24	15	9	2	22	1	10	13

Facilitators:

The workshop was facilitated two members of provincial Emission Reduction Program Document Working Group (ERPD-WG) and two RECOFTC Viet Nam staff:

18. Tran Vu Ngoc Hung, Thua Thien Hue Forest Protection Department
19. Tran Quoc Canh, Thua Thien Hue Forest Protection and Development Fund
20. Nguyen Quang Tan, RECOFTC Viet Nam Country Program
21. Vu Huu Than, RECOFTC Viet Nam Country Program

In addition, Mr. Van Minh Tuan from Huong Nguyen commune also co-facilitated the discussion in small group.

Workshop Main Activities:

After an introduction of participants and opening remarks by the Chairman of CPC, the workshop came to key activities listed below:

- Introduction of climate change, REDD+ and PRAP process
- Presentation on Changes of forest conditions in the district 2010-2015 and drivers, followed by feedback from the participants.
- Presentation on orientation for addressing deforestation, forest degradation and regeneration/ plantation.
- Group discussion to identify measures to address deforestation, forest degradation and promote regeneration/ plantation, sharing results and plenary discussion

For more details about the workshop activities please see workshop agenda in Annex 2.

Workshop Results:

9. Introduction of climate change, REDD+ and PRAP

Basic concepts of REDD+ was explained by Dr. Nguyen Quang Tan, RECOFTC to make sure that all the participants have a clear understanding about the concept and the linkage between climate change, forest and five actions under REDD+.

Participants were also introduced to the process of PRAP development in Thua Thien Hue and the importance of their contribution to the PRAP process.

10. Presentation on Changes of forest conditions in the district 2010-2015

Presentation on Changes of forest conditions in the district 2010-2015 and drivers was delivered by Mr. Canh followed by feedback from the participants. After the introduction of the objectives and methodology, the presenter addressed the details of the contents and made conclusions as follows:

- Results of the assessment of forest changes in 2010-2015 of priority 28 communes among the 55 communes in Thua Thien Hue province serve the preliminary scientific basis for identification of the causes to propose the solutions for PRAP.
- The area of natural forest lost in the period 2010-2015 was due to road, hydropower reservoirs and irrigation construction.
- Economic difficulties of people, unemployment are also the causes of forest degradation and deforestation.
- Period 2010 - 2015 was a period with more forestry development projects in the province, the area of planted forests was changing fast; the economic value of the plantation was confirmed, making the afforestation movement occur not only in State forestry agencies but also in private sector and people.
- Big changes in plantation areas in communes are also the cause of increase forest cover and deforestation during the time when the analysis was carried out.
- Landsat image interpretation results do not help to distinguish between young planted areas, bare land with shrubs, trees scattered that affects the analysis of the drivers of forest changes.

Feedback from the participants: Participants were agreeable with survey results and no questions were raised.

11. Orientations for addressing deforestation, forest degradation and regeneration/ plantation

Presentation on orientations for addressing deforestation, forest degradation and regeneration/ plantation based on the discussion from provincial level workshop was delivered by Dr. Tan, from RECOFTC VCP. The orientations covered six areas including Policy, law enforcement, Propaganda and awareness raising, Science and Technology, Forest Business Development, and Livelihood Enhancement measures.

For more details, please see Annex 4.

12. Group work

Group discussion to identify measures to address deforestation, forest degradation and promote regeneration/ plantation, sharing the results and plenary discussion were conducted. Participants were divided into two groups of male and female. This is to ensure that women could effectively contribute to the process.

Participatory approach was applied: brainstorming ideas followed by discussion among the group members to ensure the opinions are agreed upon by all. The results of group work are listed in the tables below:

Results of Group discussion

Group discussion:

Group 1: Females

Drivers	Countermeasures	Priority	Priority areas	Risks
1 Difficult living conditions, land shortage	1.1 Allocation of land currently managed by SFCs to local people 1.2 Funding support for production to have better income 1.2 Development of animal raising activities	1	All villages in the commune	Funding fails due to diseases.

Drivers	Countermeasures	Priority	Priority areas	Risks
	1.3 Planting of acacia and rubber on allocated land.			
2 Lack of jobs	2.1 Job creation, vocational training (clothing) 2.2 Working overseas	2	All villages in the commune	Unemployment (unable to provide enough jobs), lack of funding Large deposit is required, being cheated sometimes
3 Low awareness on forest protection	3.1 Training on forest management and benefits of forests 3.2 Training on maintenance techniques for plantations 3.3 Repeated legal education on forest protection law for local people	3	All villages in the commune	
4 Shifting cultivation	4.1 Job creation for stable income 4.2 Funding support 4.3 Awareness raising on negative impacts of forest clearing for farming	4	All villages in the commune	Diseases
5 Clearing of old forest for plantation	5.1 Protection of existing forests, establishment of new plantation (Hopea odorata, Litsea, rattan) 5.2 Natural regeneration	5	All villages in the commune	Land shortage for farming, causing more difficulties on local people
6 Illegal logging	6.1 Material support for housing construction 6.2 Ban of logging 6.3 Good handling of illegal logging cases	6	All villages in the commune	Conflicts between local people and law enforcement officers

Notes: the numbers in the “drivers” & “countermeasures” columns show the priority of countermeasures/ activities.

Group 2: Males

Drivers	Countermeasures	Priority	Priority areas	Risks
Illegal logging	4 Forest patrolling 4 Handling of violation 5 Awareness raising	4 4 5	Sub-compartment # 318	Strong actions by violators Lack of funding Accidents
Shifting cultivation	2 Job creation 1 Land allocation to local people 1 Land return by Nhan Hoa, A Luoi FMB to local people	2 1 1	Kã Tôn, Ta Ve	Land not yet to be returned Fair allocation
Deforestation by the company	4 Intervention by the government is needed.	4	Ta Ra (previously Hương Nguyên)	Feedback from local people is not heard.
Unemployment	2 Job creation (broom, weaving, animal raising) 2 Funding support for forest planting and animal raising	2 2	Nghĩa, Mu Nủ, Cha Đu (difficult villages)	Market unavailability Diseases
Hydropower plant construction	5 Replacement planting 2 Fair compensation	5	A Pó, Kăn Tôn	Conflicts Land

Drivers	Countermeasures	Priority	Priority areas	Risks
		2		unavailability
Construction of Road 74				
Electric lines				
Natural disasters	4 Forest protection, planting of native species	4	Kăn Tôn, A Ró	Lack of budget, seedlings No markets
Illegal gold mining	4 Timely intervention	4	My Hây (Sub-comp 351, 350)	Strong actions against law enforcement officers
Plantation development	3 Planting of local species 3 Seedling support 3 Markets identified	3 3 3	All communes	Lack of budget, seedlings Fluctuating markets

Notes: the numbers in the “countermeasures” column show the priority of countermeasures/ activities.

List of participants

No	Full Name	Position	Affiliation	Sex	Ethnicity	Working group
1	Đặng Văn Tư	Village head	Nghia Village , Huong Nguyen Commune	Male	Cơ Tu	2
2	Lê Thị Thơ	Villager	Mu Nu Village, Huong Nguyen Commune	Female	Cơ Tu	1
3	Phạm Việt Male	Head	A Luoi FPU	Male	Pa Cô	2
4	Nguyễn Đình Biên	Village head	Mu Nu Village, Huong Nguyen Commune	Male	Cơ Tu	2
5	Nguyễn Đình Chân	Security staff	Huong Nguyen Commune	Male	Cơ Tu	2
6	Trần Thị Phiếu	Cashier	Huong Nguyen CPC	Female	Cơ Tu	1
7	Hồ Thị Hối	staff of economic committee	Communist Party of Huong Nguyen Commune	Female	Cơ Tu	1
8	Nguyễn Thị Kiều My	Villager	A Ry Village, Huong Nguyen Commune	Female	Cơ Tu	1
9	Hồ Văn Tâm	CPC chairman	Huong Nguyen CPC	Male	Cơ Tu	2
10	Hồ Thị Hồng Sách	Villager	Mu Nu Village, Huong Nguyen Commune	Female	Cơ Tu	1
11	Trần Văn Hồ	Village head	Cha Du Village Huong Nguyen Commune	Male	Cơ Tu	2
12	Hồ Thị Hành	Villager	Cha Du Village Huong Nguyen Commune	Female	Cơ Tu	1
13	Văn Minh Tuấn	Agriculture specialist	Huong Nguyen Commune	Male	Kinh	2
14	Nguyễn Văn Tú	village head	A Rý village, Huong Nguyen Commune	Male	Cơ Tu	2
15	Lê Văn Hâng	Policeman	Giong Village, Huong Nguyen Commune	Male	Cơ Tu	2
16	Hồ Xuân Văng	Fatherland front staff	Giong Village, Huong Nguyen Commune	Male	Cơ Tu	2
17	Hồ Văn Vành	Village head	Ta Ra Village	Male	Cơ Tu	2
18	Trần Thị Thanh Tâm	Villager	Giong Village, Huong Nguyen Commune	Female	Cơ Tu	1
19	Nguyễn Thị Bạch Tuyết	CPC Vice chairman	Huong Nguyen CPC	Female	Cơ Tu	1

No	Full Name	Position	Affiliation	Sex	Ethnicity	Working group
20	Nguyễn Thị Phương	office staff	Huong Nguyen CPC	Female	Cơ Tu	1
21	Nguyễn Ngọc Thuận	office staff	Huong Nguyen CPC	Male	Kinh	2
22	Hồ Xuân Hữu	land official	Huong Nguyen CPC	Male	Cơ Tu	2
23	Nguyễn Văn Xô	Village communist party secretary	Nghia Village, Huong Nguyen Commune	Male	Cơ Tu	2
24	Lê Đình Dọt	office staff	Huong Nguyen CPC	Male	Pa Cô	2

Consultation Workshop to Develop Provincial REDD+ Action Plan for Thua Thien Hue province in Phong Dien district

Venue: Phong Dien District, Thua Thien Hue Province, Vietnam **Time:** Morning of December 16, 2015

Participants:

The meeting was attended by 18 people from various units including villages, CPC, DPC, Women's Union, FPU, and Forest Management Board. A summary of participants is provided below, for more details please see full list of participants in Annex 1.

Total	Male	Female	Kinh group	Ethnic minorities	District level	Commune level	Village level
18	16	2	18	0	9	5	4

Facilitators:

The workshop was facilitated two members of provincial Emission Reduction Program Document Working Group (ERPD-WG) and two RECOFTC Viet Nam staff:

22. Tran Vu Ngoc Hung, Thua Thien Hue Forest Protection Department
23. Tran Quoc Canh, Thua Thien Hue Forest Protection and Development Fund
24. Nguyen Quang Tan, RECOFTC Viet Nam Country Program
25. Vu Huu Than, RECOFTC Viet Nam Country Program

Workshop Main Activities:

After an introduction of participants and opening remarks by the Representative from District Agriculture Unit on behalf of DPC, the workshop came to key activities listed below:

- Introduction of climate change, REDD+ and PRAP process
- Presentation on Changes of forest conditions in the district 2010-2015 and drivers followed by feedback from the participants.
- Presentation on orientation for addressing deforestation, forest degradation and regeneration/ plantation.
- Group discussion to identify measures to address deforestation, forest degradation and promote regeneration/ plantation, sharing results and plenary discussion

Workshop Results:

13. Introduction of climate change, REDD+ and PRAP

Basic concepts of REDD+ was explained by Dr. Nguyen Quang Tan, RECOFTC to make sure that all the participants have a clear understanding about the concept and the linkage between climate change, forest and five actions under REDD+.

Participants were also introduced to the process of PRAP development in Thua Thien Hue and the importance of their contribution to the PRAP process.

14. Presentation on Changes of forest conditions in the district 2010-2015

Presentation on Changes of forest conditions in the district 2010-2015 and drivers was delivered by Mr. Canh followed by feedback from the participants.

Presentation on Changes of forest conditions in the district 2010-2015 and drivers was delivered by Mr. Canh followed by feedback from the participants. After the introduction of the objectives and methodology, the presenter addressed the details of the contents and made conclusions as follows:

- Results of the assessment of forest changes in 2010-2015 of priority 28 communes among the 55 communes in Thua Thien Hue province serve the preliminary scientific basis for identification of the causes to propose the solutions for PRAP.
- The area of natural forest lost in the period 2010-2015 was due to road, hydropower reservoirs and irrigation construction.
- Economic difficulties of people, unemployment are also the causes of forest degradation and deforestation.
- Period 2010 - 2015 was a period with more forestry development projects in the province, the area of planted forests was changing fast; the economic value of the plantation was confirmed, making the afforestation movement occur not only in State forestry agencies but also in private sector and people.
- Big changes in plantation areas in communes are also the cause of increase forest cover and deforestation during the time when the analysis was carried out.
- Landsat image interpretation results do not help to distinguish between young planted areas, bare land with shrubs, trees scattered that affects the analysis of the drivers of forest changes.

Questions and comments from the participants:

A representative from district FPU: Drivers of deforestation and forest degradation include unemployment among local people

A representative from commune: Land shortage for farming, and habit of visiting forest, finding it difficult not to visit forest very often

A representative from commune: survey statistics are not consistent with the data from CPC, which needs to be checked.

Question from Baku (to representative from district agricultural unit): Clarification of the data provided in the opening speech and survey results on forest area

Answer: Some farming land has been converted to forestland over past few years due to bigger profits of forests

The difference between data might depend on the date when the imagery was taken (before or after plantation harvesting)

Question from Baku: The forest change matrix does not show the conversion of natural forest to plantation. However, one of the drivers of deforestation stated in the report was plantation development.

Answer: The fact is that local people planted forest on bareland where used to be forest. That's why interviewees indicated plantation development as one of drivers. Misunderstanding confirmed!

A representative from district FPU: What would be an ideal forest cover, 50 % or lower or higher?

This depends. The higher, the better if seen from the carbon stock calculation, but the forest should depend on local conditions.

What can be one priority is protection of existing forest and improvement of livelihoods of local people.

15. Orientations for addressing deforestation, forest degradation and regeneration/ plantation

Presentation on orientations for addressing deforestation, forest degradation and regeneration/ plantation based on the discussion from provincial level workshop was delivered by Dr. Tan, from RECOFTC VCP. The orientations covered six areas including Policy, law enforcement, Propaganda and awareness raising, Science and Technology, Forest Business Development, and Livelihood Enhancement measures.

16. Group work

Group discussion to identify measures to address deforestation, forest degradation and promote regeneration/ plantation, sharing the results and plenary discussion were conducted. Participants were split into three groups according to administration levels which are district, commune and village. Brainstorming ideas followed by discussion among the group members to ensure the opinions are agreed upon by all. The results of group work are listed in the tables below:

The results of group work:

Group 1: District group

Drivers	Countermeasures	Priority	Priority areas	Risks
Hydropower plant construction (Hương Điền (completed), Rào Trăng 3, 4 (ongoing)) Construction of road 71 Electric lines	9 Replacement planting	9	Phong Bình sand dunes, Phong Chương, coastal communes	Low quality of plantation; land unavailability leading to low feasibility of this measures
Natural forest encroachment for plantation	2 Law enforcement 1 Awareness raising 3 Land use planning and land allocation for production	2 1 3	Phong Sơn, Phong Xuân, Phong Mỹ	
Illegal logging	2 Law enforcement 1 Awareness raising 6 Strengthening of forest rangers and funding support	2 1 6	Phong Sơn, Phong Xuân, Phong Mỹ	
Lack of jobs	8 Vocational training and job introduction 5 Priority to hire local workers	8 5		Waste of training budget if trainees are unemployed after training.
High demand for timber	7 Encourage local people to use timber from plantation 8 Use alternative materials to replace timber	7 8	Entire district	Difficult to implement this measures

Notes: the numbers in the "countermeasures" column show the priority of countermeasures/ activities.

Group 2: Commune group

Drivers	Countermeasures	Priority	Priority areas	Risks
Infrastructure development (industrial zones, transportation, hydropower plant)	6 Replacement planting 1 Review of land availability for replacement planting (allocated to local people)	6 1	Phong An, Phong Mỹ	Land unavailability for replacement planting
Illegal logging	5 Strengthening of monitoring 4 Vocational training 4 LD 3 Awareness raising	5 4 4 3	Phong Sơn, Phong Xuân, Phong Mỹ	Strong actions against law enforcement officers Training of unsuitable jobs
Forest fire	5 Plan of forest fire prevention and response	5	Phong Sơn, Phong Xuân, Phong Mỹ	Landslide, bombs left from war
Poor forest management by local people	5 Strengthening of forest management	5	Phong Sơn, Phong Xuân, Phong Mỹ	
Low awareness of local people	2 Training on forest management	2	Forested communes	Partial participation of villagers
Plantation development High value of plantation	1 Review of land availability for planting 6 Planting of big timber trees (with certificates)	1 6	Phong Sơn, Phong Xuân, Phong Mỹ	Fluctuating markets

Notes: the numbers in the “countermeasures” column show the priority of countermeasures/ activities.

Group 3: Village group

Drivers	Countermeasures	Priority	Priority areas	Risks
1 Difficult living conditions	1.1 Vocational training for local people 1.2 Loans with preferential interests 1.3 Technical training 1.4 LFA to local people for long term management	1	1) Phong Xuân , 2) Phong Sơn, 3) Phong Mỹ and other communes	1.1 Loss due to market fluctuation 1.2 Conflicts between those who are allocated forest and those who are not. 1.3 Forest damage due to natural disasters
2 Illegal logging for economic development	2.1 Awareness raising 2.2 Legal education 2.3 Agreement, commitment 2.4 Strengthening of forest patrolling and protection 2.5 Mechanisms need for a good handling of violations	2	All forested communes	2.1 Strong actions against law enforcement officers 2.2 Accidents during patrolling 2.3 Failure to comply with commitment
3 Loose (poor) forest management	Strengthening of forest management Capacity building for officers	3	All forested communes	High cost, causing difficulty for implementation
4 Shifting cultivation	Farming land allocation	4	All communes with	Strong actions by local

Drivers	Countermeasures	Priority	Priority areas	Risks
	Job creation Prevention of violations		minority population	people
5 Infrastructure development	Consultation with communities before construction Fair compensation	5	All forested communes	Inadequate consultation leading to conflicts Low compensation

Notes: the numbers in the “drivers” and “countermeasures” columns show the priority of countermeasures/ activities.

List of participants

No	Full Name	Position	Affiliation	Sex	Ethnicity	Working group
1	Nguyễn Trọng Khiêm	Agro-forestry staff	Phong An CPC	Male	Kinh	2
2	Nguyễn Ngọc Tân	Agro-forestry staff	Phong Thu CPC	Male	Kinh	2
3	Tôn Thất Cú Nghĩa	Forester	Phong Điền FPU	Male	Kinh	1
4	Nguyễn Quang Phương	Agro-forestry staff	Phong Sơn CPC	Male	Kinh	2
5	Trịnh Xuân Nhân	CPC Vice chairman	Phong Sơn CPC	Male	Kinh	2
6	Nguyễn Hữu Tuyên	Forest ranger	Phong Điền FPU	Male	Kinh	1
7	Trần Nguyên Vinh	Forest ranger	Phong Điền FPU	Male	Kinh	1
8	Đinh Công Bình	Forest ranger	Phong Điền FPU	Male	Kinh	1
9	Trần Đình Bồn	Village head	Tân lập Village , Phong Xuân Commune	Male	Kinh	3
10	Lê Văn Hòa	Fatherland front	Tân lập Village , Phong Xuân Commune	Male	Kinh	3
11	Trần Ngọc Trung	staff	Phong Xuân CPC	Male	Kinh	2
12	Hà Viêt Phú	staff	Phong Điền Forestry Enterprise	Male	Kinh	1
13	Nguyễn Văn Quang	Deputy head	Phong Điền DARD	Male	Kinh	1
14	Cao Đình Hưng	Specialist	Phong Điền DARD	Male	Kinh	2
15	Võ Thị Thanh Nhân	Specialist	DPC office	Female	Kinh	2
16	Phạm Thị Cẩm Thúy	Specialist	District Women's Union	Female	Kinh	1
17	Nguyễn Đắc Sang	Village head	Vinh Phú Village, Phong Xuân Commune	Male	Kinh	3
18	Đào Hưng	Community Head	Vinh Phú Village, Phong Xuân Commune	Male	Kinh	3

Consultation Workshop to Develop Provincial REDD+ Action Plan for Thua Thien Hue province in Phong My commune

Venue: Phong My Commune, Phong Dien District, Thua Thien Hue Province, Vietnam **Time:** Afternoon of December 16, 2015

Participants:

The meeting was attended by 18 participants, being village heads and commune staff, and representatives from various units, including Village women's union, farmer's association, CPC, FPU. Summary of participants is provided below - *Please see full list of participants in Annex 1.*

Total	Male	Female	Kinh group	Ethnic minorities	District level	Commune level	Village level
18	11	7	15	3	1	4	13

Facilitators:

The workshop was facilitated two members of provincial Emission Reduction Program Document Working Group (ERPD-WG) and two RECOFTC Viet Nam staff:

26. Tran Vu Ngoc Hung, Thua Thien Hue Forest Protection Department
27. Tran Quoc Canh, Thua Thien Hue Forest Protection and Development Fund
28. Nguyen Quang Tan, RECOFTC Viet Nam Country Program
29. Vu Huu Than, RECOFTC Viet Nam Country Program

In addition, Mr. Tran Dac Anh from Phong My commune also co-facilitated the discussion in small group.

Workshop Main Activities:

After an introduction of participants and opening remarks by the Vice Chairman of CPC, the workshop came to key activities listed below:

- Introduction of climate change, REDD+ and PRAP process
- Presentation on Changes of forest conditions in the district 2010-2015 and drivers, followed by feedback from the participants.
- Presentation on orientation for addressing deforestation, forest degradation and regeneration/ plantation.
- Group discussion to identify measures to address deforestation, forest degradation and promote regeneration/ plantation, sharing results and plenary discussion

Workshop Results:

17. Introduction of climate change, REDD+ and PRAP

Basic concepts of REDD+ was explained by Dr. Nguyen Quang Tan, RECOFTC to make sure that all the participants have a clear understanding about the concept and the linkage between climate change, forest and five actions under REDD+.

Participants were also introduced to the process of PRAP development in Thua Thien Hue and the importance of their contribution to the PRAP process.

18. Presentation on Changes of forest conditions in the district 2010-2015

Presentation on Changes of forest conditions in the district 2010-2015 and drivers was delivered by Mr. Canh followed by feedback from the participants. After the introduction of the objectives and methodology, the presenter addressed the details of the contents and made conclusions as follows:

- Results of the assessment of forest changes in 2010-2015 of priority 28 communes among the 55 communes in Thua Thien Hue province serve the preliminary scientific basis for identification of the causes to propose the solutions for PRAP.
- The area of natural forest lost in the period 2010-2015 was due to road, hydropower reservoirs and irrigation construction.
- Economic difficulties of people, unemployment are also the causes of forest degradation and deforestation.
- Period 2010 - 2015 was a period with more forestry development projects in the province, the area of planted forests was changing fast; the economic value of the plantation was confirmed, making the afforestation movement occur not only in State forestry agencies but also in private sector and people.
- Big changes in plantation areas in communes are also the cause of increase forest cover and deforestation during the time when the analysis was carried out.
- Landsat image interpretation results do not help to distinguish between young planted areas, bare land with shrubs, trees scattered that affects the analysis of the drivers of forest changes.

Comments and questions from the participants:

A representative from village: Lack of jobs is not true in the commune as it's the local people who do not want to work. Extraction of rubber latex, which is paid at VND 200,000/day, still presents jobs for local people. Logging is done by illegal loggers (not because the local people do not have enough food for their living). Living conditions of local people is generally not so difficult

A representative from village: Forest management is improving, much better compared with that before 2010 (due to allocation of forests to 5 communities). It's not true to say that there is little support from local people for forest management.

19. Orientations for addressing deforestation, forest degradation and regeneration/ plantation

Presentation on orientations for addressing deforestation, forest degradation and regeneration/ plantation based on the discussion from provincial level workshop was delivered by Dr. Tan, from RECOFTC VCP. The orientations covered six areas including Policy, law enforcement, Propaganda and awareness raising, Science and Technology, Forest Business Development, and Livelihood Enhancement measures.

20. Group work

Group discussion to identify measures to address deforestation, forest degradation and promote regeneration/ plantation, sharing the results and plenary discussion were conducted. Participants were split into two groups of male and female. This is to ensure that women could effectively contribute to the process.

Participatory approach was applied: brainstorming ideas followed by discussion among the group members to ensure the opinions are agreed upon by all. The results of group work are listed in the tables below:

Results of Group discussion

Group 1: Female

Drivers	Countermeasures	Priority	Priority areas	Risks/ feasibility
1 Low awareness on forest protection of local people	1.1 Job creation for those whose life depends on forests 1.2 Awareness raising on environmental	1	2 villages of Hạ Long & Khe Trăn Tân Mỹ, entire commune	

Drivers	Countermeasures	Priority	Priority areas	Risks/ feasibility
	protection 1.2 Legal education on forest protection and development law 1.3 Training on forest protection			
2 Illegal logging due to poor handling of violations	Good handling of violators	2	Entire commune	Conflicts between violators and law enforcement officers, potentially causing death
3 Lack of jobs, difficult living conditions	3.1 Vocational training, technical, funding support 3.2 Training on rubber latex extraction 3.3 Set-up of new plantation (Melaleuca)	3	Entire commune	Weakened currency, debt, poverty, unemployment, deforestation
4 Environmental changes, natural disasters (Forest fire, landslide, flooding)	4.1 Planting of local species for forest development 4.2 Firebreak 4.3 Support of equipment for forest fire prevention and response + training 4.4 Periodic review of forest protection, incl. sharing of lessons learnt	4	Entire commune	

Notes: the numbers in the “drivers” and “countermeasures” columns show the priority of countermeasures/ activities.

Group 2: Males

Drivers	Countermeasures	Priority	Priority areas	Risks/ feasibility
1 Illegal logging	1 Awareness raising 5 Good handling of violations 2 Forest allocation to communities 3 Patrolling and protection	1 5 2 3	Khe Trăn, Hạ Long, Tân Mỹ, Lưu Hiền Hòa, Phước Thọ, Đồng Thái	Labour accident, strong actions against law enforcement officers
2 Forest fire	2 Restricted use of fire to get bee honey 2 No forest burning 2 Processing of vegetation as regulated	2	Rubber plantation in Khe Mạ	
3 Hydropower plant construction	3 Replacement planting	3	Bareland in forest areas already allocated to 6 communities	Potential lack of land for planting
3 Changes in land use	2 Suitable land use planning	2	Entire commune	Unfair allocation (conflicts)
5 Lack of jobs	4 Vocational training (mechanical work or carpentry)	4	Phong Thu, Hạ Long, Khe Trăn	Diseases in animal raising Lack of funding

Drivers	Countermeasures	Priority	Priority areas	Risks/ feasibility
	3 Loans for animal raising and businesses	3		Difficult to find jobs
4 Limited awareness	1 Awareness raising 1 Advocacy 1 Strengthening of sound system (e.g. loudspeakers) for awareness raising.	1	6 communities as forest owners	Lack of funding
4 Illegal goal mining	5 Strengthening of monitoring	5	Tương Lai, Mối	Strong actions against law enforcement officers

Notes: the numbers in the “drivers” and “countermeasures” columns show the priority of countermeasures/ activities.

List of participants

No	Full Name	Position	Affiliation	Sex	Ethnicity	Working group
1	Hoàng Chiến	CPC Vice chairman	Phong My CPC	Male	Kinh	2
2	Trần Văn Vương	Chairman of Farmers' Association	Phong My CPC	Male	Kinh	2
3	Ngô Văn Toàn	Village Head	Dong Thai Village, Phong My Commune	Male	Kinh	2
4	Lê Tài	Village Head	Phong Thu Village, Phong My Commune	Male	Kinh	2
5	Lê Tây	Village Head	Phuoc Tho Village, Phong My Commune	Male	Kinh	2
6	Đỗ Đình Khang	Village Head	Tan My Village, Phong My Commune	Male	Kinh	2
7	Ngô Văn Vinh	Village Head	Luu Hien Hoa Village, Phong My Commune	Male	Kinh	2
8	Lê Văn Quý	Village Deputy Head	Ha Long Village, Phong My Commune	Male	Vân Kiều	2
9	Trần Đức Lộc	Vice chairman	Tan My Coop	Male	Kinh	2
10	Võ Thị Kim Cúc	chairman of Women's Union	Phong My CPC	Female	Kinh	1
11	Nguyễn Thị Minh Khai	Head of group 3	Tan My Women's Union, Phong My Commune	Female	Kinh	1
12	Nguyễn Thị Nguyệt	Head	Ha Long Women's Union, Phong My Commune	Female	Pa hy	1
13	Hoàng Thị Diễm Thùy	Deputy Head	Luu Hien Hoa Women's Union, Phong My Commune	Female	Kinh	1
14	Phan Thị Hường	Head	Dong Thai Women's Union, Phong My Commune	Female	Kinh	1
15	Hồ Thị Mỹ	Head	Duc Tho Women's Union, Phong My Commune	Female	Kinh	1
16	Lê Thị Ních	Head	Khe Tran Women's Union, Phong My Commune	Female	Ka Tu	1
17	Trần Đức Anh	Agriculture-land official	Phong My CPC	Male	Kinh	2
18	Trần Nguyên Vinh	Forest ranger	A Luoi FPU	Male	Kinh	2

The 2nd Provincial Consultation Workshop on PRAP Formulation

Date: 14 January 2016 Venue: Festival Hue Hotel, 15 Ly Thuong Kiet, Hue City

Chair: Mr. Vo Van Du, Vice Director of Thua Thien-Hue DARD

Participants (as attached list of participants):

- JICA/SNRM Project
- UNIQUE Company
- Provincial People's Committee
- Provincial departments: Department of Finance, Department of Natural Resources and Environment, Department of Construction, Department of Planning and Investment and Department of Transport
- Sub-department of Forestry
- District-level Forest Protection Department: A Luoi, Nam Dong, Phong Dien
- Protection Forest Management Boards: A Luoi, Nam Dong, Song Bo
- Phong Dien Nature Reserve Management Board
- Hue University of Agriculture and Forestry and Hue-based research centres and international organizations

Participants:

	Total
Total Number	32 (100%)
(By sex)	
Male	26 (81%)
Female	6 (19%)
(By ethnicity)	
Kinh	28 (88%)
Ethnic minorities	2 (6%)
Foreigners	2 (6%)

Note: The above figures do not include the members of ERPD-WG and the JICA/SNRM project.

Contents:

1. Opening speech by Mr. Vo Van Du (Vice Director of Thua Thien-Hue DARD)

- Welcome the participants.
- Background to the PRAP workshop.

2. Opening speech by Mr. Hiro Miyazono (Chief Technical Advisor of JICA/SNRM Project)

- The process of PRAP formulation started late compared with other provinces in the North-central region.
- There is high commitment from the PPC and ERPD working team has been working hard during the PRAP drafting process.
- Trust on the collaboration with the province for the formulation.
- Contribution of feedback/ comments is welcome for improvement of the PRAP draft.

- JICA would like to continue our support for the finalization of PRAP formulation.

3. Presentation by Mr. Baku Takahashi (Technical Advisor – REDD+ of JICA/SNRM Project)

- General background on REDD+.
- REDD+ preparedness process in Thua Thien-Hue Province.
- Thua Thien-Hue Province is under FCPF, and the Government and World Bank request PRAP formulation.
- PRAP formulation was based on following principles: Triangulation of forest status and change data with use of different sources, activity planning based on geographical prioritization, levels of threat to be considered before decision making, forestry co-management approach, climate change adaptation for reduction of greenhouse gases.
- PRAP formulation: review of policies, forest change analysis, assessment of drivers of deforestation, degradation and forest increase, etc.
- Workshop objectives: To provide explanation on PRAP drafting process and collect feedback from participants from districts and forest management boards for next steps to be undertaken towards the finalization of PRAP.

4. Presentation on forest change and driver analysis result by Mr. Tran Quoc Canh (member of TTH ERPD-WG)

- Forest change between 2000-2014 based on the forest monitoring results by Sub-FPD and spatial analysis based on the satellite image interpretation for forest status in 2010 and 2015 (see the handout for more detail).

5. Feedback from the province

Mr. Nguyen My (Head of Technical and Planning Section, Song Bo Protection Forest Management Board):

As of forestland under the management of Song Bo Protection Forest Management Board, with the land use rights certificates having been issued:

- Forest increase is due to (better) forest management and increase in plantation area (small increase between 2010-2013 while large increase between 2014-2015).
- Encroachment area should not be included in the deforestation area as this would be replanted soon after the encroachment under the requirement of Directive No. 65/2015/CT-UBND dated 4 December 2015 on strengthening of forestland and forest management measures in the province.
- The figure on deforestation area under Song Bo PFMB is not consistent with the statistics of Song Bo PFMB, which should be reconsidered (the forest decrease due to hydropower construction is 122 ha).

Mr. Huong (Deputy Director of Phong Dien Nature Reserve Management Board):

Deforestation mostly occurred, not on natural forestland, in boundary area between Quang Tri and Thua Thien-Hue. 750 ha of plantation has been established while 150 ha has been encroached by local people from Quang Tri Province. The data presented in the report is not accurate.

Mr. Toan (A Luoi Protection Forest Management Board):

For A Luoi Protection Forest Management Board:

- Reforestation was not undertaken during 2012-2015 as the main activities during this period were forest improvement and enrichment under Programme 661 and Programme 327.
- 110 ha of forests improved in 2015.
- Forest encroachment is better controlled than before.

- Shifting cultivation remains a hot issue, there is still high demand for land amongst local people.
- Degradation occurred only in small scale.
- 12 ha of forestland has been returned for national defence purposes, with the replacement planting already undertaken.
- 145.5 ha allocated to local people for residential settlement due to hydropower construction.

Mr. Hung (Head of Technical and Planning Section, Nam Dong Protection Forest Management Board):

- Forest changes under the Nam Dong PFMB include the reallocation of some forestland to Sao La Reserve Management Board and changes in land use purpose for construction of Road 74.
- Agreed with the statistics as presented.

Mr. Tri (Nam Hoa Forestry Company): Agreed with the statistics on deforestation, degradation and forest increase in the management area.

Mr. Thien (Vice Head of A Luoi District FPD):

- Degradation in Huong Nguyen Commune, A Luoi District is due to harvesting of natural forest by Nam Hoa Forestry Company.
- Degradation area in Hong Thuy Commune should be reconsidered as this is not a hot pot of deforestation and degradation.
- Contents on infrastructure development as a driver of deforestation should be updated (whether the road construction for access to border benchmarks or construction of Binh Dien hydropower plant have been included?)

Mr. Thao (Vice Head of Phong Dien District FPD): Inconsistent statistics on forest resources between Phong Dien District FPD and ERPD team.

Mr. Cuong (Vice Head of Nam Dong District FPD):

- Planted forest area often increases and changes.
- The deforestation on plantation and natural forest area should be separated for streamlining of interventions in PRAP.

Mr. Dung (Consultative and Research Centre on Natural Resources Management -CORENARM):

- NFI&S data was reflected in the analysis of forest change data (2010-2015)?
- Deforestation area is the gross figure, covering both natural forest and plantation?
- How the decrease in timber volume was calculated under forest degradation?

Mr. Nguyen Dai Anh Tuan (Head of Thua Thien-Hue Sub-FPD):

- The method of how the forest degradation and forest quality increase area (including the time period for assessment) was calculated should be clarified.
- Replanting is often undertaken after harvests. It should be made clear when a plantation will be categorized as forest (after 3 years of planting?).
- Was the latest data on review of three forest use purposes used for the analysis?
- Forest encroachment is a common issue,
- Deforestation due to natural disasters was included in the report as they usually reduced forest cover?
- Any solutions if the data (as presented today) would be inconsistent with the NFI&S data to be available in the future?

Explanation by Mr. Tran Quoc Canh (ERPD team):

- 02 data sources on forest resources monitoring include statistics only. thus, the use of satellite images was critical for spatial analysis to identify forest status in 2010, 2015 and forest change during this period. It should be noted that there was no differentiation between open (young) plantation and bare land on satellite images.
- Song Bo PFMB misunderstood the deforestation (forest losses) and land losses.
- Phong Dien Natural Reserve Management Board
 - Degradation was due to illegal logging or selective cutting.
- Nam Dong: Calculation of deforestation area should cover both natural forests and plantations under requirements of REDD+. The deforestation mainly occurred on plantation (i.e. harvesting), not natural forest.
- The analysis was based on (1) annual forest monitoring and (2) satellite images as the NFI&S data is not available yet.
- What and how to be adjusted after the NFI&S data become available?

6. Presentation on the draft PRAP contents by Mr. Baku Takahashi

- Mr. Baku delivered a presentation on draft PRAP for Thua Thien-Hue Province

7. Feedback on the draft PRAP

Mr. Du:

- Why were the forest improvement and enrichment activities such as supplementary planting of rattan and other NTFPs under forest canopy not included?
- As the target districts of PRAP are A Luoi, Nam Dong and Phong Dien where shifting cultivation among local people is quite common, forest restoration on farming area categorized as protection forestland should be included as an activity.
- Budget under Decree 75/CP should be also included in PRAP.
- Joint-circular No. 100/2013/TTLT-BTC-BNNPTNT by Ministry of Finance – MARD dated 26 July 2013 on support to livelihood development.

Mr. Hoang:

- Sustainable plantation development will require the participation of state owned forestry companies, enterprises, households and a mechanism to reduce risks in timber trading and provide insurance for plantation.
- For production forest development, will local people be engaged too as different target groups will require different approaches?
- Livelihoods: attention should be paid to sufficient allocation of budget for livelihood development of local people as this is critical for sustainable forest management.

Mr. Till: The effective forest planting business models should be promoted.

Mr. Dung (Vice Head of Sub-FPD):

- PRAP contents are more or less fully prepared with activities having been listed to deal with deforestation and degradation.
- Silviculture works (infrastructure development) should be added as these are basis for other activities such as forest planting and maintenance (Phong Dien, Bach Ma).
- Arrangement of contents should be in line with PRAP guidelines by MARD.

Mr. Nguyen Dai Anh Tuan (Head of Thua Thien-Hue Sub-FPD):

- Large timber development linked with FSC certification.

- Biodiversity conservation should ensure the achievement of two indicators, i.e. reduced forest fragmentation and successful conservation of species. Issue of fragmentation of SUFs should also be tackled.
- Link with FORMIS data should be also specified under PRAP.

Mr. Nguyen Huu Huy (Thua Thien-Hue Sub-FPD):

- Decree No. 75 with the Forest Protection and Development Plan integrated.
- Shared the plan of large timber and rattan planting to be integrated with PRAP.
- Reforestation objectives should be considered as FPD focuses on protection forest planting while the current draft PRAP focuses on production forest planting.
- The target set for forest protection and management is low compared with the plan/ target of the province.

Mr. Hung (Phu Loc District FPD):

- Livelihood improvement of local people should be paid much attention to indirectly improve forest protection and management.
- Restoration of traditional jobs and introduction of new jobs.
- Planting of large timber trees should engage local people and promote their understanding on the issue.

Mr. Dung (introducing the feedback from Mr. Vu Xuan Thon):

- Targets for reforestation should be production, protection and special use forest.

Explanation by Mr. Baku Takahashi (Expert at JICA/SNRM Project):

- Should we add the forest enrichment activity or integrate this under livelihood development component?
- Only main activities were included in the draft PRAP to secure feasibility of the PRAP.
- Land and forest allocation will be added with more details.
- Set the priority for reforestation and other activities under PRAP.
- PRAP for TTH will surely formulated in line with guidelines by MARD.

8. Next steps: Mr. Baku Takahashi presented the plan.

9. Speech by Mr. Hiro Miyazono (Chief Technical Advisor of JICA/SNRM Project)

- High confidence on the collaboration with ERPD team.
- Consultation with FCPF is needed before the approval of PRAP by PPC.
- The workshop achieved its initially set objectives.

10. Summary

- Draft PRAP generally meets the requirement with some contents to be finalized, considering the limited timeframe for the preparation.
- Explanation by ERPD team and consultants is clear and satisfactory.
- ERPD team should keep up their efforts to finalize PRAP as the PRAP approval should be finished in two months for submission to World Bank.

2. List of the Workshop Participants

No.	Họ tên Full name	Chức vụ Position	Cơ quan Affiliation	Giới tính Sex	Dân tộc Ethnicity
1	Hiroki Miyazono	CTA	JICA-SNRM Project	Male	Japanese
2	Baku Takahashi	Technical Advisor - REDD+	JICA-SNRM Project	Male	Japanese
3	Do Thi Thu Thuy	Program Coordinator	JICA-SNRM Project	Female	Kinh
4	Till Pistorious	Senior Consultant	UNIQUE Forestry and Land Use	Male	German
5	Maximilian Roth	Consultant	UNIQUE Forestry and Land Use	Male	German
6	Nguyen Hong Linh	Staff	PPC	Male	Kinh
7	Vo Van Du	Vice Director	DARD	Male	Kinh
8	Nguyen Dai Anh Tuan	Director	Sub-FPD	Male	Kinh
9	Pham Ngoc Dung	Vice Director	Sub-FPD (ERPD WG head)	Male	Kinh
10	Tran Quoc Canh	Vice Director	Provincial Forest Protection and Development Fund (ERPD WG member)	Male	Kinh
11	Tran Vu Ngoc Hung		Forest Utilization and Development Division, Sub-FPD (ERPD WG member)	Male	Kinh
12	Nguyen Huu Huy	Division Head	Sub-FPD (ERPD WG member)	Male	Kinh
13	Nguyen Thi Thanh Thuy	Expert	Environment Protection Sub-department, (DONRE)	Female	Kinh
14	Hoang Xuan Anh Tuan	Expert	Department of Planning and Finance (DPI)	Male	Kinh
15	Ngo Quang Thinh	Expert	Department of Construction (DOC)	Male	Kinh
16	Le Thi My Nhung	Expert	Department of Construction (DOC)	Female	Kinh
17	Tran Quang Tuyen	Vice Division Head	Department of Transportation (DOT)	Male	Kinh
18	Truong Thi Kim Quyen	Expert	Department of Finance (DOF)	Female	Kinh
19	Tran Thi Thu Huong		PA81, Police Department	Female	Kinh
20	Nguyen Ba Thao	Vice head	Phong Dien FPD	Male	Kinh
21	Dinh Cong Binh		Phong Dien FPD	Male	Kinh
22	Nguyen Van Hung	Vice Head	Phu Loc FPD	Male	Kinh
23	Nguyen Dinh Cuong	Vice Head	Nam Dong FPD	Male	Kinh
24	Le Quoc Huy	Forest ranger	Nam Dong FPD	Male	Kinh
25	Tran Dinh Thien	Vice Head	A Luoi FPD	Male	Kinh
26	Cao Van Nhat Long		A Luoi FPD	Male	Kinh
27	Ho Van Hong	Vice chairman	Huong Nguyen CPC	Male	Katu
28	Ho Thi Hoa	Vice chairman	Thuong Nhat CPC	Female	Co Tu

No.	Họ tên Full name	Chức vụ Position	Cơ quan Affiliation	Giới tính Sex	Dân tộc Ethnicity
29	Le Tien Hung	Staff	Phong My CPC	Male	Kinh
30	Phan Quoc Dung		Planning and International Cooperation Division, Bach Ma National Park	Male	Kinh
31	Le Van Huong	Vice Head	Phong Dien Nature Reserve	Male	Kinh
32	Nguyen Quang Toan		Forest Management and Protection Division, A Luoi PFMB	Male	Kinh
33	Tran Huu Hung	Division Head	Planning and Technical Division, Nam Dong PFMB	Male	Kinh
34	Nguyen My		Song Bo PFMB	Male	Kinh
35	Bui Van Tri	Vice Head	Planning and Technical Division, Nam Hoa Forest Company	Male	Kinh
36	Truong Quang Hoang	Director	Central Rural Development Center, Hue University	Male	Kinh
37	Phan Trong Tri	Staff	Central Rural Development Center, Hue University	Male	Kinh
38	Ngo Tri Dung	Director	CORENARM	Male	Kinh
39	Phan Thi Dieu My	Vice Director	Social Development and Research Center	Female	Kinh